

Research

Funding Guide



Arts & Humanities
Research Council

Version 1.3

May 2009

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Introduction

The Arts and Humanities Research Council seeks to promote and support by a variety of means high quality basic, strategic and applied research and related postgraduate training in the arts and humanities.

AHRC's research funding is available through its responsive mode schemes (high quality research in any subject area providing it falls mainly within AHRC's remit) and through research programmes and other specific initiatives (funding for high quality research in specific areas of intellectual urgency and wider resonance).

This funding guide contains details of the post-doctoral funding schemes that are operated in responsive mode.

You should note that the schemes we operate offer very different types of support.

The guide is updated throughout the year and you should ensure that you are reading the most recent version by checking our website for any recent updates (see lower right hand corner of the title page for the version number).

Once you have identified the scheme to which you want to apply, you should carefully read this document, and the relevant sections for that scheme, before submitting your proposal.

This guide is split into separate sections providing information on the different elements of the application process and it addresses subjects such as eligibility, how to apply, and upcoming closing dates.

Each section contains our general guidance, and also any additional guidance that is specific to each scheme.

Case studies of research previously funded by the AHRC are available on our website at http://www.ahrc.ac.uk/awards/case_studies.asp.

SECTION ONE

Funding Opportunities

Fellowships in the Creative and Performing Arts Scheme

Outline

The Fellowships in the Creative and Performing Arts scheme supports artists¹ as research fellows within a higher education environment. It provides salary and associated costs for either 2 or 3 years full-time, or for 5 years part-time (0.4 or 0.6FTE). The scheme contributes to one of the AHRC's key priorities, which is to support research in the creative and performing arts where practice is integral.

The aims of the Fellowships in the Creative and Performing Arts scheme are:

- to support artists who have not had the opportunity to carry out a significant programme of research at post-doctoral level within a research environment, and who would benefit from time to pursue a sustained programme of high quality practice-led research within the creative and performing arts. The artist's own creative/performance practice must be integral to that research
- to enable artists to develop their research careers by working in a research environment, and by improving their research skills, including developing their knowledge and understanding of advanced research methods
- to encourage and nurture the development of new or existing research environments and cultures within the host organisation through supporting the work of individual artists
- to maximise the value of the creative and performing arts by promoting their dissemination of research outcomes and where appropriate, to facilitate the knowledge transfer of those outcomes, both to the research community and to other contexts where they will make a difference.

The choice of the host institution can happen in two ways. The artist can approach an institution they consider to be an appropriate place to carry out the research they have in mind, or an institution can approach an artist if it has a particular programme of research that it wishes to see undertaken.

¹ By artists, the AHRC is referring to producers of original creative work. This could include, for example: visual artists; performers; musicians; creative writers; architects; poets; choreographers; scenographers; theatre or film directors; designers; those working in the applied arts, fashion, curatorial practice, or film, video and/or other multimedia.

Scheme specific criteria

In order to be eligible for funding under the Fellowships in the Creative and Performing Arts scheme:

- the research questions or problems, the outputs and – most importantly – the research methods, must involve a significant focus on your practice as distinct from history or theory. A project that is purely historical or theoretical, with no element of your current practice embedded in the research process, is not eligible for this scheme.
- Your proposal should place the proposed research within an appropriate context of research in the discipline beyond that of your own work.
- the proposed work must have a clear research focus, in line with the AHRC's definition of research (see section seven), which distinguishes it from work which is purely a development of an individual's professional practice.
- the proposed work should aim, through your practice, to illuminate or bring about new knowledge and understanding in the discipline. You must make it clear how your practice will contribute to answering the research questions you have set.
- You must explain clearly how your practice is an integral part of the whole research process, not just the outcome of the research programme;

The subject areas supported are those falling within the remits of visual arts and media, music and performing arts, and practice-led creative writing. Interdisciplinary proposals are welcomed, including those which fall within subjects traditionally defined as humanities. However, an application will be eligible only if the main focus of the research lies within the creative and performing arts, and your practice is integral to that research.

You should bear in mind that the purpose of this scheme is different from that of an artist's residency. Creative output can be produced, or practice undertaken, as an integral part of a research process; however, creativity or practice will only be eligible where it involves research that falls within the AHRC's definition, as above.

If you have already been commissioned to carry out a body of work, and you plan for this to form the basis of your application for a Fellowship, please note that this will only be supported where there is a clear specification of a research process of the kind set out above and where it aims to lead to advances in the discipline.

Additional eligibility criteria

You must meet the eligibility criteria outlined in Section Three of this guide. Additional criteria relating to the Fellowship in the Creative and Performing Arts Scheme is outlined below:

- You should submit your proposal through a recognised Research Organisation (RO). Research Organisations are both Higher Education Institutions (HEIs) and AHRC-recognised Independent Research Organisations (IROs). For more information on IROs, please see Section Three: Eligibility
- you should not, at the time of application hold a full-time academic post at a Research Organisation that includes any time for research; nor should

you normally have held such a post in the past. Full details of your current post/employment must be provided in the Case for Support. The AHRC may be willing to make exceptions, for example:

- you have been employed full-time within a research organisation in the past (but not for at least 5 years) and now wish to return to a research environment to develop a research career. You will need to provide a justification for this in your case for support for how this Fellowship will advance your career.
- you have a part-time or other contract of employment with a Research Organisation that does not enable you to undertake research. If you have such a contract you will need to make a strong justification in your case for support for why the institution is unable to support your research activities as part of your current post – it is not sufficient to say that your current post does not include time for research. Priority for funding will normally be given to applicants who do not have a contract of employment with a Research Organisation and therefore would not be considered eligible under the AHRC's other responsive mode research funding schemes.
- You must be able to demonstrate in your CV and publications list that you have a strong track record as a creative/performing artist.
- You must be able to demonstrate that you are of postdoctoral standing. You do not need to hold a doctorate, provided that your CV demonstrates that you have equivalent experience to undertake research at post-doctoral level. For example,
 - you are able to demonstrate significant achievements in your area of work such as research/ critical enquiry resulting in performances or exhibitions at home or abroad. If you are already studying for a PhD (full-time or part-time), you should allow for one year to elapse between completing your PhD (that is, submitted your thesis and passed your oral examination) and taking up appointment as a Fellow. If you have still not completed your PhD by the time you apply for a Fellowship, you will need to provide some evidence of the expected completion date in your application.
- You should be aware that this scheme is not intended to continue or extend research carried out in a PhD. If you have a PhD in a related area to your proposed Fellowship, you will need to make clear in your proposal how the programme of research for which you are seeking funding is distinct from your PhD.
- You must have an established track record of research, or equivalent critical enquiry, and show outstanding potential in terms of future practice-led research in the creative and performing arts
- You must be a UK or EU resident at the time of application.

There is no age limit attached to the scheme. The main criteria for assessment will be your track record as an artist, your research record and/or your research potential and the institution's commitment to the Fellowship and to the development of its research environment.

The Fellowship must be based in a UK HEI which is directly funded by either HEFCE, DEL, HEFCW or SFC, or an AHRC-recognised Independent Research Organisation or a Research Council Institute.

Choosing a host institution

The department within the Research Organisation hosting the Fellowship should be the appropriate place for the proposed programme of research. It should be in a position to nurture and contribute to both the development of the research and the development of you as a practice-led researcher. For example it should be in a position to provide the appropriate support for you and your research, and should provide an environment where the subject area of your work complements existing work or research interests of the department. Equally, both you and the Research Organisation should be clear about the contribution that the research can make to the development of the department's research environment and culture; that the department's commitment to the Fellowship will be rewarded by benefiting from your presence and work. It should therefore be a mutually beneficial relationship and a match between you, the host department and the Fellowship will be key elements in the assessment of the application.

The host department is also required to outline a clear support structure for the Fellowship, including nominating a mentor to support you in your programme of work throughout the duration of the award. We would expect the mentor to be an experienced member of staff, with sufficient seniority within the department and Research Organisation to carry out the responsibilities outlined below. During the initial stages of the Fellowship, this person would be expected to:

- oversee your induction into the department and the Research Organisation, to ensure that you are equipped with the necessary support to carry out your research, and also to ensure that you have access to the information needed by any new member of staff, for example in respect of departmental policies and procedures, facilities available to staff, etc
- act, as necessary, as a liaison point between you and the appropriate Research Organisation authorities
- help to ensure that colleagues within the department and Research Organisation are clear about the purpose of the Fellowship, and the role that you play within the department.

As the Fellowship progresses, we would expect the role of the mentor to decrease, but the person would nevertheless have a role to play in overseeing the progress of your Fellowship, for example in meeting the Council's monitoring requirements.

The host department does not need to be a creative or performing arts department as long as it is well placed to support your proposed research. If the Fellowship will not be based in a creative or performing arts department, you will be asked to give a rationale for the choice of department in the application.

If you are intending to apply to hold a Fellowship in the same Research Organisation in which you have undertaken a doctorate or teaching, you will need to provide a rationale for why you wish to remain in the same Research Organisation, rather than helping to develop practice-led research cultures and capacity elsewhere. Similarly, if the department has already held a number of Fellowships in the Creative and Performing Arts, the application must explain how this Fellowship will add value and enhance further the practice-led research culture there.

You should also try to ensure that any negotiations with the Research Organisation lead to a clear understanding of what is available in terms of salary, accommodation, teaching commitments etc, before the application is submitted. The Research Organisation will need to know your needs in order to make

appropriate plans prior to the commencement of the Fellowship. This dialogue between artist and institution is important to ensure that support is geared towards your needs.

The Research Organisation has an important mentoring role to play at application stage and we have found that proposals where this practice is taken seriously are more likely to succeed. A recent evaluation of this scheme has shown that artists with no or limited experience of higher education environments can find it difficult to apply to the scheme, as the application process is very different to that for arts funding organisations. It is therefore crucial that potential Research Organisations are contacted as early as possible prior to the application deadline, in order to allow sufficient time for the negotiation process and for them to provide the artist with adequate support and help in applying.

