



Arts & Humanities  
Research Council

## **Recognition of Academic Analogues**

**April 2005**

## INTRODUCTION

1. As a newly established Research Council, the Arts and Humanities Research Council (AHRC) intends to enable a small number of organisations outside the higher education sector to apply for recognition as Academic Analogues. Academic Analogues are UK-based organisations that are not funded by the UK Higher Education Funding Councils, but have a significant existing independent research capability, which equips them to undertake high quality research for the public good. Those organisations that the AHRC recognises as Academic Analogues will be eligible to apply directly for AHRC research funding. The AHRC anticipates that most or all of the first academic analogues that it recognises will be major national museums, galleries, libraries and archives, and that initially around ten organisations will meet the specified requirements.
2. Details are provided below of the rationale for establishing a small number of Academic Analogues, the requirements and scope of Academic Analogue status and the procedure for organisations to apply for such status. **Applications must be received by the AHRC before 5pm on 2 September 2005.**

## CONTEXT

4. On 1 April 2005, the Arts and Humanities Research Council (AHRC) was established as an executive non-departmental public body (NDPB) under the auspices of the Office of Science and Technology (OST). The Royal Charter establishing the AHRC states that the objects for which the Council has been established are:
  - i. To promote and support by any means high-quality basic, strategic and applied research and related postgraduate training in the arts and humanities;
  - ii. To advance knowledge and understanding of the arts and humanities (including promoting and supporting the exploitation of research outcomes and research relating to cultural aspects of different parts of Our United Kingdom) and provide trained personnel who meet the needs of their users and beneficiaries;
  - iii. In relation to the activities as engaged with by the Council, to generate public awareness, communicate research outcomes, encourage public engagement and dialogue, disseminate knowledge, and provide advice.
5. As an interim body supported by the UK Higher Education Funding Councils, the Arts and Humanities Research Board (AHRB) was required to restrict its grant awards to Higher Education Institutions (HEIs) directly supported by the Funding Councils. The AHRC, in contrast, is charged with supporting the highest quality research by any means and in any appropriate organisation within the UK. It is also explicitly concerned with the dissemination and exploitation of research in the arts and humanities, and with engaging the public in a dialogue about research in the areas within its subject domain.
6. The UK's national museums, galleries, libraries and archives have a crucial role to play in all three areas of the AHRC's remit. They act as the

laboratory for a great deal of research in the arts and humanities, holding the key research materials and resources from which new knowledge and understanding can be generated. They are also major users of arts and humanities research, which enables them to conserve, organise and explain their holdings, and they act as key intermediaries between the research base and a wider public.

7. Many staff in organisations outside the higher education sector are already participating in AHRC-funded research projects. Those in museums, galleries, libraries and archives provide a detailed knowledge of their own collections, plus skills and experience in areas such as conservation, curation and information retrieval, which complement the research expertise and imperatives of the academic staff who are leading the projects within HEIs. The AHRC intends to maintain and enhance its support for such collaborations.
8. The AHRC also, however, recognises that a small number of such organisations have a significant independent research capability that equips them to lead research projects themselves. Employing a critical mass of staff who have produced significant research outputs and have discrete responsibilities for promoting and undertaking research, these organisations represent a substantial and important component of the arts and humanities research base. Their physical and intellectual assets provide a platform for research approximating to that established within HEIs by the quality-driven funding streams of the Funding Councils.
9. In order to integrate the arts and humanities research base, and to realise its potential - in terms of both the undertaking and the exploitation of high quality research - the AHRC intends to enable a small number of such organisations to apply directly for funding through its research schemes and programmes. These organisations will be recognised as Academic Analogues, signifying that they undertake research for the public good in a manner that is analogous to HEIs. It is likely that most or all of the first academic analogues recognised by the AHRC will be major national museums, galleries, libraries and archives, and that initially around ten organisations will meet the specified requirements. The AHRC will, however, consider applications for such status from any organisation that fulfils the eligibility requirements detailed in sections 10-12 below.

