Strategic Fund grants
Guide for applications

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1. Introduction

The Nuffield Foundation is an independent charitable trust established in 1943. Our aim is to advance educational opportunity and social well-being across the United Kingdom. We fund research and analysis in our three priority domain areas of Education, Welfare and Justice through our responsive Research, Development and Analysis Fund grants and we now call for ambitious, interdisciplinary proposals to shape UK public policy and wider society through applications to our Strategic Fund.

The Foundation is 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 wellbeing to be influenced by robust evidence. We work with researchers, policymakers, and those in practice to create an environment where that is possible.

In June 2017, the Foundation published a five-year Strategy setting out its funding priorities. Our primary objective is to improve people's lives through better understanding of the issues affecting their life chances. We wish to fund work that engages with, and improves understanding of 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 in evidence and authority); and with safeguarding, through the justice system, the rights of the individual in relation to the State.

This guide is for those who are considering applying for funding from the Foundation's **Strategic Fund**. It describes our funding priorities, explains our application process, and sets out our expectations for successful proposals. Please see our website for the current application timetable and other background information about the Fund. Please also note that there is a separate *Guide for applicants* for applications to our twice-yearly responsive Research, Development and Analysis Fund grant rounds

Before applying, applicants should:

- Read this guide in its entirety.
- Check that the *Terms and conditions* are acceptable, both to applicants 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 Strategic Fund section of our website to check application dates.

The best way to find out if a proposed project is one we are interested in pursuing is to submit an *Outline application*. However, we are willing to discuss emerging bids or ideas for Strategic Fund with potential applicants in advance, to help maximise the relevance, rigour and impact of their applications.

2. The Strategic Fund

In our 2017 Strategy, we set out our ambition to increase the scale, scope and influence of the research projects we fund, and to engage with a broader range of applicants.

Since publishing the Strategy, we have launched several landmark projects across our core domains of Education, Welfare and Justice – more information about those domains and our priorities within them is available here. We now want to encourage applicants from research communities, across universities, research institutes, think tanks and voluntary organisations, to come forward with ideas for our Strategic Fund.

Under the Fund, we have earmarked £15m to support a small number of projects between 2020 and 2022 (with funding phased so it will not all be spent in the first rounds of applications). It provides a rare opportunity for researchers to develop original and challenging ideas, to work collaboratively across disciplines, and to influence social policy in a period of rapid change and uncertainty for our society. Proposed projects should have the ambition to address the most significant themes and developments that will shape the UK public policy agenda and wider society over the next decade and beyond but will need to be framed as specific questions amenable to rigorous research methods.

2.1 Themes and questions

The Strategic Fund is additional to our regular research grants in Education, Welfare and Justice, and we expect Strategic Fund projects to be of a scale and scope not normally funded through our standard process. We want Strategic Fund projects to bring a wide ranging, interdisciplinary approach to addressing the questions and issues they examine. They must be connected in some way to our three core domains and it is likely that they will cut across more than one of these three areas or extend beyond them, engaging with other social policy areas. Proposed projects must be directly concerned with UK issues and society, although international comparisons are welcomed.

By 'interdisciplinary' we mean an approach that properly and coherently integrates methods, data and knowledge from different disciplines and perspectives to provide a fuller picture and enquiry of the issue or area of study. We envisage this concept extending beyond just the academic or scientific elements of the work, and to include working collaboratively across research, policy, and practice. It will be for applicants to demonstrate that the proposed project involves the relevant parties needed to fully address its stated aims and achieve impact.

Addressing the major issues and problems in the areas of society and social policy that we prioritise will require a breadth of connected enquiry and we expect applications to take account, in some regard, of cross-cutting themes of the type set out in our Strategy:

- 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?

Discussions at the Tri-Nuffield Conference in May 2019 highlighted additional cross-cutting topics of interest to us:

- The impact of the fourth industrial revolution on social and economic inclusion.
- The future of education in a digitally driven society and its relationship to employment.
- The decline of trust in the legitimacy of public institutions, including the justice system.
- The conditions in which communities can be successful and enable effective social policy interventions.

The above questions and issues are not intended to be an exhaustive list. As an independent foundation, we want to give applicants the freedom to frame distinctive questions for themselves and to enable new thinking that might otherwise not be supported. We are sure that applicants will themselves identify additional themes within the framework of our Strategy, and we encourage original and challenging proposals on strategic topics relating to the most important questions facing society now and in coming years.

2.2 Types of project

The Foundation supports a wide range of projects through our Research, Development and Analysis Fund. We will continue to do this with our Strategic Fund projects which, while they may take many different forms, must at their core be based around methods of scientific enquiry. Given their ambition and scope, we would expect each project to comprise mixed-method approaches, including:

- **Evidence reviews and synthesis**, including formal meta-analysis as well as other systematic and narrative reviews.
- **Data collection and/or analysis, whether descriptive or designed to understand causality, or both –** both primary and secondary analysis, and both quantitative and qualitative data. The project and its approach must have a purpose and conclusion in its own right – we will not fund routine surveys or large-scale data collection on its own.

- **Comparison or controlled trials or evaluations**, where the evaluation has a robust design and where there are good prospects for wider implementation. We do **not** fund projects that simply involve 'rolling out' a well-known way of working to new areas.
- **Research translation,** particularly projects that explore how different approaches can help practitioners to use research findings or data to improve outcomes or service provision in our areas of interest.
- **Developmental projects –** we are interested in projects that seek to conceptualise and design innovative interventions and take the concept either to an initial pilot phase, or full testing.

In each project it is essential that the approach (or approaches) chosen is (are) methodologically rigorous, draws on the right range of disciplines to address the proposed questions, is well-integrated at the design, analysis and reporting stages, and is proportionate to the likely impact of the project.

We welcome collaborative applications from more than one institution and involving different types of organisation. We will also consider co-funded projects – see Sections 2.4 and 4.2 for further information.

2.3 Size and duration of Strategic Fund grants

The Strategic Fund is intended for ambitious, interdisciplinary research proposals beyond the normal scope and scale of Research, Development and Analysis Fund grants. The latter typically have a range between £50,000 and £300,000 and occasionally larger, whereas we expect Strategic Fund grants to be in the **range of £1 million to £3 million** (although there is no fixed lower or upper limit). However, we also expect proposals to be much more than inflated versions or agglomerations of research that we would support through the Research, Development and Analysis Fund and we will be paying particular attention to value for money.

We expect projects to be between two and five years in duration, but we may consider proposals that have a longer timescale.

2.4 Eligibility

We have some exclusions and conditions for our funding:

Non-UK applications

In general, we award grants to a wide range of organisations 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 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 UK-relevant 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 permission, we will not accept applications for projects that are being considered by another funder at the same time, except as part of a co-funding model. Where applicants wish to propose a partnership funding model, we would expect applicants to argue the case for such an approach within their *Outline application*. Further guidance is given in Section 4.2. We may fund proposals that have been unsuccessful elsewhere if the project is truly outstanding and central to our areas of interest.

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 a second *Outline application* from a single PI whilst the first is still under consideration.

Establishing centres

The Strategic Fund cannot be used for the funding of centres, institutes, new organisational bodies or other initiatives, such as commissions, unless clear and detailed research plans are provided. Proposals will need to identify specific research outputs that are genuinely additional, in the sense that without Nuffield Foundation funding they would not be produced. They should also identify outcomes which the grant would support and demonstrate plans for the centre to become sustainable beyond the lifetime of the grant award.

Exclusions

We have a small number of specific categories of work or applicant that are not eligible for our research funding calls:

- Individuals without formal employment or other affiliation with the institution or organisation hosting the grant.
- 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

3.1 Preparing your application

The application process consists of two stages: an *Outline application* followed by, for successful applicants, an invitation to submit a *Full application*. We recommend that applicants submit an *Outline application* as the best way to find out if their idea is one that we are interested in pursuing. However, we welcome preliminary conversations with potential applicants about their proposals because we recognise the likely significant effort required to develop an outline bid for the Strategic Fund (a preliminary conversation is not a prerequisite for an application). Although we cannot advise in any detail on what would comprise a successful application, we can provide a steer on whether the proposed idea fits within our ambitions for the Strategic Fund, and how applicants might maximise the potential relevance of their proposal. Applicants seeking an initial discussion with Foundation staff should direct enquires to strategicfund@nuffieldfoundation.org

Please note that where we are aware that there are different applicants looking to address the same or related ideas or issues then we reserve the right to put those applicants in touch with each other, to consider a possible collaboration. Such a collaboration is not required by us – applicants may decide or prefer to bid separately – but we are unlikely to support more than one project on the same topic area under the Strategic Fund.

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.

3.2 Application and next steps

Please refer to the Strategic Fund key dates section of our website for the assessment timetable and key deadlines.

The *Outline application* comprises a short online application form where applicants can briefly lay out their proposal. Details of how to complete the form are given in Section 4.