Case for Support guidance

Your proposal must be accompanied by a Case for Support attachment. General guidance and headings can be found in Section Four of this guide. Some artists with no or limited experience of research environments experience difficulty in applying to the scheme, and find it difficult expressing their work in terms of research questions, research methods etc. If you are in this situation, you are strongly advised to get help from the Research Organisation that would host your Fellowship when completing the case for support. Proposals that do not make clear how practice is integral to the research programme, or do not explicitly state the creative and/or performative aspects of the research, tend not to succeed.

If you intend to apply to the AHRC for funding to support the costs of individual research projects during your Fellowship programme, you will need to explain within the Case for Support how the project relates to your overall research programme. You will also need to explain in your initial Fellowship application how the programme will be undertaken if any such applications are unsuccessful. In addition to the generic guidance and headings listed in Section Four, you should include the following:

Aims and Objectives

You should describe the aims and objectives of the research programme. What specific targets or outcomes will you have achieved at various stages in your research and by the end of the research programme? The aims and objectives should be as specific and realistic as possible, and should not just be a 'wish list'.

Research Methods

Under the Fellowships in the Creative and Performing Arts scheme your own practice must be a central part of the research process and not just the end result. It is not appropriate for the Fellowship to focus on theoretical investigation of your past creative/performance practice: there must be a substantial amount of your own creative/performance practice undertaken as part of the research of the Fellowship.

In addition to the general guidance in Section Four, please describe under this heading how your own creative/performance practice will be integral to the research process and how it will contribute to answering the research questions you have set. Where appropriate, please also give an indication of the proposed media for and nature of the creative work.

Contribution to career development

What is your current post/position? How will this Fellowship provide you with opportunities not normally available to you in your current position? How will it help to further your career? How will the Fellowship contribute to the development of your research skills? Will the Research Organisation be providing appropriate support in relation to enhancing your knowledge and understanding of advanced research methods and how will they do this? If you already have a contract of employment with a Research Organisation, why is the organisation unable to support your research activities as part of your current post?

Contribution to the Research Organisation's research environment and culture

To what extent does your proposed programme of work complement existing research within the host department? How will your programme of work contribute to the development and enhancement of the research environment and culture within the Research Organisation? How much time do you envisage spending in the host department, and what contact will you have with its staff and students?

Preference will be given to those applications which are likely to have the maximum impact both on the Fellow's research career, and on the research culture of the host Research Organisation, If you wish to apply for a part-time Fellowship or a full-time Fellowship of less than 3 years, you will also need to describe here how you will still achieve a significant impact while you are an AHRC Fellow.

Commitment

This scheme aims to enable you as an artist to undertake a programme of research, to develop your research career, to foster the development of research environments and cultures within Research Organisations, and to disseminate the results of your research. The programme of work during the course of the Fellowship should focus on those aims. A Fellow may be involved in a relatively small amount of teaching, examining or administrative duties, but these duties should relate to the main interests of programme of the research and not to the general needs of the department. It is expected that teaching and other duties (including preparation time) will not amount to more than six hours a week (pro-rata for part-time Fellows) during normal working hours and during term-time.

Whilst it is not essential that you are based for all of your time as an AHRC Research Fellow within the host department, it is expected that a significant amount of time is spent there in order that you have a visible presence and a significant amount of contact with staff and students. The AHRC sees this as essential in order to fulfil the aims of the scheme, which includes contributing to the development of an active research environment and culture within the host institution.

In the case of proposals to host a Fellowship in an AHRC recognised Independent Research Organisation (see Section Three: Eligibility), the Research Organisation will be required to demonstrate 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.

Deadlines

There is one round of the Fellowships in the Creative and Performing Arts scheme per year. The closing date for the next round is 24 September 2009. Updated guidance on this scheme will be published in the Summer.

Costs

The Fellowships in the Creative and Performing Arts Scheme is intended to enable you to work as a Research Fellow within an eligible Research Organisation so that you can carry out a programme of research. As such, the only eligible costs for this scheme are your salary and associated Indirect and Estates Costs.

You can be appointed on a starting salary of between £27,000 and £45,000 pro-rata depending on your experience. An application which proposes an appointment below or above these limits will not be eligible for consideration.

Applying for other funding

Fellowships in the Creative and Performing Arts

You may be able to apply to other AHRC schemes for funding to support the research you plan to carry out during your Fellowship. You may also apply to other funding bodies. If you intend to apply to the AHRC for funding to support the costs of individual research projects during your Fellowship programme, you will need to explain within the case for support how the project relates to your agreed research programme. You will also need to explain in your initial Fellowship application how the programme will be undertaken if any such applications are unsuccessful.

Research Grants Scheme

The Research Grants scheme has four possible routes:

- a standard route
- a route for early career researchers
- a route for speculative research, and
- a route for practice-led and applied research.

The first three routes are intended to support well-defined research projects enabling individual researchers to collaborate with, and bring benefits to, other individuals and organisations through the conduct of research. They are not intended to support individual scholarship.

The Practice-Led and Applied route provides funding for research:

- where practice is an integral component
- where it is specifically undertaken with a view to generating outputs and outcomes with a defined application beyond the education sector; and/or
- where it theorises contemporary practice in order to inform the Principal Investigator's own individual practice.

Commitment

The AHRC expects the Principal Investigator and any Co-Investigators to devote an average of at least 4 hours per week to the project.

If it is considered necessary for a Principal or Co-Investigator to devote an intensive period of time to the project, then this should be included in the application as the total number of hours to be devoted to the project and will therefore be reflected in the average number of hours devoted per week. You are reminded, however, that the time Investigators contribute to the project would need to be justified and would be considered as part of the peer review process.

Deadlines

From January 2009 this scheme will operate without formal deadlines and you will be able to submit proposals at any time of the year. The assessment process for an application will take approximately **30 weeks** and the earliest start date for a project should be no earlier than **9 months** after submission. You should note that, on occasions, where there is a delay in obtaining the peer reviews for an application then the assessment process may take longer. In such circumstances the AHRC will contact the applicant to inform them of any delay.

Applying for other funding

Research Grants - all routes

You can apply (although not to the route for speculative research) within the Research Grant Scheme for further funds for a related or continuation project at a later stage, provided that you have submitted (a) satisfactory monitoring report(s) in relation to the previous award. The AHRC will not, however, provide further funding to enable you to complete work that you were unable to deliver in a previously funded project. You can also apply for funding through other AHRC schemes. You should bear in mind that all such proposals will be assessed in open competition, with no guarantee of funding, and the reviewers will give careful consideration to your ability to complete the project given your existing commitments.

Any proposal must outline a specific programme of work that will be conducted with the funds requested from the AHRC. The AHRC will not provide duplicate funding for activities funded by other bodies. It will, however, provide funding which complements that provided by other sources. The proposal therefore asks you to provide information about any funding for the same work, or for work related to the proposal, that you are receiving or for which you have applied. You must keep the Council informed of the progress of any such proposals. If you fail to do so, this could have an adverse effect on your application. If you are successful in securing funding from any other bodies, you may need to choose which source of funding you wish to pursue.

Research Grants Scheme – standard route

The Research Grants Scheme – standard route accepts proposals with a total full economic cost of between £20,000 and £1,000,000 and lasting up to a maximum of 60 months.

The aims of the Research Grants scheme are:

- to assist researchers in all areas of the arts and humanities to improve the breadth and depth of our knowledge of human culture both past and present
- to support well-defined research projects of the highest quality and standards that will lead to significant advances in creativity, insights, knowledge and understanding, of interest and value both in the research community and in wider contexts where they can make a difference
- to enable arts and humanities researchers to pursue, and to bring to completion in due time, collaborative research projects of the highest quality that demand the resources of more than a single scholar (please note that the AHRC would not consider a project that only involved a Principal Investigator and a PhD Project Student to meet this criteria), and to enhance collaboration between researchers
- to enable arts and humanities researchers to establish or enhance effective working relationships with fellow researchers - both within and beyond the arts and humanities and within and beyond the UK - practitioners and the wide range of individuals and organisations who may benefit from their research
- to provide opportunities for less experienced researchers to develop their expertise and their careers by working collaboratively with senior researchers on well-defined projects and by leading projects themselves
- to maximise the value of research outcomes by promoting their communication and dissemination with individuals and organisations outside academia; where appropriate, to facilitate the knowledge transfer of those outcomes to both the research community and other contexts where they will make a difference

Research Grants awards are intended to enable individual researchers to collaborate with, and bring benefits to, other individuals and organisations through the conduct of research. This collaboration may involve a Principal Investigator and Co-Investigator(s), a Principal Investigator and Research Assistant(s) or a Principal Investigator, Co-investigator and Research Assistants(s) and may involve a single institution or a combination of institutions. The collaboration may also involve people from different research areas, both between disciplines within the arts and humanities, or between an arts and humanities discipline and another subject area. It may involve researchers collaborating with researchers overseas or with colleagues within other sectors.

The collaboration proposed should be appropriate and necessary to the specific needs of the research project.

Research Grants Scheme – route for early career researchers

This route of the Research Grants scheme has been introduced to assist new researchers at the start of their careers in gaining experience of managing and leading research projects.

Applications may be submitted for proposals with a full economic cost between £20,000 and £200,000 and for a duration of up to 60 months.

The AHRC will aim to ensure that the success rate for proposals to this route is slightly higher than proposals to the Research Grants standard route.

Statement of eligibility

If you are applying to the Early Career Researcher route of the Research Grants scheme, you should briefly explain how you meet the eligibility criteria as outlined below.