## **ELIGIBILITY REQUIREMENTS**

10. The OST and the Research Councils have agreed the following definition of an Academic Analogue:
  - i. It must be an organisation which operates essentially on a 'not for profit' basis and will do so for the duration of any research project for which funding is sought. For example, it may be an organisation which is eligible for exemption from Corporation Tax under schedule 508 of the Income and Corporation Taxes Act 1988; or it may be a body registered in England and Wales with the Charities Commission, or, in Scotland and Northern Ireland, be recognised as a charity by the Inland Revenue.

- ii. It must not, in its primary role, be a funding body in its own right, nor must it be an institution or laboratory which is owned or primarily funded for research purposes by another funding body.
  - iii. It must be able to demonstrate an in-house independent research and training capability.
  - iv. It must have a research capability that extends and enhances the research base of the Research Council to which the organisation is applying for access to responsive-mode funding.
11. All organisations that wish to apply to the AHRC for recognition as an Academic Analogue will be required to demonstrate that they fulfil each of the four criteria above. Evidence of status, which in many cases will be NDPB, will be required in order to confirm fulfilment of the first two criteria. In addition, the AHRC will evaluate each bidding organisation's research and training capability and the extent of its contribution to the arts and humanities research base. The AHRC's minimum requirements for an organisation to fulfil the third and fourth criteria are that:
- i. It must currently employ a critical mass of around 10 or more staff who have significant experience of research at post-doctoral level in the arts and humanities and whose current position requires them actively to undertake research. This does not mean that they must have a doctorate. They must, however:
    - a. Have undertaken a number of years' research at an equivalent level.
    - b. Have produced a sufficient number of nationally or internationally recognised research outputs within the last five years to demonstrate the level of research standing and commitment necessary to compete for AHRC research funding.
    - c. Be demonstrably capable of leading team-based research projects and managing the work and career development of other researchers.
  - ii. It must provide a satisfactory statement of research strategy. Such a statement will identify:
    - a. The organisation's research staffing and investment strategy, including the infrastructure available to support research;
    - b. Its major research areas - including the staff working in each area and the importance of each area to the organisation's mission and resources – and its strategy for disseminating and exploiting its research;
    - c. The provision that is made for meeting the research and other training needs of staff;
    - d. The organisation's strategy for engaging with other organisations within the arts and humanities research base, notably those in the higher education sector.
12. Academic Analogues will, in the first instance, be recognised for a period of five years from January 2006. The AHRC will, therefore, expect statements of research strategy and staffing levels to cover this five-year period.

## SCOPE OF RECOGNITION

13. Those organisations that are recognised by the AHRC as Academic Analogues will be eligible to apply to all of the AHRC's responsive-mode schemes from January 2006, with the exception of the Resource Enhancement scheme. This currently includes the Research Grants, Research Leave, Fellowships in the Creative and Performing Arts, Small Grants in the Creative and Performing Arts and Networks and Workshops schemes, details of which can be obtained from the AHRC's web-site at [www.ahrc.ac.uk/apply/](http://www.ahrc.ac.uk/apply/).
14. In the case of applications to the Research Leave scheme, Academic Analogues will be required to demonstrate that at least 50% of the applicant's normal responsibilities relate to activities other than research and to provide the applicant with a period of three or four months' leave from these responsibilities. If the application is successful, the AHRC will support a period of research leave, matched by an equivalent period funded by the institution, in order to enable the researcher to complete a significant research project.
15. In the case of applications to the Fellowships in the Creative and Performing Arts scheme, Academic Analogues will be required to demonstrate that the proposed Fellow has not previously had the opportunity to work in a research environment, how the organisation would benefit from the Fellowship in terms of advancing its own practice-led research culture and how the proposed Fellow would benefit from access to the organisation's established research environment and training provision.
16. The AHRC's Resource Enhancement scheme will be evaluated during 2005 and re-constituted in light of the evaluation's recommendations in 2006. Consideration will be given to the eligibility of Academic Analogues, and the broader role and responsibilities of the museums, galleries, libraries, archives and other organisations that hold research resources, when the scheme is re-constituted. Until then, organisations outside the higher education sector will continue to be able to participate in Resource Enhancement projects as the collaborating partner of a lead HEI.
17. Academic Analogues will also be eligible to apply for funding from the AHRC's portfolio of strategic initiatives, which currently includes the ICT in Arts and Humanities Research, Diasporas, Migration and Identities, Landscape and Environment and Designing for the 21<sup>st</sup> Century programmes.
18. Although Academic Analogues will be eligible to apply directly to the schemes and programmes indicated above, they will be encouraged to submit applications in collaboration with HEIs when such a partnership would strengthen the project and help to integrate the research base. The eligibility of Academic Analogues for any further such schemes and programmes that may be developed will be confirmed in the relevant guidance documentation.