Each *Outline application* received will be reviewed by our research team, all of whom are experienced in conducting and managing research in policy and practice settings. We consider the following factors:

- **Relevance** - an interesting, distinctive, and significant question/issue that fits the Foundation's mission, aims to address the most significant themes and developments that will shape the UK public policy agenda and wider society over the next decade and beyond and is relevant to our core domains and the sorts of cross-cutting issues set out in Section 2.1. There should be a clear articulation of what you intend to do, why it matters, and what difference it will make.
- **Rigour** - good plans for analysis and drawing conclusions as well as design/data collection. Methods need to be rigorous and relevant for the question(s) at hand. We expect applications to include a meaningful interdisciplinary element (see Section 2.1), demonstrating a breadth and interconnectedness in the approaches, concepts, and perspectives used for examining the topic in question.
- **Engagement –** stakeholder engagement should be an integral part of the proposal from the outset to ensure that the design, delivery and communication activities maximise the potential to achieve the project aims and desired impact. You will want to clearly articulate the different target audiences and how they will be engaged, including but not limited to policy and/or practice, as well as public dissemination through the media and other channels. Plans may include consideration of whether and how the project would benefit from public deliberation or widespread public engagement.
- **Impact** - clear explanation of the potential for impact and routes to achieving that. There must be clarity of outputs and outcomes across (and beyond) the duration of the project and the relationship between the two.
- **Resources** - strong team with relevant experience, and an appropriate budget that offers good value for money.

Once we have reviewed *Outline applications* and discussed these with our Trustees, successful applicants will be invited to submit a *Full application*. Only a small proportion of *Outline applications* will be shortlisted. but we do not operate a quota system and all applications are judged on merit, taking account of the above factors. It is possible that we will respond to Outline applicants suggesting they revise elements of their proposal and resubmit the Outline for further consideration, but this will be at our invitation only.

After submission, *Full applications* will be externally peer-reviewed before being assessed by Trustees (applicants will be given the opportunity to respond to review comments). Where it is judged appropriate, applicants may be invited to interview. Following these assessments, 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 we may agree a bespoke timescale with you. 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 our team.

4. Stage 1: *Outline applications*

Outline applications for our Strategic Fund must be submitted via our online form.

Applications need to provide a clear, concise and compelling account of your proposal, why the project 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.

For those shortlisted to proceed to a *Full application*, we will offer constructive advice and support to help them put their best foot forward when Trustees make decisions about their proposals. We will provide some feedback on Outline applications that are not shortlisted.

4.1 Outline application form

Please note the following when applying:

- You **must** use this online form to submit your *Outline application*. If there is a legitimate reason why we need to consider an offline application, then you should contact us at applications@nuffieldfoundation.org to discuss an alternative method.
- You **must** follow the guidance in the online *Outline application* form on word/character limits and attachments. You will not be able to submit your application if it exceeds the word or character limits, or if you do not answer mandatory questions.
- Please provide supporting documentation as attachments where prompted.
- The *Outline application* form cannot accept rich text format. You may therefore provide additional information in the form of formulae, charts, diagrams, tables or budgetary explanations as an attachment if required. This can be attached as a

single file in Word, Excel, PowerPoint or text-searchable PDF format. However, we would **strongly** prefer that all relevant text regarding your Outline is covered in the sections within the form, without the need for a separate attachment.
- Please pay attention to the FAQs section below, particularly regarding saving progress and returning to the application later, and the process for saving a copy of the application before submitting.

4.2 Sections of the *Outline application* form

Each section of the application form gives guidance on the types of questions you should answer in completing the section. Not all questions may be applicable to all projects but where relevant you should try to answer them directly. Further guidance is contained in the table below which gives details on the sections and questions of the *Outline application* form, together with word and character limits.

Section	**Type of field**	**Character/word limit**	**Mandatory or optional field**	**Other notes**
Page 1	*Details of the Principal Investigator, PI's organisation and any Co-Investigators*			
Main focus of your project	Dropdown		Mandatory	Education, Justice, Welfare. To select more than one hold down control when selecting
PI's title	Dropdown		Mandatory	
PI's first name	Free text	40 characters	Mandatory	
PI's last name	Free text	80 characters	Mandatory	
PI's position/job title	Free text	128 characters	Mandatory	
PI's email address	Email field	80 characters	Mandatory	
PI's telephone number	Free text	40 characters	Mandatory	
PI's organisation name	Free text	80 characters	Mandatory	
PI's organisation department	Free text	80 characters	Optional	
Is organisation a UK registered charity?	Dropdown		Mandatory	
Registered charity number/reference	Free text	255 characters	Optional	If organisation a registered charity
Charity regulator	Dropdown		Optional	If organisation a registered charity
Organisation address - Building name/number and street	Free text	255 characters	Mandatory	

Town/city	Free text	40 characters	Mandatory	
County	Free text	80 characters	Optional	
Country	Dropdown		Mandatory	
Postcode	Free text	10 characters	Mandatory	
Are Co-Investigators involved in this project	Button		Mandatory	Selection of Yes will generate detail fields for Co-Investigator
Add another Co-Investigator	Button		Optional	Selection of Yes will generate detail fields for Co-Investigators
Page 2	*Proposed project dates, project focus, project summary and any non-standard funding arrangements*			
Project title	Free text	80 characters	Mandatory	
Proposed start date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date in “DD/MM/YYYY” format
Proposed end date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date in “DD/MM/YYYY” format
Project summary	Free text	300 words	Mandatory	
Have you applied, or are you applying, elsewhere for funds for this project, or for a similar or related project?	Dropdown		Mandatory	

Please give full details here…	Free text	500 words	Optional	If you have applied, or are applying, elsewhere for funds for this project, or for a similar or related project.
If you wish to propose a partnership funding model…	Free text	500 words	Optional	Please identify here the proposed co-funders and explain why a partnership funding model would be beneficial
Page 3	*Details of the proposed project*			
A. Case for the importance of the project:	Free text	500 words	Mandatory	
B. Aims and objectives:	Free text	500 words	Mandatory	
C. Methods, approach and activities	Free text	1500 words	Mandatory	
D. Outcomes, outputs and dissemination:	Free text	500 words	Mandatory	
E. Staffing:	Free text	500 words	Mandatory	
Choose file - add CV	File upload		Optional	
Add another CV	File upload		Optional	
F. Timetable:	Free text	700 words	Mandatory	
G. Budget:	Number fields		Mandatory	See further details below.
H. Bibliographic references:	Free text	500 words	Mandatory	
Additional information	File upload		Optional	
Page 4	*Declaration and electronic signature before confirming and submitting the application*			
Declaration/signature	Free text		Mandatory	

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.

The purpose of the **Methods, approach and activities** section is to set out the work you will undertake to achieve the aims and objectives, and to address the research questions. It must demonstrate that the proposed design is fit for purpose and 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 example, information on sampling strategies and sizes). As stated in Section 2.1, we require there to be a meaningful interdisciplinary element that adds demonstrable value to the project and its expected impacts.

For the **Outcomes, outputs and dissemination** section, we expect to see a clear proposal for outputs and dissemination plans that will enable impact with the identified audiences through and beyond the lifespan of the project. They should be proportionate and appropriate for the scope, scale and ambition of the proposed project. We expect most outputs to be freely and publicly available.

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

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

In considering your timetable, please take into consideration the requirements of the Foundation that grant-holders publish a range of outputs including a freely available final public report, which serves as a concise and accessible account of the project, drawing out key findings and recommendations. This report must be published and disseminated **before** the end of grant date.

It is not necessary to include any additional information to that requested in the application form. However, if you feel it is important to include additional information that is supportive of your application (e.g. a letter of support from a key stakeholder who will need to provide access to data or is pivotal in delivering impact) you may do so. If you are providing additional information, it must be submitted in a single attached document in Word, Excel, PowerPoint or readable PDF format.

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

4.3 How to submit your *Outline application*

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

Once you have submitted your *Outline application,* you will no longer be able to access the form to download or edit it. Therefore, in order to save a copy, please select **Review and Print Before Submit** at the end of the form. This will generate a summary of your application, scroll to the bottom and click Print this page. In the print preview screen, go to the left and select the Destination drop down, choose Save as PDF. This will let you save a copy of your application to your PC.

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

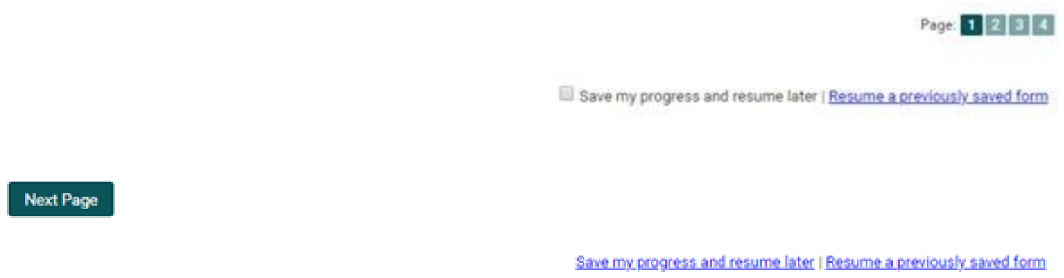
Once an *Outline application* has been completed and submitted, you should receive an email confirming receipt of your application and providing a reference number for your application.