Additional eligibility criteria

In addition to the criteria outlined Section Three, in order to apply to the Research Grants – early career researcher route, you must:

- have not already been a Principal Applicant/Investigator on an AHRC funded project (excluding RGPLA/Small Grants, Research Leave, Fellowships in Creative and Performing Arts, and the Research Networks and Workshops scheme)
- and at the point of application you are either
 - within eight years² of the award of your PhD or equivalent professional training or
 - within six years² of your first academic appointment³

Evidence that you meet these criteria must be provided in the case for support.

Research Grants Scheme – speculative route

The Research Grants Scheme – speculative route allows the opportunity to apply for funding for projects where the speculative, experimental or exploratory nature of the work means that results or outcomes are uncertain or cannot be guaranteed. Applications may be submitted for projects up to a total full economic cost of between £20,000 and £200,000 and lasting up to a maximum of 60 months.

The AHRC does not offer a precise definition of what might be considered speculative, in order to allow a broad interpretation. You are asked to identify the way in which your proposed research is particularly speculative, in terms of the aims of this route. This route does not provide research funding for the continuation of existing projects, nor for building upon or developing research already funded by either the AHRC or other funding bodies. It is also not intended to support researchers with a limited track record or experience, or those seeking to change the focus of their research.

The Research Grants Scheme – speculative route has the following aim, in addition to those listed for the standard route:

² This duration should exclude any period of career break, e.g. for family care or health reasons

³ By 'first academic appointment', this is a paid contract of employment, either full-time or part-time, which lists research and/or teaching as the primary function.

- to support high-quality research where the speculative, experimental or exploratory nature of the work means that results or outcomes are uncertain or cannot be guaranteed, or where a significant degree of risk is involved.

For example:

- research that is high quality, where the concepts may be speculative or the outcomes uncertain, but which has the potential to be of especial value to the research community or to other audiences and constituencies
- researchers seeking to achieve significant breakthroughs in knowledge and understanding by challenging existing models, perceptions, research methods or modes of thought
- the development and testing of the feasibility and implementation of new research techniques, tools and methods that might be applied in a variety of contexts
- innovative research in an environment which allows the possibility of 'failure' or negative outcomes
- 'proof of concept' or pilot projects, which may provide a basis for future projects of a larger-scale.

The AHRC will aim to ensure that the success rate for proposals to this route is slightly higher than proposals submitted to the Research Grants standard route.

Statement for Speculative Research

If you are applying to the Speculative Route of the Research Grants scheme, under this heading you should identify why your proposed research is particularly speculative, in terms of the aims of this route.

Research Grants – practice-led and applied route

This scheme will accept research proposals in all arts and humanities disciplines but only those that are intended to support research that is practice-led or applied in its approach. From 1 January 2009 you may apply for a total full economic cost of £40,000 and lasting up to a maximum of 12 months.

The Research Grants – practice-led and applied route provides funding for research where:

- practice is an integral component
- it is specifically undertaken with a view to generating outputs and outcomes with a defined application beyond the education sector; and/or
- it theorises contemporary practice in order to inform the Principal Investigator's own individual practice.

The proposed research must, therefore:

- include your practice as an integral component (or theorise your practice), in relation to its research questions, issues or problems, its outputs and outcomes, and – crucially – its research methods or approaches, thereby generating new or enhanced knowledge and understanding in the discipline and/or

- be undertaken with a specific view to generating outputs and outcomes with a defined application beyond the education sector – for example, new or improved systems, designs, artefacts, exhibitions, performances, events, products, processes, materials, devices, services, films, compositions, broadcasts, or policy guidance.
- Proposals where the production of educational materials are the primary outputs or outcomes are not eligible for support under this route.

You are advised to read further information regarding the AHRC's definition of research; please also refer to our generic Case for Support Guidance in Section Four.

The aims of the Research Grants – practice led and applied route are:

- to support practice-led and applied research activity of the highest quality conducted by individual scholars across all areas of the arts and humanities
- to enable a scholar to pursue well-defined small-scale projects, or parts of larger projects, that are likely to bring advances in insights, knowledge or understanding of interest and value both to the research community and to a wider public
- to maximise the value of research outcomes by promoting their dissemination and, where appropriate, to facilitate the knowledge transfer of those outcomes, both to the research community and to other contexts where they will make a difference.

If you hold a Fellowship in the Creative and Performing Arts you may apply to this scheme to support costs specific to projects to be undertaken within your programme of research. From 1 July 2009 you will be limited to a maximum of £20,000 full economic costs per proposal under this route.

If you are seeking support for historical and theoretical approaches to humanities research you should be aware that The British Academy (BA) supports a similar scheme supporting this research (<http://www.britac.ac.uk>).

Scheme specific criteria

In addition to accepting practice-led research proposals where practice is integral to the research process, proposals that theorise contemporary practice in order to inform the Principal Investigator's own individual practice, are welcome. Please read the Case for Support guidance in Section Four.

Although all subject areas are now supported within the Research Grants – Practice-Led and Applied Route, proposals for applied research must specifically be undertaken with a view to generating outputs and outcomes with a defined application beyond the education sector. Such research could include an exhibition, a performance, a film or television programme, a workshop involving the public, a policy paper, public or commercial archaeology, applied language and translation studies, applied ethics, practical theology and legal practice.

Proposals for applied research can be broadly defined as using research methods to address practical questions about policies, practices, programmes, etc. Applied research constitutes an activity that extends beyond the basic characteristics of scholarly research into the realm of practical application. It broadens research activities to address immediate real-world problems and provides concrete results or solutions within a specified time frame. Applied research should:

- examine specific research problems, issues or questions in a structured way
- be informed by the intellectual infrastructure of established research methods or approaches in the field
- be able to define new research processes, or alternatively, apply existing knowledge, methods, approaches, tools or resources in new contexts in order to solve a problem
- break new ground. For example, create new or improved artifacts, products, processes, materials, devices, policies, services, or systems of thought and ways of seeing
- be able to be replicated or elaborated. Where appropriate, the applied work should be transferable and extend beyond its immediate local application
- have significance or impact and contribute to research in the field through dissemination of the results
- specifically be undertaken with a view to generating outputs and outcomes with a defined application beyond the education sector

If your proposal falls within the subject remit of English Language and Literature and the focus of your research is creative writing, your research should bring about enhancements in knowledge and understanding in the discipline, or in related disciplinary areas. You cannot apply to this scheme to carry out research to provide content. If it would ordinarily be identified as work of a literary-critical or literary-historical nature, your project will not be eligible for support under the Research Grants – Practice-Led and Applied Route, as it is likely to fall under the remit of the British Academy’s Small Research Grants scheme.

Applicants who are seeking project funding to support an AHRC Fellowship in the Creative and Performing Arts award must ensure that their proposal demonstrates:

- how it relates to their Fellowship’s programme of research
- that it is a discrete project with specific outcomes.

You should be aware that outcomes specified as part of this Research Grants – Practice led and Applied Route project need to be produced by the end of the RGPLA award period. Further details are provided on our website:

<http://www.ahrc.ac.uk/FundingOpportunities/Pages/RG-PracticeLedandApplied.aspx>

Deadlines

This scheme operates without formal deadlines. You are able to submit proposals at any time of the year and we will aim to inform you of the outcome of your proposal within a maximum period of four months from the end of the month in which you apply.

Your proposed start date must fall after the date when awards are announced. For this reason you should ensure that the start date of your project is at least four months from the end of the month in which you apply. For example if you submit a proposal at any point within the month of January, then the first possible start date for your project would be 1 June.

Case for Support Guidance: Scheme-specific guidance - Research Grants – practice-led and applied route

Your proposal must be accompanied by a Case for Support attachment. General guidance and headings can be found in Section Four. Additional guidance relating to this scheme can be found below. You are advised that proposals that do not make clear how your practice is integral to the research programme, or do not specify explicitly the creative and/or performative aspects of the research, are unlikely to succeed. If you are submitting a proposal that aims to theorise contemporary practice in order to inform your own individual practice, you are advised that unless you specify explicitly what practice you are currently engaged with and how the research programme will inform your own practice, your proposal is unlikely to succeed and may be considered ineligible. Equally, if you wish to conduct applied research then the proposal must make explicit the applied nature of the project.

Research Methods

In order for practice-led projects to be eligible under this scheme, practice must be a central part of the research process not just the end result. In addition to the general guidance above, please describe under this heading how your own creative/performance practice will be integral to the research process. Where appropriate, please also give an indication of the proposed media for the creative work.

Project Management

Whilst the Council expects that many proposals to this scheme will be for individual scholarship, colleagues may be involved in the programme of research. Their inclusion should be explained and justified within this section.

Dissemination and Knowledge Transfer

For practice-led projects, whilst creative output may be produced and practice undertaken as an integral part of the research process, the Council would expect this practice to be accompanied by some form of documentation of the research process, as well as some form of textual analysis or explanation to support its position and to demonstrate critical reflection. This documentation, analysis and reflection must be an integral part of the project and must be carried out during the award period. These outputs can go beyond more traditional academic papers and can include such forms as exhibition catalogues, where they are authored by the Principal Investigator him/herself; journals or diaries; documentation on a website, CDs or DVDs etc. A clear rationale for the appropriateness of the form of your critical reflection should be provided. Notes on applying for AHRC Fellowship award holders If you are an AHRC Fellowship award holder, to apply for funding under the practice-led route you must identify a clearly defined project under the umbrella of your Fellowship for which you are seeking project funding. Although the funding sought is for the project costs to support your Fellowship, the practice-led proposal will be assessed on the same basis as any other proposal to the practice-led route. For this reason the Case for Support should not just reiterate the information in your original Fellowship proposal.

You will need to define the dates of the PLA project and outline the particular research that will be carried out in that timeframe; there will also need to be some form of output/dissemination at the end of the PLA project (i.e. it will not be sufficient to say that the output will be at the end of the Fellowship). You must also ensure that the project outlined in the proposal meets the AHRC's definition of research and is practice-led (please refer to Section Seven).