19. In order to qualify for eligibility to apply to the AHRC's postgraduate competitions, organisations are required to hold degree-awarding powers or to secure validation of their programmes of study by a HEI with such powers. Unless they are able to fulfil this requirement and have obtained written confirmation from the AHRC that they have done so, Academic Analogues will not be eligible to apply for AHRC postgraduate studentships. They will, however, be eligible to apply in collaboration with HEIs for Collaborative Doctoral Awards and it will continue to be possible for AHRC-funded postgraduate students to spend a period of their studies engaging with a museum, gallery, library, archive or other organisation outside the higher education sector.
20. Those organisations that the AHRC recognises as Academic Analogues will not automatically be recognised by other Research Councils and will be required to apply separately to each individual Council in order to obtain such status. Each of the Research Councils maintains its own list of recognised Academic Analogues, which reflects its distinct mission and remit.
21. In light of the impending implementation of a regime within which Research Councils will support projects at the rate of 80% of the stated Full Economic Costs (fEC), Academic Analogues will be required to present the cost of any project proposals using the fEC methodology. Details of the Research Councils' joint project to implement fEC, and their anticipated requirements, are available from the project's web-site at: <http://www.pparc.ac.uk/jes/DualSupport.asp> . The fEC of each project will include the cost of the researchers involved, other directly incurred costs such as equipment, travel and subsistence, and any estates and other indirect costs incurred. Using a transparent approach to costing their activities, most HEIs have identified estates and indirect cost rates at the level of their individual departments. The OST has also, however, established default rates, which will be used by many organisations outside the higher education sector. The AHRC will issue guidance on fEC to those organisations it recognises as Academic Analogues.

## HOW TO APPLY

22. There is no application form. Applicant organisations should, instead, provide a recognition document of up to five A4 pages addressing the issues identified in section 23 below, plus a series of appendices addressing the issues identified in section 24 below. A Principal Applicant should be identified at the beginning of the document, who will act as the contact with the AHRC throughout the period of Academic Analogue recognition. This will normally be an individual who is responsible for promoting and co-ordinating research within the organisation. In addition to the recognition document, applicant organisations should provide a covering letter, signed by the Principal Applicant and the organisation's Director or equivalent, confirming the organisation's support for the application. **One copy of the covering letter and ten copies of the recognition document must be sent to:**

**Academic Analogues  
Arts and Humanities Research Council**

**Whitefriars  
Lewins Mead  
Bristol  
BS1 2AE**

**Applications must be received by the AHRC by 5pm on 2 September 2005.** Late, faxed or e-mailed applications will not be accepted and will be returned. A stamped self-addressed envelope should be enclosed if confirmation of receipt is sought.

23. The following information must be provided in a document of no more than five A4 pages and in a font no smaller than size 10:
- i. The organisation's name and address.
  - ii. The identity of, and contact details for, the Principal Applicant and the organisation's Director, or equivalent.
  - iii. The mission of the organisation, its size and its scope, including the overall number of staff, the number of staff involved in the undertaking of research, its turnover and, if appropriate, the number of visitors in each year.
  - iv. Clarification of the organisation's status and of the source of its funding, including confirmation that the organisation operates on a 'not-for-profit' basis and does not provide funding itself.
  - v. Clarification of whether the organisation has applied to the other Research Councils for Academic Analogue recognition and the outcome of this process.
  - vi. The AHRC subject panels to which the organisation would expect to apply for funding and whose members the organisation would wish to consider its application for recognition. A list of AHRC subject panels is available at: [http://www.ahrb.ac.uk/about/subject\\_coverage.asp](http://www.ahrb.ac.uk/about/subject_coverage.asp) .
  - vii. The organisation's strategy for research, addressing in turn:
    - a. Its research staffing and investment strategy, including the infrastructure available to support research.
    - b. Its major research areas - including the importance of each area to the organisation's mission and resources – and its strategy for disseminating and exploiting its research.
    - c. The provision that is made for meeting the research and other training needs of staff.
    - d. The organisation's strategy for engaging with other organisations within the arts and humanities research base, notably those in the higher education sector.
24. The following information must be attached as appendices to the recognition document:
- i. A summary curriculum vitae (which should be no more than one side of A4 paper and in a font no smaller than size 10) for the Principal Applicant and up to ten staff who are proposed in fulfilment of the first criterion in section 11 above. The curriculum vitae should provide basic information about employment history and responsibilities. For each person, a list should also be provided (on no more than one side of A4 paper and in a font no smaller than size 10) of major research outputs produced during the last five years.