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

4.4 *Outline application* FAQs

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

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

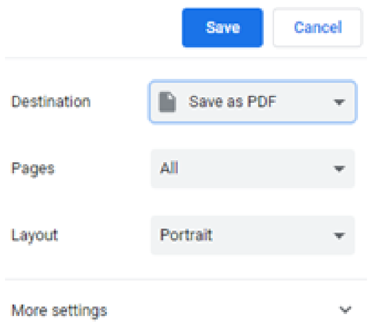


2. Can I save my *Outline application* before submitting it?

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

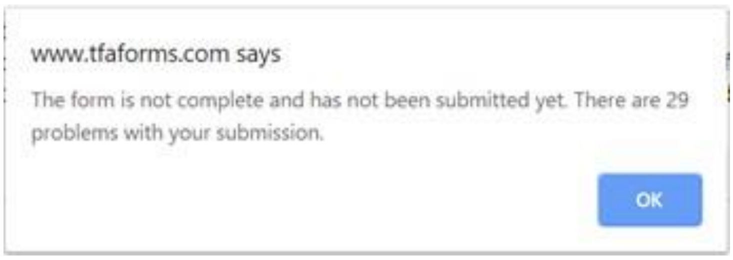
This will generate a summary of your application. Scroll to the bottom and click Print this page.

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



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

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



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

4. Do I need an electronic signature?

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

5. My *Outline application* did not submit.

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

6. Does the online application support rich text?

The online application does not support rich text – please enter words only, without any additional formatting. Do not cut and paste formatted content from external documents or web pages as formatting will not be retained and any hidden formatting may distort the word count.

Additional information such as formulae, charts, diagrams, tables or budgetary explanations may be uploaded as an attached document if required. This can be attached as a single file in Word, Excel, PowerPoint or text-searchable PDF format via the Additional Information section of the *Full application* form. However, we would **strongly** prefer that all relevant information regarding your *Full application* and budget are covered in the sections within their respective forms, without the need for a separate attachment.

7. I cannot find my registered charity.

For the Registered charity number to work, you will need to submit a correct charity number and the correct charity regulator that the charity sits within. To confirm whether the charity number and charity regulator is correct, please visit the Charity Commission website.

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

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

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

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

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

Two applicants cannot work on the online form at the same time. We would not recommend sharing the link and password with co-applicants. If you wish to work collaboratively on your application, we suggest doing this outside of the online form environment.

4.5 What happens next?

Following our assessment of *Outline applications* we will let each applicant know in writing whether they have been shortlisted to submit a Full application. Key dates are listed on the Strategic Fund page of our website. If you do not hear back by the specified date you should contact applications@nuffieldfoundation.org.

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

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

We aim to ensure that applicants have around six weeks to prepare their *Full application*. Unless we agree an alternative timescale with you, if we do not receive your Full application by the given 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.

5. Stage 2: Full applications

Full applications must be submitted via our online form. The form will be shared directly with successful applicants after their *Outline application* has been reviewed by Nuffield Foundation staff and Trustees. 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 standalone and comprehensive, fully demonstrating 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*.

5.1 Full application form

You will receive an email notification from us if your *Outline application* has been successful. This email will provide a link to the Nuffield Foundation Community website, where the *Full application* form and *Full application* guidance can be found. The email notification will also lay out key information such as the deadline for applications, feedback specific to your application and any other requirements necessary for the Foundation to consider your application. Upon submission of your completed *Full application* form you will be asked to complete a more detailed version of your budget, under the same broad headings requested at Outline stage.

- You **must** follow the guidance in the online *Full application* form on word/character limits and attachments. You will not be able to submit your application if it exceeds the word or character limits, or if you do not answer mandatory questions.
- Please provide any potential supporting documentation as attachments where prompted.
- The *Full application* form cannot accept rich text format. You may therefore provide additional information in the form of formulae, charts, diagrams, tables or budgetary explanations as an attachment if required. This can be attached as a single file in Word, Excel, PowerPoint or text-searchable PDF format via the Additional Information section of the *Full Application* form. However, we would **strongly** prefer that all relevant information regarding your *Full application* and budget are covered in the sections within their respective forms, without the need for a separate attachment.
- Please pay attention to the FAQs section in Appendix A, particularly with regard to saving progress and returning to the application later, and to the process for saving a copy of the application before submitting.

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, or a short technical appendix) you may do so. Any additional information should be included in one document and uploaded via the Additional Information section of the *Full application* form.

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.

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. Include 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.

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 methods you are suggesting for each group or question (e.g. interviews, focus groups, observations, deliberative processes) and identify any specific tools or techniques you intend to deploy to elicit quality data. You should also set out the approach you intend to take for the data analysis and presentation of findings.

For all projects that include primary quantitative or qualitative data collection, you should set out your arrangements to ensure data is available for future research. You should explain what you will say to participants about their data being used, how data will be anonymised and the timescale for the data 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 (including data linkage) 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

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.

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 D) activities designed to support this. We expect Strategic Fund projects to produce a number of freely and publicly available outputs during the lifetime of the project and you should outline the key mechanisms you will use for disseminating your project and its findings to your target audience(s). These might include 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, blog posts, interactive data platforms or visualisations, 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 projects are required to publish a range of outputs including a **final report aimed at as broad an audience as possible, which serves as a concise and accessible account of the project drawing out key findings and recommendations, and which is freely and publicly available**.

You must also provide details of your plans for engaging with **experts and key stakeholders** (Section F) during the project to support the delivery of a high quality and impactful project. As part of this, we expect all Strategic Fund projects to have an advisory group to provide advice, support and constructive challenge from the early stages of the project through to completion. This includes commenting on the Communications plan and on research outputs. Most projects will also require other forms of expert or stakeholder engagement to support the delivery of a quality project and to help achieve the outcomes and impact you intend. You might also consider whether the project would benefit from public deliberation or widespread public engagement. You should make sure that your costs take into account activities to deliver against the *Communications plan*.

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** of the project**,** and the processing of personal data (Section Ha & Hb) have been fully considered and that there is an appropriate ethical clearance procedure in place before the project commences. Projects that involve direct contact with participants (‘primary research’) are required to pass through independent ethical scrutiny. It is the PI’s responsibility to meet this requirement, and the responsibility of the host institution to:

- Ensure appropriate provision for scrutiny is in place.
- 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. The timetable should include a project kick-off call with Foundation staff, six monthly progress reports to the Foundation and ensure that drafts of main outputs are shared with the Foundation at least three weeks in advance of planned publication. The final report must be published and disseminated **before** the end of grant date.

You may wish to submit a separate technical appendix for quantitative analysis plans or may present this information in Gantt chart form for ease, though this will need to be submitted as part of the document uploaded in the Additional Information section. Please note this document should not exceed three pages.

Similarly, we require full budgetary information (Section K) which will be requested once the *Full application* form has been completed. Once you have completed this form, you will be directed to a page that contains a link that will allow you to submit your budget information.

Please note, entering the project budget breakdown will complete your application. Once the budget has been submitted, you will receive your application submission confirmation email. For details of eligible costs and budgetary guidance please refer to Appendix B.

We need to be confident that **Staffing** (Section E) for the project is appropriate and that staff 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 your proposed project management arrangements for the grant.

We are keen to develop the **future capacity and capability of research** in our fields of interest, through the inclusion and development of less experienced staff in the proposed team, and to encourage interdisciplinary teams that share and develop expertise.

We encourage applicants to look at the details of our student programmes, such as Nuffield Research Placements and Q-Step, 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 Sections of the *Full application* form

Each section of the application form gives guidance on the types of questions you should answer in completing the section. Not all questions will be applicable to all projects. The sections also indicate how much detail you should provide. You should aim for a balance that is sufficient for Foundation staff and Trustees to assess the importance, value and rigour of your proposal. Further guidance is contained in the table below which gives details on the sections and questions of the *Full application* form, together with word and character limits.