You should be aware that if the proposal does not articulate a clearly defined research project in this way it is unlikely to be considered for funding, in which case you would not be able to resubmit that particular project for consideration. You are therefore advised to discuss your proposal with the Research Office at your institution, and also to discuss any queries you may have with Council officers (a list of contacts can be found in the scheme guidance on the website).

Fellowships Scheme

The Fellowships scheme provides salary and associated costs for periods of three to nine months, to enable an individual researcher to work on a specified research project or programme. The Fellowship can be used to support a wide range of research activities provided that these lead to significant specified research and other outputs by the end of the Fellowship, including the preparation of publications and other outputs from research conducted prior to the start of the Fellowship.

The aims of the Fellowships scheme are:

- to provide arts and humanities researchers with additional focused research time to undertake research meeting world-class standards of scholarship, originality, quality and significance;
- to support, in partnership with institutions, the research career development of outstanding early career, mid-career and senior arts and humanities researchers;
- to facilitate the production of a wide range of research outputs that will lead to significant advances in knowledge, understanding or insights of interest and value both to the research community and to other potential users and beneficiaries, as appropriate;
- to maximise the impact of the research supported by promoting appropriate engagement, networking, communication, dissemination and, where appropriate, knowledge transfer activities, both with the research community and in other contexts where the research has the potential to make a difference.

The Fellowships scheme is not intended to provide time to develop a new research project completely from scratch, but rather should build on a project that is already well defined and developed.

The outputs of a Fellowship can vary, according to the research. It is the responsibility of the applicant to justify the value and appropriateness of the output(s) in the Case for Support.

Proposals for full economic costs up to a maximum of £120,000 for a period of up to nine months may be submitted.

Scheme specific criteria

The AHRC considers Fellowships as partnerships with institutions, complementing and adding value to institutions' strategies for supporting the research and career development of arts and humanities researchers. As such, a statement is required from the Head of Department or other relevant Senior Manager. Further details can be found below.

Applicants are permitted to have only one application under consideration in the Fellowships scheme at any one time.

Holders of Fellowship awards cannot apply again until three years after the submission of their Final Report.

The AHRC is currently considering holding events or workshops for holders of Fellowship awards, which you would be expected to attend.

Additional eligibility criteria

In addition to the eligibility criteria in Section Three:

- The Fellowships Scheme is open to members of the academic and academic-related staff of Higher Education Institutions directly funded by HEFCE, DEL, HEFCW and SFC, and to those organisations recognised by the AHRC as Independent Research Organisations (IROs) under responsive-mode schemes. Staff at Research Council Institutes may also be eligible to apply (see Section Three). Both full-time and part-time members of staff may apply.
- Applicants should be actively engaged in research and be of postdoctoral standing. This does not mean that they must have a doctorate, provided that they can demonstrate equivalent research experience and/or training. Applicants must have a contract of employment with their Research Organisation in place for the duration of the award and the monitoring period (three months after the end of the award).

Commitment

Applicants should dedicate between 50% and 100% of their time to the Fellowship, based on a standard working week of 37.5 hours per week (100% time) or pro-rata for individuals who work part-time.

For applicants who intend to commit 100% of their time to the Fellowship, no other activities (e.g. teaching or administration) are permitted during the award period, with the exception of some post-graduate supervision. The AHRC recognises that you may need to supervise a limited number of postgraduate students, providing that this can be done without detriment to your research.

Applicants who intend to commit less than 100% of their time to the Fellowship can continue with teaching, administrative, management, other professional and/or research duties (including on AHRC-funded grants) in conjunction with the award.

Provided that they remain employed by the administering Research Organisation, Fellows can be located elsewhere during the award period, for example, taking a non-stipendiary or visiting Fellowship at another HEI in the UK or overseas.

Deadlines

This scheme operates without formal deadlines and you are able to submit proposals at any time of the year. The assessment process for an application will take approximately **30 weeks** and the earliest start date for a project should be no earlier than **9 months** after submission. You should note that, on occasions, where there is a delay in obtaining the peer reviews for an application then the assessment process may take longer. In such circumstances the AHRC will contact the applicant to inform them of any delay.

The earliest start dates for the first Fellowships will be September/October 2010; applicants wishing to start at this time are advised to submit their applications by end of October 2009 in order to allow sufficient time for the peer review of their application.

Case for Support Guidance: Scheme-specific guidance - Fellowships Scheme

Your proposal must be accompanied by a Case for Support attachment. General guidance on the format, font, word limit and headings to be used can be found in Section Four.

Attachments: Scheme-specific guidance - Fellowships Scheme

In addition to the attachments outlined in Section Four, Fellowships proposals must also include the following attachments:

Workplan

A Workplan attachment is required for all Fellowships applications. It must be used to outline your timetable for the project and to indicate the work to be undertaken in each month of the award. The Workplan must not exceed 250 words. Please state clearly the word count at the end of the document.

Head of Department Statement

A statement is required from the Head of Department or other relevant Senior Manager. This should outline how the proposed Fellowship would fit within relevant institutional/departmental research, career development and knowledge transfer strategies, as appropriate. It should also indicate what support the institution has already provided, and will continue to provide, for the development of the applicant's research career and for the research they propose to undertake during the Fellowship. In addition to support for the early stage development of the proposed research, this institutional support could, for example, include travel grants, funding of directly related research costs and/or networking and communication activities, provision of additional mentoring or training, or linked periods of institutional research leave.

Evidence of significant and appropriate institutional support for a Fellowship application will be an important criterion in assessing applications and determining the priorities for funding.

If the applicant is committing less than 100% of their time to the Fellowship, the Head of Department should outline any teaching, examining and administrative commitments that will continue alongside the award. Fellows must be released from duties for the time specified and must not be expected to take on additional work within the institution once an award has started.

The Head of Department Statement should be a maximum of one side of A4 in length and in an Arial font no smaller than size 11.

Costs

A Fellowship award will cover the cost of the Fellow's salary together with associated Estates and Indirect costs. In addition, applicants can request funds to support the cost of their research, for example, travel and subsistence, equipment, and communication and dissemination costs.

As the amount of time to be dedicated to the Fellowship is a known amount, salary costs for the applicant should be recorded as a Directly Incurred cost.

Applying for other funding

Fellowships Scheme

If you will be dedicating 100% of your time to the Fellowship, you will not be eligible to be a Principal Investigator or Co-Investigator on any other AHRC award or to have commitments to undertake research with other award-making bodies in the same time period.

Each proposal must outline a specific programme of work that will be conducted with the funds requested from the AHRC. The AHRC will not provide duplicate funding for activities funded by other bodies. It will, however, provide funding which complements that provided by other sources. The proposal therefore asks you to provide information about any funding for the same work, or for work related to the proposal, that you are receiving or for which you have applied. You must keep the Council informed of the progress of any such proposals. If you fail to do so, this could have an adverse effect on your application. If you are successful in securing funding from any other bodies, you may need to choose which source of funding you wish to pursue.

Fellowships Scheme – route for early career researchers

The early career route aims to enable the AHRC to work in partnership with institutions to support the career development of researchers at the start of their careers and to provide them with focused research time and appropriate support and mentoring so that they can broaden their research experience and enhance their research outputs profile.

The AHRC will aim to ensure that the success rate for proposals to this route is slightly higher than proposals to the standard route.

Additional eligibility criteria

In addition to the standard individual eligibility criteria, in order to apply through the Fellowships scheme early career route, you must at the point of application be either:

- within eight years¹ of the award of your PhD or equivalent professional training; or
- within six years¹ of your first academic appointment² and to have completed the relevant probationary period for your current academic appointment;

and:

- to have at least a year of post-doctoral experience in an academic/research environment or to have an equivalent level of professional/practice experience of direct relevance to the proposed research.

¹ This duration should exclude any period of career break, e.g. for family care or health reasons

² By 'first academic appointment', this is a paid contract of employment, either full-time or part-time, which lists research and/or teaching as the primary function.

Previous or current holders of grants through the AHRC Research Grants Scheme's routes for early career researchers, or for practice led and applied research, and previous or current holders of grants through the research networking scheme may apply under the early career Fellowships provided that at the point of application they still meet the above eligibility criteria. Similarly, applicants for an early career Fellowship who have held research grants such as post-doctoral Fellowships or small or development grants from other funders, may apply provided that they meet the above eligibility criteria. Further details about the eligibility criteria are available in Section Three. Evidence that the applicant meets these criteria must be provided in the Case for Support.

Fellowships for early career researchers under the scheme are not intended to enable early career researchers who have recently completed their Ph.D. to write up their doctoral thesis for publication or other dissemination. Early career Fellowships are aimed at supporting applicants to take forward new avenues of research which they have developed since completion of their Ph.D. or to pursue new research directions which have evolved from their Ph.D. research. The Fellowship will be expected to lead to substantive new research outputs. Applicants will be expected to explain in their application how the Fellowship differs, or takes a new direction, from their original Ph.D. research in the Case for Support.

Case for Support Guidance: Scheme-specific guidance - Fellowships Scheme – route for early career researchers

Statement of eligibility

If you are applying to the early career researcher route of the Fellowships scheme, you should briefly explain how you meet the eligibility criteria outlined above.

Attachments: Scheme-specific guidance - Fellowships Scheme – route for early career researchers

In addition to the attachments outlined in Section Four and those above, applications to the early career route must also include the following attachments:

Mentor Statement

Research Organisations are required to provide mentoring support for early career researchers for the duration of the Fellowship. This attachment should include details of the named mentor, a specified time commitment to mentoring, a clear programme of meetings and statement of contact time with the Fellow, and commitment to a training and development plan.

A summary curriculum vitae should also be included for the proposed mentor. The CV should include basic information about education, employment history and academic responsibilities.

The Mentor Statement should be a maximum of two sides of A4 in length and in an Arial font no smaller than size 11.

Costs

The AHRC will make a contribution to the cost of mentoring. An hour per month of the mentor's time should be built into the budget as a Directly Allocated cost. However, institutions may provide additional mentoring support alongside other forms of training and/or career development support for early career applicants, as a part of their additional support for the Fellowship.