- ii. A list of the names and research areas of any other staff who are significantly involved in research and might, as such, be expected to apply for AHRC research funding.
  - iii. A list of any projects undertaken with support from the AHRB/C and the other Research Councils within the last five years, including details of any collaborating HEIs, the scheme or programme, and the value of the award.
25. Organisations considering submission of an application for Academic Analogue recognition are strongly advised to discuss their application with Chris Millward, Associate Director of Programmes, tel: 0117 987 6675, email: [c.millward@ahrc.ac.uk](mailto:c.millward@ahrc.ac.uk).

## ASSESSMENT OF APPLICATIONS

26. The AHRC will identify the organisations that it intends to recognise as Academic Analogues by assessing applications from any organisation that meets its eligibility requirements. Any application that clearly fails to meet the eligibility requirements detailed in section 10-12 above will be returned to the Principal Applicant and will not be forwarded for assessment.
27. There will be a three-stage assessment process:
- i. Applications will be considered by at least one member of each of the AHRC's research panels to which the organisation has indicated that its staff would expect to apply for funding. Each of the panel members will be asked to indicate whether or not s/he considers that the organisation fulfils the AHRC's criteria for recognition in sections 10–12 above.
  - ii. The applications and the panel members' comments will be considered at a meeting of the AHRC's Research Committee, which consists of the Conveners of each of the subject panels plus an independent Chair. The Research Committee will agree a list of organisations that it wishes to recommend for recognition as Academic Analogues.
  - iii. The Research Committee's recommendation will be considered by the meeting of the AHRC's Council in December 2005, which will finalise the list of recognised organisations.
28. The membership of the AHRC's research panels, Research Committee and Council can be obtained from the AHRC's web-site at [http://www.ahrb.ac.uk/about/ahrc\\_structure.asp](http://www.ahrb.ac.uk/about/ahrc_structure.asp) . The only criteria that will be used to assess applications will be those in sections 10-12 above. Applications will not be in competition with each other. The AHRC will, therefore, recognise all of the applicant organisations that its Council agrees fulfil the criteria.
29. Those organisations that are successful will receive written confirmation in January 2006. This will incorporate the terms and conditions associated with Academic Analogue recognition, which may include conditions that must be resolved before the organisation becomes eligible to apply for funding. The Principal Applicant and Director, or equivalent, of the organisations concerned will be required to confirm that they will at least maintain their current level of research staffing and training provision throughout the initial five-year period of their recognition. They will also be

required to confirm that they will notify the AHRC in the event of any change of status that would render the organisation ineligible for Academic Analogue recognition given the criteria in sections 10-12 above.

30. Those organisations that are not successful will receive written confirmation in January 2006, which will incorporate brief feedback on the reasons for this outcome. Details of the process for appealing against the AHRC's decision can be obtained from the *Complaints and Appeals Procedure for Applications and Awards* document, which can be obtained at <http://www.ahrc.ac.uk/complaintsandappeals/>. The AHRC expects in due course to provide another opportunity for organisations to apply for Academic Analogue status, but this is unlikely to be until 2008 at the earliest.

### **MONITORING AND REVIEW**

31. Those organisations that are successful will be recognised as Academic Analogues from January 2006 until December 2010 and thereby eligible to apply to relevant AHRC research schemes and programmes throughout this period. During the final year of recognition, the AHRC will request an update of the information provided in the initial application, with a view to the AHRC's Research Committee and Council giving consideration to an extension of the period of recognition.

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