Section	Type of field	Character/word limit	Mandatory or optional field	Other notes

Page 1	*Details of the Principal Investigator, PI's organisation and any Co-Investigators*			
Main focus of your project	Dropdown		Mandatory	Education, Justice and/or Welfare
Title	Dropdown		Mandatory	
Title Other	Free text		Optional	
First Name	Free text	30 characters	Mandatory	
Last Name	Free text	70 characters	Mandatory	
Position/job title	Free text	112 characters	Mandatory	
Email Address	Email field	80 characters	Mandatory	
Telephone Number	Free text	29 characters	Mandatory	
Parent Organisation	Free text	80 characters	Optional	e.g. University of York
Organisation/Department	Free text	47 characters	Mandatory	e.g. Department of Physics
Organisation Address - Building name/number and street	Free text	247 characters	Mandatory	If you have entered a department, please use the address of the department.
City	Free text	34 characters	Mandatory	
County	Free text	80 characters	Optional	
Country	Dropdown		Mandatory	
Postal Code	Free text	12 characters	Mandatory	
Are Co-Investigators Required	Button		Mandatory	Selection of Yes will generate detail fields for Co-Investigator
Add another Co-Investigator	Button		Optional	Only visible if 'Yes' is chosen to previous question. Selection of Yes will generate

				detail fields for Co-Investigators
Page 2	*Proposed project dates, project focus, project summary and any non-standard funding arrangements*			
Project title	Free text	80 characters	Mandatory	This should be short and descriptive
Proposed start date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date manually if required in “DD/MM/YYYY” format
Proposed end date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date manually if required in “DD/MM/YYYY” format
Geography (You may select more than one category)	Checkboxes		Mandatory	Geographic focus of the project: England, Scotland, Wales, Northern Ireland, or International/ non-UK

Does the proposed project focus on:	Dropdown		Mandatory	Urban populations, Non-urban populations, Both, Not Applicable
Does the proposed project focus on specific locations or a type of location e.g. region, city, category of towns	Dropdown		Mandatory	YES (Please specify), No
Other project focus location:			Mandatory	Only generated if YES is selected for the previous question
Project summary	Free text	300 words	Mandatory	
Have you applied, or are you applying, elsewhere for funds for this project, or for a similar or related project?	Dropdown		Mandatory	
Please give full details here…	Free text	500 words	Optional	If you have applied, or are applying, elsewhere for funds for this project, or for a similar or related project.
If you wish to propose a partnership funding model…	Free text	500 words	Optional	Please identify here the proposed co-funders and explain why a partnership funding model would be beneficial
Page 3	*Details of the proposed project*			
A. Case for the importance of the project:	Free text	1500 words	Mandatory	
B. Aims and objectives:	Free text	1000 words	Mandatory	

C. Methods, approach and activities	Free text	7000 words	Mandatory	
D. Outcomes, outputs and dissemination:	Free text	1400 words	Mandatory	
E. Staffing:	Free text	1000 words	Mandatory	
Choose file - add CV	File upload		Optional	
Add another CV	File upload		Optional	
F. Expert advice and stakeholder engagement	Free text	700 words	Mandatory	
G. Quality assurance and risk management	Free text	700 words	Mandatory	
H. Legal and ethical aspects (a):	Free text	700 words	Mandatory	
H. Legal and ethical aspects (b): Will you be processing personal data as part of the project?	Dropdown			Yes or No. Selection of Yes will allow you to upload your Privacy Impact Assessment and provide additional details
I. Archiving	Free text	700 words	Mandatory	
J. Timetable	Free text	700 words	Mandatory	
Choose file – add Timetable	File upload		Optional	
K. Budget				No data entry available – this section will explain the steps needed to submit your budget via the Nuffield Foundation Community
L. Bibliographic references	Free text	1000 words	Mandatory	
Additional information	File upload		Optional	

Page 4	*Declaration and electronic signature before confirming and submitting the application*			
Declaration/signature	Free text		Mandatory	PI Signature required
Statement from PI	Free text		Mandatory	PI Signature required
Supporting Statement from PI's Institution				Please provide the name and email address of a senior person who will act as the signatory for your Grant.
First name	Free text	255 Characters	Mandatory	
Last name	Free text	50 Characters	Mandatory	
Email	Free text	50 Characters	Mandatory	

On Page 4 of the form, institutional signatory details are required (see table above). Please ensure that the individual is informed in advance that they have been nominated as a signatory, as the Nuffield Foundation will then use the contact details provided in the form to contact this individual with a link to a form which must be completed (see page 37 for more details).

Following submission of the completed form, applicants will be directed to complete a more detailed version of the budget, under the same broad headings requested at *Outline* stage:

Thank you for completing the application form. Please now enter the detailed budget breakdown from the Budget tab before submitting the application.
Submit budget
* note you will need to be logged into the community to complete your budget.

Applicants should click on the Staff costs or Non-staff costs tabs to enter the budget line items.

Details | Requirements | Change Requests | Payment Schedule | **Budgets** | Publication Dissemination Activities | Files

Budget Management

Submit Budget

Totals | 1. Staff costs | 2. Non-staff costs

Budget Total
£910.00

1. Staff costs - Totals

Category	Year (2019)	Year (2020)	Year (2021)	Year (2022)	Year (2023)	Total
A. Salaries and on-costs	£100.00	£100.00	£100.00	£100.00	£10.00 (£100.00)	£410.00
C. Overhead costs (non-HEIs only)	£100.00	£100.00	£100.00	£100.00	£100.00	£500.00
Totals	**£200.00**	**£200.00**	**£200.00**	**£200.00**	**£110.00**	**£910.00**

2. Non-staff costs - Totals

Category	Year (2019)	Year (2020)	Year (2021)	Year (2022)	Year (2023)	Total
Totals	**£0.00**					

Within these tabs, each type of cost shows relevant fields and dynamically shows the total calculation based on the entered numbers / values.

New Budget Line

* Name of Person

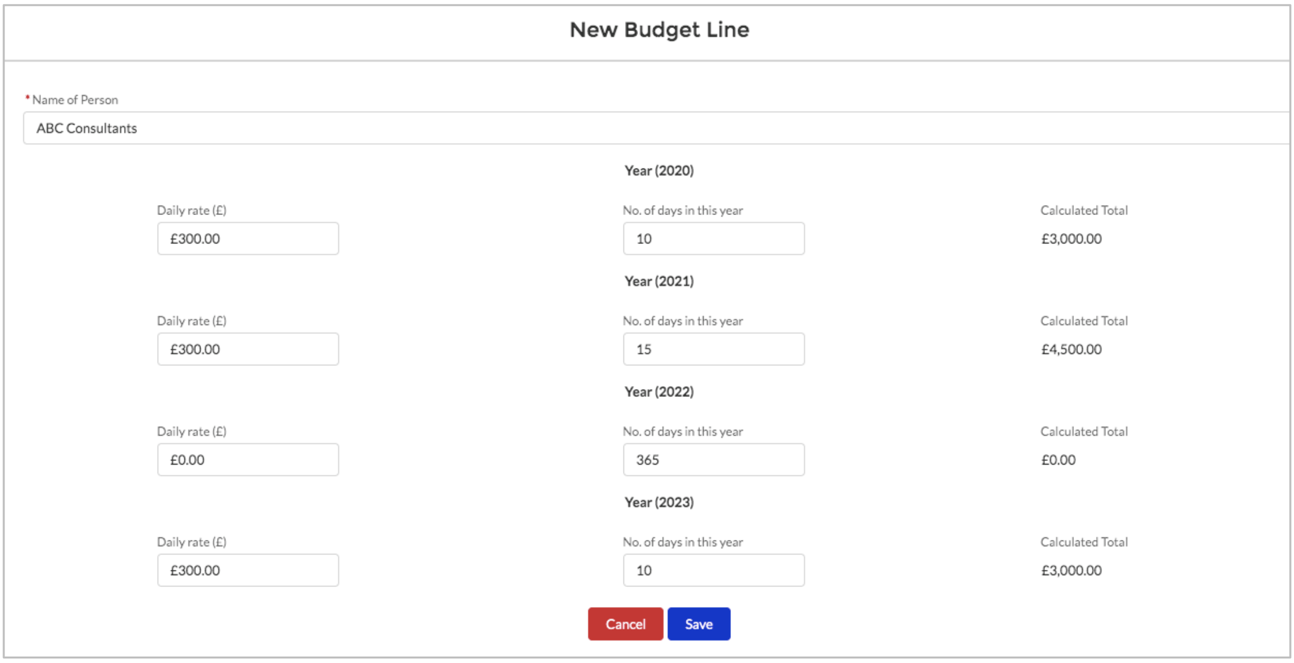
Barry Sheen

Year (2020)

Annual salary (£)	Annual on-costs (£)	No. of months in this year	FTE	Calculated Total
£25,000.00	£0.00	12	1.00	£25,000.00

Year (2021)

Annual salary (£)	Annual on-costs (£)	No. of months in this year	FTE	Calculated Total
£25,000.00	£0.00	6	1.00	£12,500.00



New Budget Line

* Name of Person
ABC Consultants

Year (2020)

Daily rate (£)	No. of days in this year	Calculated Total
£300.00	10	£3,000.00

Year (2021)

Daily rate (£)	No. of days in this year	Calculated Total
£300.00	15	£4,500.00

Year (2022)

Daily rate (£)	No. of days in this year	Calculated Total
£0.00	365	£0.00

Year (2023)