Research Networking Scheme

This scheme has replaced the Research Networks and Workshops scheme. The Research Networking scheme is primarily aimed at the development of new networks and interactions.

The Research Networking Scheme is intended to support interdisciplinary forums for the discussion and exchange of ideas on a specified thematic area, issue or problem. The intention is to facilitate interactions between researchers and stakeholders from a range of disciplines, institutions and organisations to explore and develop the area specified in the proposal though, for example, a short-term series of workshops, seminars, networking activities or other events.

Proposals for full economic costs up to £30,000 for a period of up to two years may be submitted. The exact mechanism for networking and the duration is up to the applicants to decide but must be fully justified in the proposal.

An additional threshold of up to £15,000 full economic cost may be sought to cover the costs of any international participants or activities in addition to the £30,000 fEC scheme limit. Proposals must be led by a UK HEI or IRO and are expected to have participants from a number of UK institutions as well as have significant relevance to beneficiaries in the UK.

Proposals for the development of European collaborative networks and/or consortia which might support the development of applications to the EU under the Framework programme or other EU funding opportunities are also welcome.

The aims of the Research Networking scheme are to:

- support interdisciplinary collaboration between researchers within the arts and humanities, colleagues in other disciplines and other stakeholders to explore a particular theme, issue or subject area;
- enable interdisciplinary groups of researchers to explore ideas which could lead to tangible projects and maximise opportunities for advances in creativity, insights, knowledge and understanding in the area to be explored, with results of value both to the arts and humanities research community and to other contexts where they can make a difference;
- encourage and enable researchers within the research community to involve new researchers and research students, as well as people or organisations from outside the academic and research community, in the discussion and development of ideas;
- to foster (where appropriate) international collaboration and the development of strong academic links with overseas researchers, in order to develop understanding through engagement with different cultures and parts of the world, and to enhance research standards;
- provide a framework for the AHRC to learn of emerging areas of intellectual urgency and potential strategic importance, both within the UK

and internationally, identifying key research challenges by building new collaborations as well as strengthening existing ones.

Funding is sometimes made available through a bilateral co-funding agreement with selected overseas agencies. In such cases, the guidance outlined here will be supplemented by further detailed guidance which will be made available on the AHRC's and the partner agencies' websites. Further information on the AHRC's international strategy and funding opportunities, please visit the following link on our website:

<http://www.ahrc.ac.uk/About/Policy/Documents/International%20Research%20Policy.pdf>

The scheme is primarily aimed at stimulating research that crosses boundaries, both disciplinary and institutionally. Proposals that have a narrow disciplinary focus and/or involve researchers from within one institution only are unlikely to be considered a priority for funding. Disciplines, for this purpose, are considered to be the high-level subjects listed in the AHRC's subject classification, e.g. Archaeology, Law, Music, etc. See Section Seven AHRC Subject Classification for further details.

Deadlines

This scheme operates without formal deadlines. You are able to submit proposals at any time of the year and you will be informed of the outcome of your proposal within a maximum period of four months from the end of the month in which you apply.

Your proposed start date must fall after the date when awards are announced. For this reason you should ensure that the start date of your project is at least four months from the end of the month in which you apply. For example if you submit a proposal at any point within the month of January, then the first possible start date for your project would be 1 June.

Assessment criteria

Assessment Criteria: Research Networking scheme only

The following will be taken into account:

- the extent to which the proposal meets the specific aims of the Scheme
- the quality of the research process outlined, including: research agenda, participants, sustainability and appropriateness of methods to foster interactions
- the level of genuine interdisciplinary collaboration proposed and the value that this will add to the development of research in that area
- the significance and importance of the thematic area to be explored
- the extent to which the proposed interdisciplinary activities will generate genuine and novel interaction, including the potential for them to lead to advances in knowledge and understanding in the fields concerned and/or new high quality cross-disciplinary research projects
- the extent to which the potential outcomes justify the costs
- the level of interaction between participants (creative techniques for fostering interactions are welcomed). Please note that standalone events

are not eligible for support through this scheme unless it can be clearly demonstrated that such an event is part of the research process

- whether the Principal and Co-Investigator demonstrate the requisite skills and experience to manage the proposed activities, and whether there is a sufficiently broad range of expertise and experience amongst the other named participants
- the extent to which there are effective plans for management of the activities and the monitoring of progress, including whether a realistic timetable and reasonable costs are presented which will achieve the aims and objectives of the proposal
- whether the proposal demonstrates an appropriate strategy for the dissemination and exploitation of any outcomes, including the extent to which plans are in place to extend collaboration once the award has ended
- the extent to which what is proposed will have an impact beyond the lifetime of the award

In addition to the above criteria, the following will also apply to Research Networking proposals requesting additional funds for international collaboration:

- the extent to which the proposed activities will foster the development of strong academic links between the UK and researchers in other countries and the value that this adds to the research area.
- the contribution and added value of the proposed international collaboration to the research networking outlined
- in order to justify the raised scheme limit as specified in section D, costs over and above those specified for the standard scheme must be directly related to activities fostering the contribution of colleagues from other countries, including events in those countries. These costs must be clearly identified and itemised within the proposal.

Case for Support - Research Networking Scheme

Your proposal must be accompanied by a Case for Support attachment. Further information on the format, font and word limit can be found in the general Case for Support guidance in Section Four of this guide. Further guidance and headings you should use can be found below.

In your case for support, you must outline clearly the rationale for the interdisciplinary activities, approach and the research context in which they will operate by answering the following questions: what is the central theme of the proposed interdisciplinary activity? Why is it important that this theme be explored? How will the proposed activities lead to advances in understanding? You should also give details of the aims and objectives, the timetable for any activities proposed, proposed participants and key speakers, and plans for management and co-ordination, including the membership of any proposed advisory group or steering committee.

Provided that the applicant meets the eligibility criteria, additional participation can be as broad as is needed to achieve the aims of the networking (within the budget available), and additional members can be brought in during the course of the award. The inclusion in the interdisciplinary activities of people from beyond the academic community is particularly encouraged, as is the involvement of new researchers and research students as well as international partners. As well as

any named participants, an indication of the subject interests to be represented should be provided.

You should structure your case for support using the following headings:

Rationale and research context

You should describe clearly the rationale, approach and research context of the interdisciplinary activities. Why are the proposed activities necessary to address this theme at this time? To what extent do the proposed activities generate fruitful and novel interaction? You will need to provide a clear explanation of how your activities are interdisciplinary and how this adds value to the proposed activities. What is the research context in which the activities will operate and how will it advance knowledge and understanding in the fields concerned? To which audiences/disciplines will the activities and its outcomes be of interest?

Aims and objectives

You should describe the aims and objectives of the activities. What specific targets or outcomes will you have achieved by the end of the project?

Timetable of Activities

You should give a clear timetable of activities for events such as workshops, symposia, conferences, meetings of the advisory group.

Key speakers or participants

If there are specific speakers or participants who would be central to the success of project, these should be listed together with their expertise, in addition to some indication of their availability.

Management and co-ordination

How will the activities be managed? Will there be an advisory group or steering committee? If so, who are the proposed members and does the membership reflect the constituencies the proposal intends to reach? What will be the roles of the principal investigator, the co-investigator, and other members? Please note that you are permitted only one co-investigator under this scheme.

Dissemination and Exploitation

What are your plans for dissemination and exploitation of the outcomes of the interdisciplinary activities? You should give an indication of the intended audiences, beyond those directly connected with the proposed activities, and how you envisage communicating with, and disseminating the outcomes to them. Details of any plans to ensure that collaboration continues once the award period has ended should also be entered in this section.

Costs

The Research Networking scheme will meet the costs of the salary of the applicant for the time spent overseeing and providing intellectual input to the activities, the cost of setting up and coordinating the activities (for example, the salary costs of a coordinator) along with associated Indirect and Estates costs. Time spent by the applicant on the co-ordination of the activities is not expected to form the majority of the cost of the proposal. The salary costs of participants may not be included in the proposal.

Costs within the £30,000 fEC scheme limit should include all UK based activities. Such costs can include the PI, and Co-I's time on the project, administrative support, estates and indirect costs, costs involved in organising events and travel and subsistence costs for UK participants.

Costs of activities directly related to those fostering the contribution of colleagues from anywhere outside of the UK can be included up to a maximum additional limit of £15,000 fEC over and above those specified for the £30,000 fEC scheme limit. Eligible costs above £30,000 limit are only those which can be directly attributable to international collaboration such as overseas travel and subsistence (both for international participants visiting the UK, and UK participants travelling to events/activities outside of the UK), international phone calls and/or video conferencing. The extra funds cannot be used to support costs such as the additional Investigator time or administrative support in the UK spent supporting the international collaboration. The added value and contribution of the international participation to the research networking activities, must be clearly explained and justified in the proposal.

The scheme is not intended to fund stand-alone events which are not part of the research process, for example events held to disseminate findings from research already undertaken. Fees for consultants or speakers will therefore be considered only on an exceptional basis where it can be demonstrated that their participation is in keeping with the aims of the scheme to facilitate the exploration of new ideas.

All costs must be itemised separately within the budget breakdown and the costs of any international collaboration clearly indicated. In addition, all costs must be justified within the justification of resources.

Applying for other funding

Research Grants and Research Networking Scheme

If you have already received AHRC funding through the Research Networking Scheme (previously Research Networks and Workshops Scheme), you are eligible to apply to other AHRC research schemes for further funds relating to a project that arises from the work of the Network or Workshop, as long as: the additional funding complements your current award and does not duplicate it; you are able to commit the required time to the project; each grant funds a discrete piece of work.

SECTION TWO

Costs

General information

All applications to AHRC responsive mode schemes should be costed on the basis of the full economic costs (fEC) of the research. If the application is successful, the AHRC will contribute 80% of these costs. All costs that contribute to the full economic costs of the proposal should be included.