Daily rate (£)	No. of days in this year	Calculated Total
£300.00	10	£3,000.00

Cancel Save

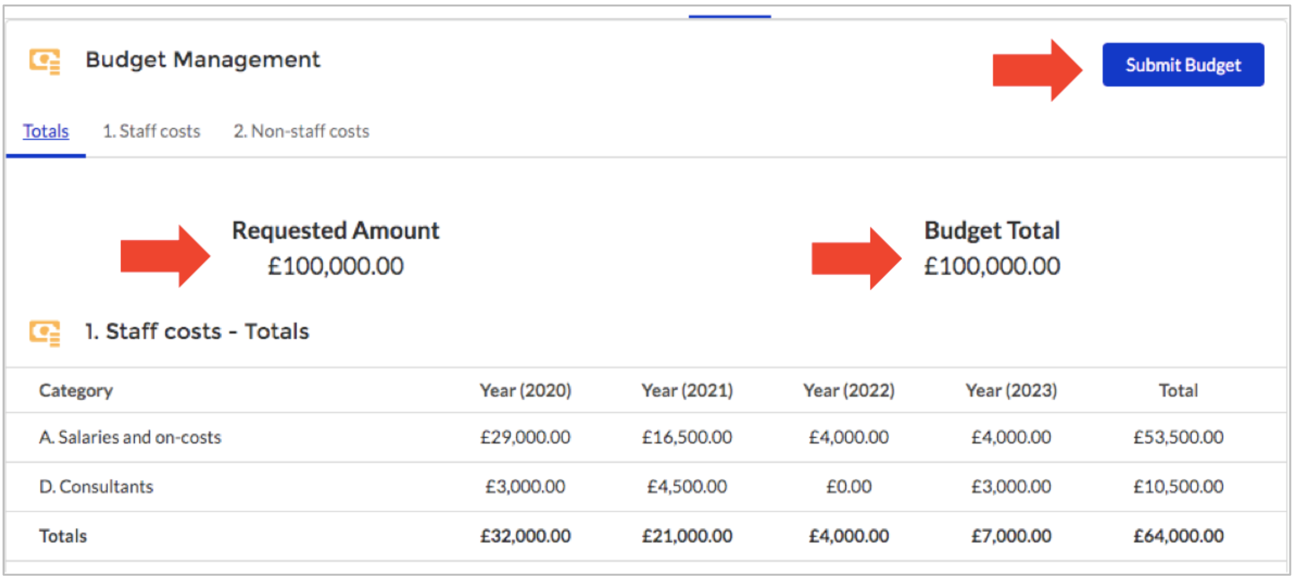
Applicants should enter values and save or use the Pencil icon under Actions to edit line items. Please note that the save button will not be available until a person's name has been entered in the staff costs section, or until a description of the expense has been entered in the non-staff costs section.

a. Quantitative Research

New Line

	Year (2020)	Year (2021)	Year (2022)	Year (2023)		
Description	Cost	Cost	Cost	Cost	Total	Actions
Research Co	£1,000.00	£1,500.00	£4,000.00	£0.00	£6,	

In the Totals tab applicants can check the amount entered against the amount requested.



Budget Management

Submit Budget

Totals | 1. Staff costs | 2. Non-staff costs

Requested Amount
£100,000.00

Budget Total
£100,000.00

1. Staff costs - Totals

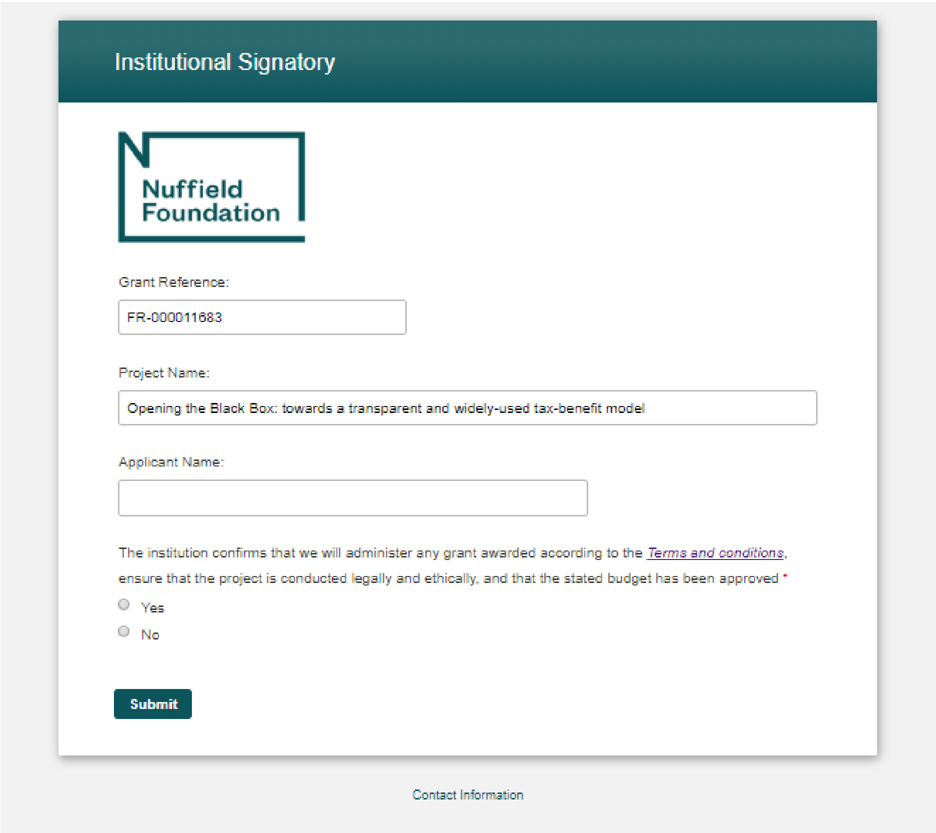
Category	Year (2020)	Year (2021)	Year (2022)	Year (2023)	Total
A. Salaries and on-costs	£29,000.00	£16,500.00	£4,000.00	£4,000.00	£53,500.00
D. Consultants	£3,000.00	£4,500.00	£0.00	£3,000.00	£10,500.00
Totals	**£32,000.00**	**£21,000.00**	**£4,000.00**	**£7,000.00**	**£64,000.00**

Applicants are no longer able to make alterations to the budget once the application has been submitted. Please note that the Foundation may change the budget in consultation with the applicants if ineligible costs are identified or if changes are required in response to peer review comments.

Following submission of the application form and budget, an email will be sent to the nominated signatory containing a link to a form which must be submitted before the application can proceed to be reviewed. The form contains the following fields:

Section	Type of field	Character/word limit	Mandatory or optional field	Other notes
Pre-filled Signatory details				
Grant Reference	Free text	N/A	N/A	Pre-filled field based on *Full application* form
Project Name	Free text	N/A	N/A	Pre-filled field based on *Full application* form
Applicant name	Free text	N/A	N/A	Pre-filled field based on *Full application* form
Signature area				
Title	Picklist	N/A	Mandatory	

Title Other	Free text	N/A	Optional	
First Name	Free text	30	Mandatory	
Last Name	Free text	70	Mandatory	
Email Address	Free text	80	Mandatory	
Position/Job Title	Free text	112	Mandatory	



Institutional Signatory

Nuffield Foundation

Grant Reference:

FR-000011683

Project Name:

Opening the Black Box: towards a transparent and widely-used tax-benefit model

Applicant Name:

The institution confirms that we will administer any grant awarded according to the *Terms and conditions*, ensure that the project is conducted legally and ethically, and that the stated budget has been approved *

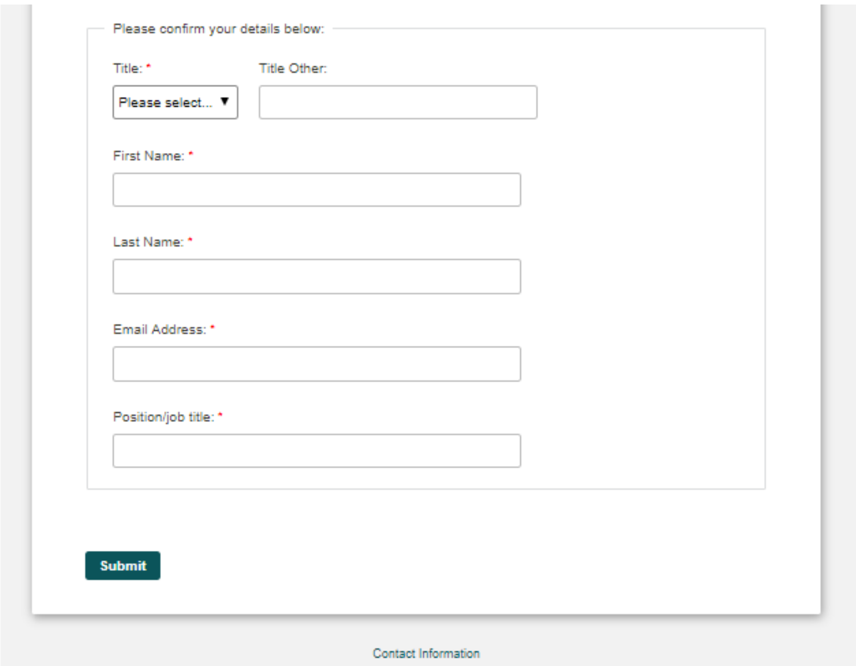
Yes

No

Submit

Contact Information

When the signatory confirms that the host institution will administer any grant awarded, they will be asked to confirm their contact details.



5.3 What happens next?

Following receipt of the *Full application form, budget and institutional signature*, Nuffield Foundation staff will first assess whether the application is in line with expectations, including whether it addresses sufficiently any earlier feedback.

Please check our website for the most up to date information regarding application deadlines and Trustee meetings.