Guidance on costs can be found below as well as additional guidance relating to each scheme can be found in Section One under each scheme section.

Cost Headings

All costs should fall under one of the following headings:

Directly Incurred

These are costs that are explicitly identifiable as arising from the conduct of a project, are charged as the cash value actually spent and are supported by an audit record. They include:

- ***Staff***

Payroll costs requested for staff, full or part-time, who will work on the project and whose time can be supported by a full audit trail during the life of the project.

- ***Travel and Subsistence***

Funds for travel and subsistence for use by staff who work on the project where these are required by the nature of the work.

- ***Equipment***

The cost of individual items of equipment dedicated to the project and costing more than £3,000 (including VAT). Where equipment or survey costs exceed £50,000 in total (including VAT), then the amount above this figure will be paid in full and will automatically be entered under the 'Exceptions' heading.

- ***Other costs***

Costs of other items dedicated to the project, including consumables, books, survey fees, purchase/hire of vehicles, publication costs or recruitment and advertising costs for staff directly employed on the project. Items of equipment costing less than £3,000 should also be included under this heading.

Directly Allocated

These are the costs of resources used by a project that are shared by other activities. They are charged to projects on the basis of estimates rather than actual costs and do not represent actual costs on a project-by-project basis. They include:

- ***Investigators***

Proposals will need to show the costs of the Principal Investigator and any Co-Investigators if their time charged to the project is based on estimates rather than actual costs.

- ***Estates***

These costs may include building and premises costs, basic services and utilities, and any clerical staff and equipment maintenance or operational costs not already included under other cost headings.

- ***Other Directly Allocated***

These costs may include, for example, the costs of other research staff, technical, administrative and other support staff, or access to institutional research facilities such as equipment and IT systems.

Indirect Costs

These include non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated costs. They include the costs of the Research Organisation's administration, such as personnel, finance, library and some departmental services.

Exceptions

These are Directly Incurred costs that Research Councils will fund in full (i.e. at 100%), subject to actual expenditure incurred, or items that are outside fEC. This heading is only currently applicable to the cost of Project Students (Research Grants – standard and early career routes).

Indexation

All costings should be at current prices, inclusive of VAT and other taxes where applicable, with no allowance for inflation. Any allowance for inflation that has been included in the full economic costing of the proposal by the Research Organisation must be excluded. The AHRC will include an allowance for inflation if a grant is awarded.

Project Partners

If you are collaborating with another organisation which is providing a specific contribution (cash or in kind) to the research project you can identify them in the application as a 'Project Partner'. If a collaborating organisation's involvement is being charged to the project you should not include this within the project partner section.

Resources to be provided by project partners, whether cash or in-kind contributions, should be clearly identified in the proposal. These contributions are not considered to be part of the fEC of the project.

Please note that project partners can be based in the UK or abroad. A letter of support is required from each Project Partner. This letter is intended to outline both the level of commitment of proposed partner, the value and benefit of the work to the project partner, the nature of the contribution and the added value to the project of the involvement. Details of the information required regarding project partners is available within the relevant section of the JeS Helptext.

Justification of Costs

All costs associated with the research project must be justified in the Justification for Resources attachment, with the following exceptions:

- Estates costs
- Indirect costs
- Investigator salary costs
- Some other Directly Allocated – general technical services,
- Shared lab equipment

Although Investigators' precise salary level need not be justified, the balance of staffing - between investigators, research assistants and project students of different levels of experience and seniority - and the amount of time that Investigators will devote to the project, must be justified fully within the Case for Support.

If you wish to include costs associated with the dissemination and the knowledge transfer of your research within your proposal, you should ensure that the end-date for your project is timed to accommodate the proposed activities. Costs may only be claimed for such activities undertaken during the period of an AHRC award. Any such costs must be directly related to the research findings rather than, for example, the creative output per se.

Justification of Costs: Research Networking scheme

In addition to the above, the breakdown of costs in the main proposal and the Justification of Resources attachment for the Research Networking scheme should clearly explain any additional costs sought for international participation. (For further information please see section one: funding opportunities- Research Networking Scheme)

Scheme Limits

Some schemes have overall limits within which costs must fall, based on what is considered appropriate given the aims of the scheme. These are detailed in the table below:

Name of scheme	Minimum scheme limit (FEC)	Maximum scheme limit (FEC)
Fellowships	None	£120,000
Fellowships – early career	None	£120,000
Research Grants – standard route	£20,000	£1,000,000*
Research Grants – early career researcher route	£20,000	£200,000*

Name of scheme	Minimum scheme limit (FEC)	Maximum scheme limit (FEC)
Research Grants – speculative route	£20,000	£200,000
Research Grants – Practice-Led and Applied	None	£40,000#
Research Networking	None	£30,000
Research Networking that includes international participation	None	£45,000

*Please note that for the Research Grants – standard and early career researcher routes the scheme limit maximum includes the cost of any project students requested.

#Please note that from 1 July 2009 current Fellows in the Creative and Performing Arts may only seek up to £20,000 fEC per application to the Research Grants Practice-Led and Applied route.

The application should demonstrate the full economic cost of the proposed project. Applications should not be under-costed in order to meet a scheme limit. The scope of the project should be altered so that the project’s fEC meets the scheme’s limit.

For applications where the proposed duration is longer than 12 months, please note that while there is no limit on the amount that can be requested in any one project year, the amount applied for should be directly related to, and justified in terms of, the length, scale and importance of the project.

Within any particular scheme, there is no differentiation in the assessment procedures between shorter projects and those of longer duration, and thorough consideration is given to lower value bids. You should be aware that value for money is an important criterion in the assessment of applications and that, as the level of funding sought increases, so too does the challenge of meeting this criterion. Reviewers will particularly scrutinise the balance of staffing and the amount of time devoted by Investigators to the project.

SECTION THREE

Eligibility

General criteria

Principal Investigators: Research Grants and Research Networking Scheme

For the Fellowships and Fellowships in the Creative and Performing Arts schemes, please refer to scheme specific guidance in Section One.

The Principal Investigator takes responsibility for the intellectual leadership of the research project and for the overall management of the research or other activities. S/he will be the person to whom we shall address all correspondence and must be based at the organisation at which the grant will be held. For the purposes of the Research Networking schemes, the Principal Investigator is also understood to be the network or workshop co-ordinator.

The Research Grants scheme and the Research Networking scheme are open to members of the academic and academic-related staff of Higher Education Institutions (HEI) directly funded by HEFCE, DEL, HEFCW and SFC, and AHRC-recognised Independent Research Organisations (IROs). A list of eligible IROs can be found on the AHRC website at: <http://www.ahrc.ac.uk/FundingOpportunities/Pages/IndependentResearchOrganisations.aspx> Staff at Research Council Institutes may also be eligible to apply, see further information below.

Full-time and part-time members of staff on teaching and/or research contracts can apply. Staff already employed on research contracts that relate to specific projects and grants (e.g. Research Assistants) are not eligible to apply for funding. Additionally, it is not permissible for someone to be both a Principal Investigator or Co-Investigator and a research assistant on the same project.

If you are a researcher at an eligible Research Organisation who is not a salaried member of staff (for example honorary fellow or visiting fellow), you may also apply but only if you have a formal contractual arrangement with the Research Organisation at the point of application. You must provide evidence of this contractual arrangement with the host Research Organisation, and the host Research Organisation must support and endorse your application. The contractual arrangement must outline the nature of your relationship with the Research Organisation, state the contact that you are expected to maintain with its staff and students, and you must be able to demonstrate that your research proposal is consistent with its research culture and strategies.

To apply for an award, you should be actively engaged in research and be of postdoctoral standing. This does not mean that you must have a doctorate, provided that you can demonstrate in your application that you have equivalent research experience and/or training. You should also be the person who will direct the work and be actively engaged in carrying it through. You will be asked to specify in the application exactly how you will be involved in and participate in the proposed work.

Professors Emeriti are eligible to apply. If you are a holder of any other senior non-stipendiary post you may also be eligible to apply for funding, but should contact the Council if in any doubt.

Your contractual arrangement with the host Research Organisation must be in place at the point of application and must cover both the period of the award and the monitoring period (three months after the end of the award). With the exception of RGPLA (see paragraph below), this contractual arrangement cannot be dependent on the success of the application. The Council will make an individual assessment of all eligibility cases.

Exceptionally Research Grants: Practice Led and Applied applicants on part time contracts may apply for an extension to their contracted hours through the grant on the basis that the contract is promised at the time of application but conditional on the success of the proposal.

Recipients of Research Council Academic Fellowships, who are initially supported as postdoctoral research assistants (PDRAs) on Research Grants, are eligible to apply for new research grants in their own right. However, it is not possible to start any award until the PDRA duties on the original grant have been completed.

For the Research Networking Scheme the applicant must be the person who will be responsible for co-ordinating the activities, and s/he must come from a discipline within the arts and humanities subject domain.

Co-Investigators (Research Grants and Research Networking schemes)

A Co-Investigator assists the Principal Investigator in the management and leadership of the research project. The same eligibility criteria apply to Co-Investigators as Principal Investigators. The AHRC assumes that there will normally be no more than two Co-Investigators (one for Research Networking) in addition to the Principal.

Eligibility of Research Council Institute staff – all schemes

The Research Councils have agreed to a change in the eligibility status of Research Council Institutes for grant funding from nonparent councils. Up to now, Councils have assessed the eligibility of institutes of other Councils on a case-by-case basis or, in some cases, through bilateral reciprocal arrangements. Now, in a move to create more consistency between Councils in the treatment of RC institutes and to help remove potential barriers to funding interdisciplinary research, the Councils have agreed that all RC institutes should be eligible for grant funding from all Councils. A list of eligible Research Council Institutes can be found on RCUK website at: <http://www.rcuk.ac.uk/research/rcieligibility.htm>

Research Council Institute staff need to ensure that they meet the relevant criteria for each particular scheme in relation to their academic experience and to the nature of their contract.

Institutes that are considering submitting a proposal to a Council to which they will be newly eligible are encouraged to discuss the proposal with the relevant Council staff in the first instance and to consult the Council's published funding guidance.

Research Assistants (Research Grants only)

Research Assistants employed on Research Grants projects must be of postdoctoral standing. This means that they should possess either a PhD or have the equivalent research experience.

The responsibilities of the post requested on the project should be commensurate with the level of experience and skills of the proposed Research Assistant (whether named or unnamed).

Please note that the AHRC does not fund the employment of researchers who are registered for higher degrees unless the researcher is already of postdoctoral standing and:

- the work of the higher degree is not an integral part of, and does not arise directly from, or feed directly into, the work of the project
- the salary costs sought are appropriate, and directly related to the actual time the postdoctoral researcher will spend working on the project.

Archaeology: radiocarbon dating: Research Grants Scheme

If your project requires access to radiocarbon dating facilities, you should apply for access to the Oxford Radiocarbon Dating Service (ORADS), which is funded by the AHRC and NERC. For further details on how to apply, see

<http://www.rlaha.ox.ac.uk/orau/orads.html>

If you have any queries regarding the service provided by ORADS please contact Dr Tom Higham, Deputy Director (thomas.higham@rlaha.ac.uk)

Note: the AHRC will only allow radiocarbon dating costs to be requested as part of the AHRC grant if ORADS confirms that it is not able to provide a suitable service and that costs should be sought from the AHRC. In such circumstances, costs should be justified and it should be clearly explained in the Case for Support why the AHRC is being asked to provide funds.

SECTION FOUR

Application Guidance

Completing the Proposal

Joint Electronic Submission System (JeS)

All proposals must be completed and submitted via the Research Councils' Joint Electronic Submission System which may be accessed at www.je-s.rcuk.ac.uk. To submit proposals using Je-S both individual applicants and the submitting Research Organisation (the one that will hold the award) must be registered on the system.

Please ensure that the correct contact address is showing on your Je-S record, as this address will be used to notify you of the outcome of your application. This particularly applies to Fellowships in the Creative and Performing Arts applicants who are not currently based in the department that would host the Fellowship and would prefer correspondence to be sent to their home address.

There is detailed Helptext within the JeS system that provides information on how to complete each section of the proposal form. There is also a dedicated JeS Helpdesk that provides telephone and email support with the proposal process. They are available between 9am and 5pm, Monday to Friday, and can be contacted by email at jeshelp@rcuk.ac.uk or by telephone on 01793 444164.

Subjects

For all schemes you are asked to indicate the primary subject area(s) of your proposal and optionally, up to two secondary subject areas. This information will be used to assist in selecting Peer Review College reviewers and identify the panel to which your application will be submitted. The subject classification used by the AHRC can be found in Section Seven: Subject Classifications.

You are advised when preparing your proposal to keep in mind that your proposal will be considered by panellists who have a broad knowledge and understanding of the subject areas and disciplines with which their panel is concerned, but do not necessarily have a detailed knowledge of your particular specialism. Specialist advice is made available to the peer review panel via the review provided by the Peer Review College members (See Section Five – assessment process)

You are therefore encouraged to address your proposal to a group of peers conceived as broadly as is consistent with the specialist nature of your project. The Council is committed to the principle that the work it funds should be disseminated to as wide an audience as possible, both within the UK and internationally. In framing proposals for peer review, therefore, Principal Investigators are advised to address as wide a group of peers as possible.

Technical appendix

Research Grants (Standard, Early Career Researcher and Speculative), Fellowships and Fellowships in the Creative and Performing Arts Schemes only.

If a significant product or by-product of your project is the creation of an electronic resource, you must complete the Technical Appendix section for your proposal. The information in this Technical Appendix will be used by the AHRC to

review the technical feasibility of the project. Please note that if a significant product of your project is the creation of an electronic resource, and you do not complete a technical appendix, your application may be regarded as incomplete and will be rejected.

You are strongly advised to obtain appropriate advice and guidance regarding the technical aspects of your project, before submitting an application⁴. You should ensure that advice is sought in plenty of time before the final submission date.

The technical appendix, in conjunction with the Case for Support, should demonstrate that the project will be able to deliver the proposed outputs to the target audiences that have been identified within the application.

Technical reviewers will comment specifically on the technical feasibility of your proposal and the technical review will also be forwarded to the Principal Investigator together with the peer reviews as part of the PI response stage, to assist the panel in arriving at its grading decisions.

You should also note the AHRC's requirement, as a condition of award, relating to the availability of significant electronic resources. Please refer to the Research Councils' Terms and Conditions' of awards for further details (see Section Seven).

Societal and Economic Impact

The excellent research funded by the UK Research Councils has a huge impact on the wellbeing and economy of the UK. Working together with our wider communities and other partners, we want to ensure that these impacts are effectively demonstrated and supported throughout the research lifecycle and beyond. This will add value, stimulate interest from wider stakeholders - including the general public - and, where needed, actively highlight the need for continued investment in the research base.

The Research Councils are committed to funding excellence with impact. To ensure that Research Councils can best assess this, new sections are being introduced to the Grants application form to encourage applicants to give fuller attention to the potential impacts of their work beyond academia, to consider potential beneficiaries and outline the mechanisms through which they will be engaged. A Research Councils' statement to explain the context, objectives and rationale underpinning these new sections is provided at Section Seven.

The onus rests with applicants to demonstrate how they will achieve this excellence with impact, taking into account what is reasonable and/or expected for research of the nature they are proposing. It is also recognised that impacts can take many forms, can emerge at different stages of the research lifecycle and beyond and can be promoted in many different ways.

The Impact Summary and Plan are not designed to ask peer reviewers or applicants to predict future benefits. Are intended to allow the applicant to

⁴ The AHRC has an agreement with the Archaeology Data Service whereby applicants to AHRC funding schemes can seek advice on research that could lead to a digital output in archaeology and the historic environment.

highlight, as appropriate for their research, potential pathways to impact - for example through collaboration with partners - and to help the Research Councils support them in these activities.

Research Councils will not be disadvantaging 'Blue-skies' research or research without immediate or obvious impact, nor stifling creativity. The Councils remain committed to supporting excellent basic, strategic and applied research.

New sections on the application form

From March 2009 applicants to the majority of AHRC funding calls and schemes are required to complete three new sections in the application form: an ***Academic Beneficiaries*** section, an ***Impact Summary*** and an ***Impact Plan***. Detailed guidance on the new sections of the application form is outlined in the Je-S Help Text, but brief guidance are provided below.

What is meant by Societal and Economic Impact?

The Research Councils describe impact as the demonstrable contribution that excellent research makes to society and the economy. Impact embraces all the extremely diverse ways in which research-related knowledge and skills benefit individuals, organisations and nations by:

- fostering global economic performance, and specifically the economic competitiveness of the United Kingdom
- increasing the effectiveness of public services and policy and,
- enhancing quality of life, health and creative output.

Impact can mean the 'influence' of research or its 'effect on' an individual, a community, the development of policy, or the creation of a new product or service. It relates to the effects of research on our economic, social and cultural lives.

Economic impact is not restricted to financial or monetary impact. The AHRC understands that impact can involve both direct and indirect benefits for UK society and the economy, and therefore recognises that there are a wide variety of pathways through which arts and humanities research can create value, inform public policy and contribute to quality of life. The arts and humanities create social, cultural, economic and policy benefits directly and indirectly through - for example - enhancing the knowledge economy, providing innovative content and support for the creative and cultural industries, working in partnership with museums, galleries and other cultural organisations, enhancing public debates, participation and engagement, informing developments in performance, professional practice or public policy and contributing to regeneration, community cohesion and social inclusion.

The AHRC recognises that much of the research it funds already achieves high impact, but the new sections of the application form will enable us to accelerate,

support and extend the possibilities of impact in areas where it is less developed, and it will provide us with additional information for evaluating those impacts.

Completing the new sections

Applicants are required to complete the following three new sections on the application form. Full guidance is provided in the Je-S Help Text but the purpose of these sections is described briefly below:

1. Academic Beneficiaries (new section on Je-S application form)

The Academic Beneficiaries section (up to 4,000 characters) asks you to summarise how your research will benefit other researchers in your field and – where relevant – academic beneficiaries in other disciplines. Academic communication and dissemination plans should be elaborated further in your case for support.

2. Impact Summary (new section on Je-S application form)

The Impact Summary (up to 4,000 characters) asks you to address three questions: who will benefit from the research? how will they benefit? and what will be done to ensure that they benefit?

In this section, you are asked to consider users and beneficiaries of the research who are outside the academic research community (they can be individuals, specific organisations or groups/sectors), for example:

- policy-makers, governments (at local, regional, devolved, national and/or trans-national levels)
- public sector agencies or bodies
- international organisations
- the commercial/private sector
- professional or practitioner groups
- the third sector, including charities, museums and galleries, organisations and individuals in the creative and performing arts
- the media
- local communities or the wider public in general.

Please note that the Impact Summary may be published to demonstrate potential impact of Research Council funded research and so should not include any confidential information.

3. Impact Plan (new attachment)

The Impact Plan (attachment of up to 2 sides of A4) asks you to expand on the Impact Summary. It is your opportunity to describe in more detail how the potential impacts of the research beyond academia, as outlined in the Impact Summary, will be realised. Taking into account what is reasonable and appropriate given the nature of the research you propose to conduct, you are asked to describe how the proposed research will be managed to engage any users and beneficiaries that have been identified, or to identify potential users and beneficiaries as the research progresses, and to increase the likelihood of achieving impacts. In presenting your plans, you should tailor and target your impact plans to ensure that they are relevant to the specific user and beneficiary groups likely to be interested in your research and appropriate for supporting the potential research impacts outlined. Innovative and creative approaches are strongly encouraged.