5.4 Reviewer comments

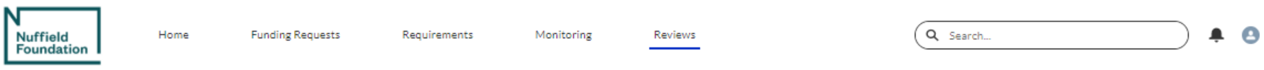
The usual process is to share the *Full application,* including budget, with a range of peer reviewers (from the research community, policy and practice, and from international reviewers where appropriate). Where we deem necessary, we may also invite applicants to interview as part of the review process.

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 to reject the application without sharing the application with peer reviewers.

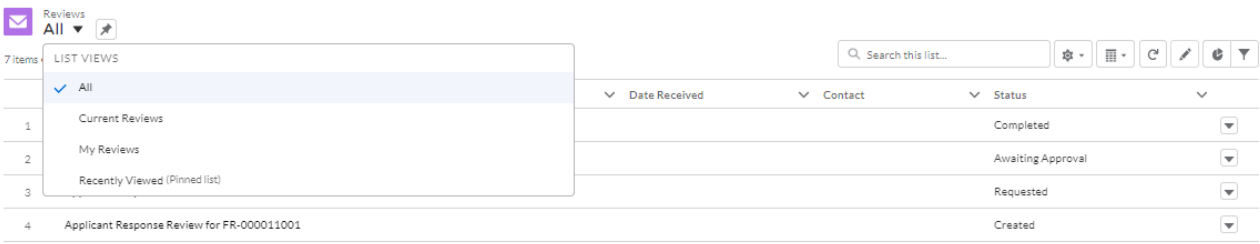
Peer reviewers are asked to consider: whether the project will be useful; whether the approach is appropriate and feasible; whether the staffing is suitable; the overall value for money of the application; whether the amount of funded time sought is reasonable; and whether the dissemination and stakeholder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

Anonymised comments will then be shared with the applicant alongside any questions or concerns arising from the application. Applicants will receive an email requesting that you log into the Nuffield Foundation Community to view all reviewer comments.

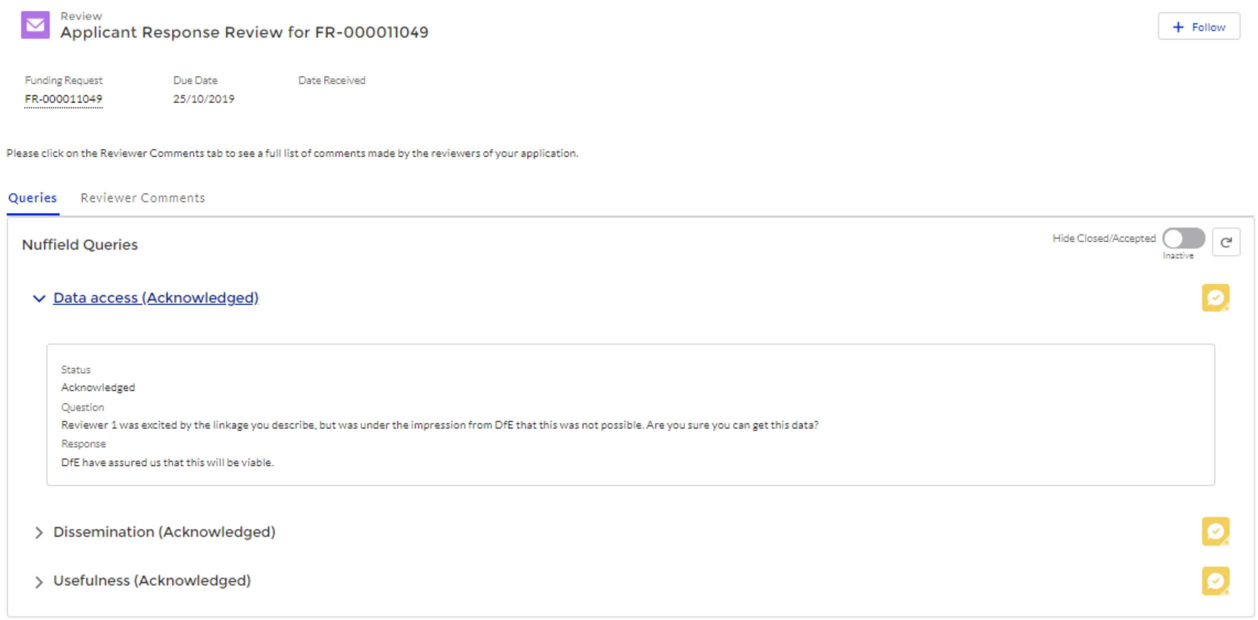
You will have the opportunity here to respond to each query on your application, and to address any other concerns you may think pertinent.



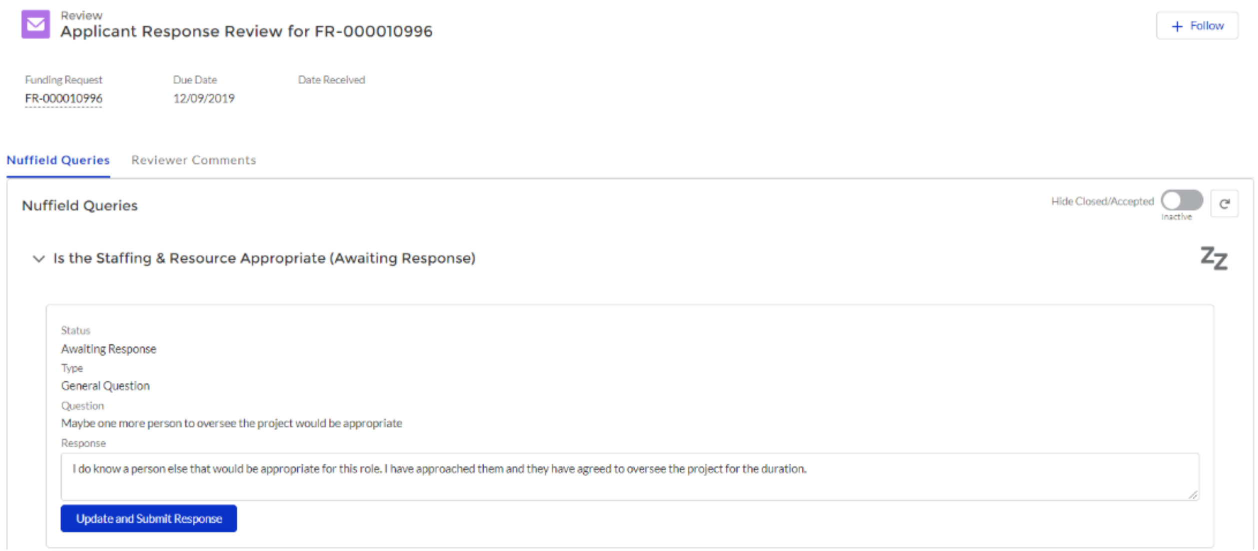
As a Nuffield Foundation Community user navigate to the 'Reviews' tab and select the Review record associated with your application's reference number. This will take you to a Queries tab that lists a number of queries related to this application which should be responded to individually. There is also a 'Reviewer comments' tab which contains a full list of the comments made by the reviewers of your application.



The queries are presented under summary headings, and the status of each query is shown in brackets (i.e. whether it has been responded to; whether the Nuffield Foundation have acknowledged the response). To view the nature of the query in full, the query can be expanded and responded to.

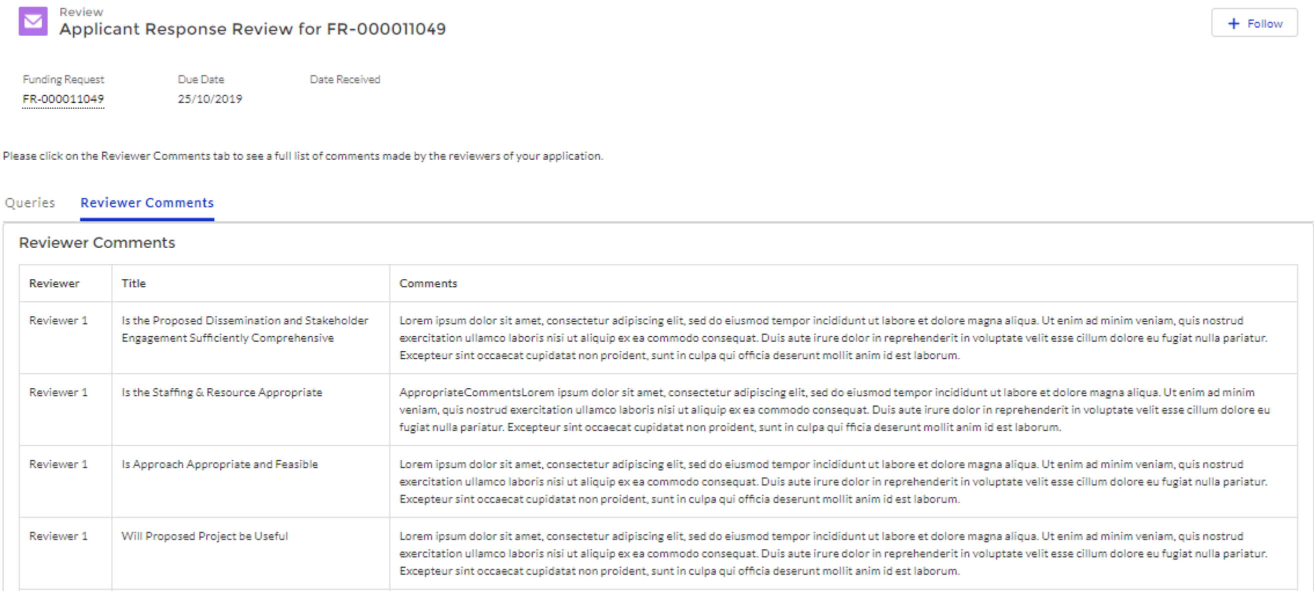


To respond, click into each query, enter comments into the comments box provided and then click **Update and Submit Response. Note that when this button is pressed the response will be visible to the internal team**, if you are not ready to have your queries displayed select the 'Save' button and only select 'Update and Submit response' when ready to submit.



You will be notified of further queries from the Foundation via email and via the Nuffield Foundation Community if subsequent responses are necessary. To answer any subsequent queries, enter the Nuffield Foundation Community and apply the same process as above.

You can also read the reviewer comments in their entirety by navigating to the Reviewer Comments tab. Please note these comments are provided to inform your responses and require no action, unless there are specific points you would like to address.


Review
Applicant Response Review for FR-000011049

+ Follow

Funding Request: FR-000011049
Due Date: 25/10/2019
Date Received:

Please click on the Reviewer Comments tab to see a full list of comments made by the reviewers of your application.

Queries | Reviewer Comments

Reviewer Comments

Reviewer	Title	Comments
Reviewer 1	Is the Proposed Dissemination and Stakeholder Engagement Sufficiently Comprehensive	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum.
Reviewer 1	Is the Staffing & Resource Appropriate	AppropriateCommentsLorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui fficia deserunt mollit anim id est laborum.
Reviewer 1	Is Approach Appropriate and Feasible	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum.
Reviewer 1	Will Proposed Project be Useful	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum.

5.5 The Trustee meeting

Trustees are sent a copy of the *Full application*, the peer review comments and the applicant's response to inform their decision. A record of any interview that took place will also be included. Applications are considered by all Trustees, who may decide to offer a grant, to request further clarification or impose specific conditions before awarding a grant, or to reject an application. 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.

Provided your award is not conditional, the email containing the *Notice of award* letter will contain a link to a grant acceptance form (Section 6.3) which must be completed before the Foundation can confirm the award (Section 6.4).

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 (*Progress reports*, *Communications plan*, and *Final 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 during the application process, we may require you to incorporate these into an updated project plan or application form so that there is a single record of what has been agreed.

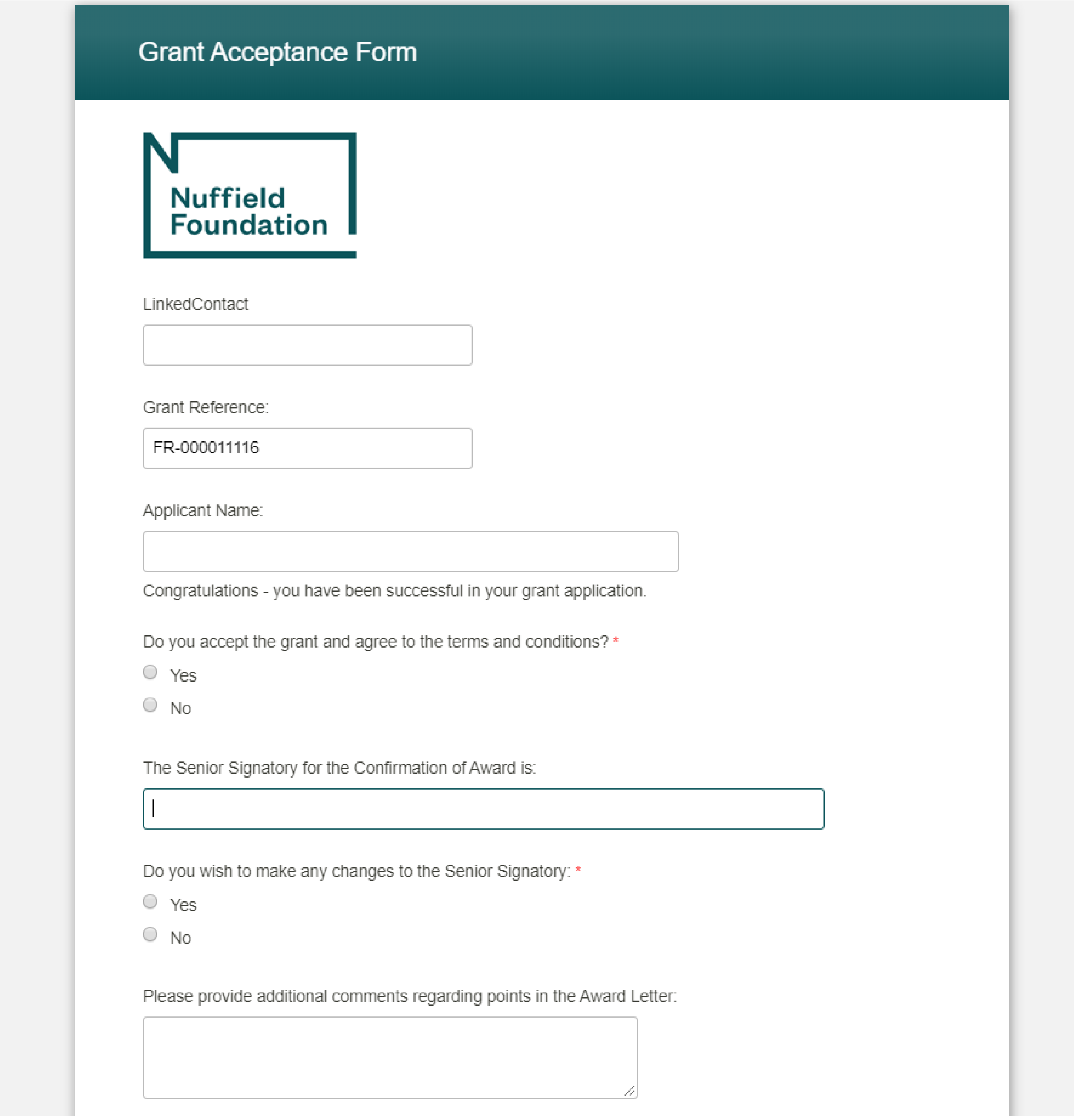
We are happy to provide advice before you send your response letter, for example if there is more than one option for addressing feedback, or if you anticipate timing difficulties.

6.3 Grant Acceptance form

Once you are satisfied that grant can proceed on the basis of the Notice of Award letter, and you require no further changes be made to the delivery requirements including their due dates, you must access the link to the Grant Acceptance Form in the Notice of Award email and complete this form. The form contains the following fields:

Section	Type of field	Character/word limit	Mandatory or optional field	Other notes
Grant Reference:	Free text	N/A	N/A	Pre-filled field based on *Full application* form
Applicant name	Free text	N/A	N/A	Pre-filled field based on *Full application* form

Do you accept the grant and agree to the terms and conditions?	Button	N/A	Mandatory	
The Institutional Signatory for the confirmation of Award is:	Free text	N/A	N/A	Pre-filled based on *Full application* form
Do you wish to make any changes to the Institutional Signatory?	Button	N/A	Mandatory	If the Institutional Signatory has changed since the *Full application* form was submitted, please enter the new details by selecting 'Yes' which will display the new contact fields below.
Institutional Signatory Change				
First Name	Free text	30	Mandatory	
Last Name	Free text	70	Mandatory	
Email Address	Free text	80	Mandatory	
Position/Job Title	Free text	112	Mandatory	
Please provide additional comments regarding points in the Award Letter:	Free text	500	Optional	



Grant Acceptance Form

Nuffield Foundation

LinkedContact

Grant Reference:

FR-000011116

Applicant Name:

Congratulations - you have been successful in your grant application.

Do you accept the grant and agree to the terms and conditions? *

Yes

No

The Senior Signatory for the Confirmation of Award is:

Do you wish to make any changes to the Senior Signatory: *

Yes

No

Please provide additional comments regarding points in the Award Letter:

6.4 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*.

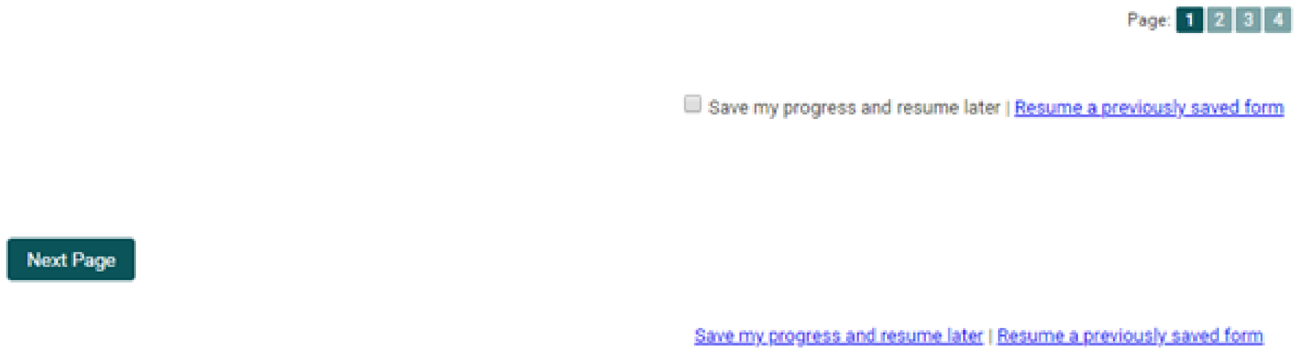
At this stage, it is important that you read the Guide for grant-holders, which sets out our typical approach to managing grants, including invoicing, grant outputs, acknowledging the Foundation, and reporting requirements, and will be made available at the Notice of Award stage.

7. Appendix A: FAQ

7.1 *Outline application* and *Full application* form FAQs

1. How do I save my application?

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

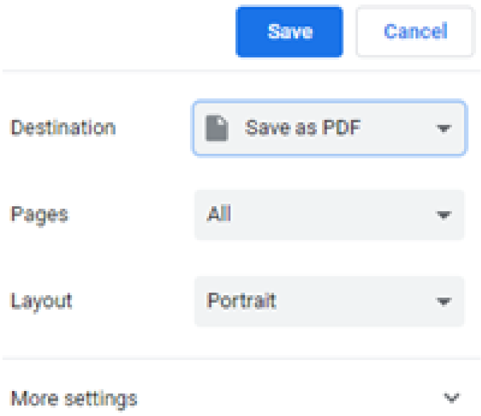


2. Can I download a copy of my application before submitting it?

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

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

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

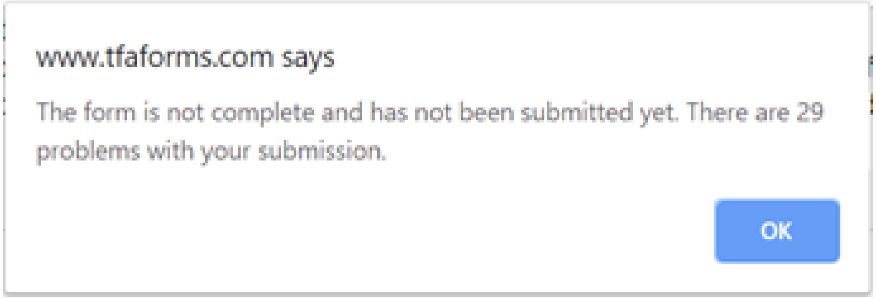


3. Help! I pressed Review and Print Before Submit and all my formatting has gone.

This button is intended to show you 'Print Preview' version of your application which can then either be saved as a PDF (FAQ 2) or printed. The entries you provided to each of the free text fields will retain their formatting when submitted, and the Nuffield Foundation team will be able to see this.

4. There are errors in my application. How can these be resolved?

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



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

5. **Do I need an electronic signature?**

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

6. **My application did not submit.**

Your application will not be submitted until you have clicked 'Review and Print Before Submit'. This will flag up if any mandatory fields have not been completed and give you a chance to address this. You will then be shown a preview of your application. At the very bottom of the page there will be a button to 'Confirm'. You must click this for your application to be submitted.

7. **Do the application forms support rich text?**

The application forms do not support rich text – please enter words only, without any additional formatting. Do not cut and paste formatted content from external documents or web pages as formatting will not be retained and any hidden formatting may distort the word count. You may use hyphens for bullet points, but please note that each hyphen will count as a word.

Additional information such as formulae, charts, diagrams, tables or budgetary explanations may be uploaded as an attached document if required. This can be attached as a single file in Word, Excel, PowerPoint or text-searchable PDF format via the Additional Information section of the *Full application* form. However, we would **strongly** prefer that all relevant information regarding your *Full application* and budget are covered in the sections within their respective forms, without the need for a separate attachment.

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

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

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

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

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

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

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

Two applicants cannot work on the form at the same time. We would not recommend sharing the link and password with co-applicants. Collaborative work on the application should take place outside of the online form environment.

12. **What will happen with the Institutional Signatory data I input to my *Full application* form?**

The contact data you input to these fields on the *Full application* form will be used by the Foundation to send a signature form to the individual whose details we receive. Please ensure, as stated in the *Full application* form, that you receive the consent of the individual who will be your signatory before you provide us their details.

8. Appendix B: Budget guidelines

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

- Our grant funding is outside the scope of VAT, as it is not a business activity for private benefit. Where applicants are contemplating working with others for substantial parts of the grant, we expect them to consider whether it is feasible to include them as co-applicants or collaborators, rather than as providers of a service which might make them liable for VAT. Any VAT that is expected to be payable must be set out within the budget submitted as part of *Full applications*; budgets should be inclusive of all VAT and local taxes, where applicable.
- We fund 100% of eligible costs, not the 80% funded by Research Councils. Where we make an award to a Higher Education Institution (HEI), we will meet all ‘directly incurred’ costs, subject to certain conditions, and most ‘directly allocated’ costs (except the estates costs of PIs and permanent university staff). We do not fund ‘indirect’ costs. Guidance about these terms should be sought from university research administration staff.
- We reserve the right to hold back 20% of the total grant value until satisfactory completion of all grant work and outputs.
- Your budget should not include ‘contingency’ funds. If unforeseen events arise or new activities (such as dissemination activities) are agreed, we can consider a request for a supplementary grant.
- PhD students can work on grants to undertake specific tasks, provided this is explicitly requested and justified in the application (or as a change to the project). We will fund the PhD student’s time and reasonable costs. We will **not** fund PhD fees. Where the work a PhD student undertakes will contribute to their PhD, the host institution, rather than the Foundation, is responsible for ensuring appropriate progress towards the PhD is made, and for recruiting alternative staff if the project is delayed.

8.1 Budget guidelines for *Outline applications*

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

- Staff costs: salaries and on-costs
- Staff costs: Indirect and estate costs (overheads)
- Staff costs: consultants
- Non-staff costs: qualitative research
- Non-staff costs: quantitative research

- Non-staff costs: communications and stakeholder engagement
- Non-staff costs: equipment
- Non-staff costs: other direct costs

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

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

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

8.2 Budget guidelines for *Full applications*

Budget category	Eligible costs	Ineligible costs	Comments
Salaries and on-costs	Salaries (for both UK and non-UK staff). National Insurance. Employer pension contributions.	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. At *Full application* stage, an estimate of cost of living and incremental pay increases 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. Where an individual is expected to receive incremental pay increases, these can be incorporated into the budget as increased salary and on-costs from the second year of the project onwards. 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.
Indirect and estates costs (overheads)	Estates costs for HEI staff who are not permanent staff or PIs can be met on a pro rata basis. Overheads for non-HEIs (but we do not expect overheads to exceed 60% as a proportion of salaries).	Indirect costs for HEIs are ineligible. Estates costs for permanent staff and PIs in 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 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).
Consultants	Daily rates usually within		We expect <u>all</u> research team members within the host institution to be funded via salary and on-

	range £250 - £800.		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.
Equipment	Full costs for project-specific equipment for projects lasting three years or more.		Equipment for projects that last less than three years is eligible for part-funding on a pro-rata basis. For example, if the project duration is 18 months, you should request 50% of the actual equipment costs.
Direct research costs – broken down by	Direct fieldwork costs.		At *Full application* stage, you should provide details of the issued sample size, achieved

qualitative research and quantitative research	Incentive payments (if justified). Travel & subsistence to undertake quantitative or qualitative research activities. Admin and office expenses incurred to undertaken quantitative or qualitative research activities.		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. At *Full application* 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.
Communications and stakeholder engagement	Travel & subsistence for advisory group members or	Travel and attendance costs at international	As the availability of Foundation rooms cannot be guaranteed, your costing assumptions should be based on the use of external

	contributors to events. Costs of events, publications and dissemination activities.	academic conferences are not eligible, except with specific permission (unlikely prior to grant start). Fees for open access publication in journals are not eligible.	facilities. We will make any necessary adjustments later, if we do host any events or meetings. We are aware of the debate about various models of open access for academic publications. However, as matters are not currently settled (especially for the social sciences) and as many journal articles are published after the grant end date, we will only provide funds for this under exceptional circumstances.
Other direct costs	E.g. direct costs for project specific staff recruitment campaigns. Other admin or office expenses that are attributable to the project.	Fees for advisory group members are not eligible. PhD fees are not eligible. Costs relating to Continuing Professional Development are not eligible.	You must provide further breakdown or justification for budget lines that exceed £5,000. Direct recruitment costs apply only to recruitment campaigns for project-specific staff (usually research assistants). These cannot be agreed retrospectively. The Foundation considers Continuing Professional Development activities to be the responsibility of the host institution.