When completing the attachment, you should consider (and address if appropriate) methods for communications and engagement, collaboration and exploitation. You should also detail who will be undertaking any impact activities and include any resource implications in the financial summary and in the separate Justification of Resources attachment.

The AHRC recognises that not all research will have direct impacts, but aims to encourage researchers to maximise potential impacts where they occur. We are introducing the Impact Summary and Plan to encourage researchers to think about the potential impacts and beneficiaries of their work at the planning stage and the possible pathways through which impacts might be achieved. In doing so we expect applicants to consider what is reasonable and expected for research of the nature they are proposing.

The nature of your research may mean that identifying potential impacts or beneficiaries outside academia is not straightforward at the time of application. Where this is the case you should explain the reasons in your Impact Summary. The amount of information provided in the Impact Plan will therefore depend on the nature of the project, but you must complete this and the other sections in order to submit your application. Excellent research without obvious or immediate impact will continue to be funded by the AHRC and will not be disadvantaged as a result of the introduction of these new sections to applications.

Excellence with Impact in the assessment process

Consideration of the potential for research to achieve broader impacts, arrangements for engaging with potential beneficiaries and the quality of communication plans is not a new factor in the assessment process. However, the new sections will allow both applicants and peer reviewers to give much fuller attention to these issues in ways which are sensitive to the diversity of research funded by the AHRC, whilst still retaining the focus on research excellence.

The Academic Beneficiaries section, Impact Summary and Impact Plan will be considered by the peer reviewers as part of your application, alongside the

proposed outputs and dissemination strategy. Peer reviewers will be asked to comment on:

- whether the plans to increase impact are appropriate and justified, given the nature of the proposed research
- whether sufficient attention has been given to who the beneficiaries might be and appropriate ways to engage with them throughout the project.

Peer reviewers will be asked to take into account the diversity and variety of forms of impact (economic, social, cultural, policy, quality of life etc), timescales within which impacts might emerge and approaches through which impact might be achieved, in making their assessments. They are also advised that excellent research without obvious or immediate impact should not be disadvantaged in their assessments and that innovative approaches should be positively welcomed.

This is reflected in the general assessment criteria (see section 5). **The quality and importance of the research will remain the primary criterion for funding.** The inclusion of Impact Plans appropriate to the nature of the work proposed will be one of a number of other criteria taken into account by panels in prioritising applications for funding which have been judged to meet world class standards of scholarship, originality, quality and significance.

Attachments

Curriculum Vitae

Summary curriculum vitae should be attached as separate documents for each Principal Investigator/Applicant and any Co- Investigators, named postdoctoral researchers or named project students. These should be no more than two sides of A4 paper and in an Arial font no smaller than size 11. CVs should include basic information about education, employment history, and academic responsibilities. For Fellowships in the Creative and Performing Arts, the CV and accompanying publications/research outputs list (see below) should also be used to demonstrate your track record as an artist.

Publication Lists

Summary lists of publications/research outputs should be attached as separate documents for each Principal Investigator/Applicant and any Co-Investigators or named postdoctoral researchers. These should cover major publications/outputs in the last five years and should be no more than one side of A4 paper and in a Arial font no smaller than size 11

Brief articles, conference papers, etc. need not be included. You should asterisk those of particular relevance to your current research proposal. For Fellowships in the Creative and Performing Arts the publications list should be used, in conjunction with the CV, to list relevant exhibitions, commissions, performances or any other evidence that demonstrates your track record as an artist.

Visual evidence

Applications may include no more than two sides of A4 non-textual, visual evidence in support of the proposal, to illustrate the proposed aims and objectives and/or research methods. It is not permitted to include this material to supplement or replace your CV or publications list or to illustrate previous work in

any way nor should it be used to circumvent the word limit for the case for support.

Justification for Resources

AHRC require a single side of A4 attachment to the proposal entitled 'Justification for Resources'. You should use Arial font no smaller than size 11. This statement should be used to justify the resources required to undertake the research project and is a mandatory addition for the Research Grants schemes. Applicants should:

- explain why the indicated resources are needed, taking account of the nature and complexity of the research proposed. Note that it is not sufficient merely to list what is required
- have regard for the breakdown of resources into the summary fund headings Directly Incurred, Directly Allocated and (where appropriate) Exceptions
- in some cases, such as investigator time, use of internal facilities and shared staff costs (all likely to be Directly Allocated costs), the basis of the costing need not be justified, but the need for the resources does need justification
- try to be explicit about the need for the level of investigator time sought, bearing in mind the complexity of the research, the need to manage the project and supervise staff and any wider considerations such as collaboration, research communication or facilities usage
- estates and indirect costs do not need to be justified

In addition to the above criteria, proposals to the Research Networking scheme are required to justify the inclusion of the international participants itemised within the budget breakdown and outline why they are necessary for the success of the proposed activities.

The document should be attached as type 'Justification for Resources'.

Case for Support Guidance

General guidance

Your proposal must be accompanied by a Case for Support attachment. It is extremely important that this includes the information described below and that you format the attachment as requested. Proposals containing attachments exceeding the stated limits, or not adhering to the specified format, will not be considered. If you choose to include footnotes or a bibliography (you are not required to do so) these must be included within the word limit. Word limits for each scheme are listed in the table below:

Fellowships in the Creative and Performing Arts	3000
Research Grants (Standard, Early Career Researcher and Speculative Routes)	3000
Research Grants – Practice-Led and Applied route	2000

Fellowships (Standard and Early Career route)	3000
Research Networking	2000

To prepare a proposal in Je-S choose 'Add New Document', then the Council, Document Type and Scheme to which you are applying and 'Create Document'. Je-S will then create a proposal, displaying section headings appropriate to the Scheme you have chosen. Using 'Help' at any point accesses helptext within the Je-S system which provides context-specific guidance on how to complete the Je-S form.

Once complete, you should upload a Case for Support and other supporting information as attachments, and submit your proposal. Je-S will forward your proposal to your Research Organisation, who in turn will submit your proposal to AHRC. Please therefore ensure you allow sufficient time prior to AHRC deadlines for your Research Organisation to be able to do this (note that some Research Organisations will have their own internal deadlines). The published scheme deadline is for submission of the completed application to the AHRC by the Research Organisation. Late proposals will not be accepted. Proposals containing attachments exceeding the stated limits, or not adhering to the specified format, will not be considered.

For all schemes, your Case for Support should be in Arial font no smaller than size 11. You must also provide a word count, which should be clearly indicated at the end of the document. Scheme-specific guidance on what should be included in the Case for Support is contained in Section One of this document.

If the AHRC requires you to make amendments to your proposal after its submission, the proposal will be made available to your Research Organisation in Je-S for editing, and you will be informed of the requested changes by e-mail. Your Research Organisation can either make the amendments or return the proposal to you to make the requested amendments. You will be allowed three working days in which to update your proposal and resubmit to AHRC. Please note that any unsolicited amendments will result in your proposal being made ineligible, so it is important that you restrict changes to those that have been requested. Failure to make the requested changes by the specified due date may result in your proposal being ineligible for further consideration.

While you should aim to make the Case for Support as concise, specific and clear as possible, the work to be undertaken should nonetheless be fully explained, as failure to provide adequate detail on any aspects may seriously prejudice your application. In short, you are advised to focus your application and to provide sufficient evidence to enable members of the Peer Review College and panellists to reach a considered judgement as to the quality of your proposal, its significance, its feasibility and value for money.

You should describe your proposed project/programme of research using the required headings for your scheme (see table below). The guidance that follows the table details what information should be included under each heading. In addition to the General Guidance there is also Scheme-Specific Guidance for each scheme which can be found in section one.

If your application is a resubmission, you should also summarise the changes you have made in resubmitting the proposal. Please note that the peer reviewers who assess your application will not have a copy of your previous proposal, so your application needs to be completed in full.

These headings do not apply to the **Research Networking scheme**. Guidance for this scheme appears in the Scheme Specific Guidance in Section One.

Required Case For Support Headings	Fellowships	Fellowships Early Career	Research Grants – Standard	Research Grants – Speculative	Research Grants Early Career	Fellowships in the CPA	Research Grants – Practice Led & Applied
Aims and Objectives						x	
Research Questions or Problems	x	x	x	x	x	x	x
Research Context	x	x	x	x	x	x	x
Research Methods	x	x	x	x	x	x	x
Project Management	x	x	x	x	x	x	x
Dissemination	x	x	x	x	x	x	x
Contribution to the institution's research environment and culture						x	
Statement for Speculative Research				x			
Statement of eligibility		x			x		

General Guidance on Headings to be used

Research Questions or Problems

You should describe clearly the research questions, issues or problems that you intend to address. What are the issues that you will be exploring in the course of your research?

Research Context

You should describe the research context for your project/programme of work. Why is it important that these questions or issues are explored?

What other research is being or has been conducted in this area? What contribution will your project make to improving, enhancing, or developing creativity, insights, knowledge or understanding in your chosen area of study? To whom will the outcomes of your research be of particular interest?

Research Methods

What research methods will you be using to address the questions or issues that you have set yourself, or solve the problems you have identified, or to explore the matters you intend to investigate? Why have you chosen these methods? Why are they the best way to answer the research questions or problems you have identified? What will be your role? If there are other people involved, what will their roles be and why are they the appropriate people to be involved?

In describing your research methods it is not sufficient to state, for example, that you intend to visit a particular archive, or an exhibition abroad. You must provide adequate details of sources to be consulted, and you should state briefly what kinds of material you will be consulting, why they are relevant to your programme of research, and how you will interrogate them. Depending on the approach you are using throughout your research, you may also need to explain clearly the creative and/or performative aspects of the work, explain how you will develop a new process, product or tool, or provide details on who you have consulted or will be involved in the process of research.

Project Management

How will the project be managed? What will be the roles of the members of staff involved (including you and, if applicable, any Co-Investigator(s), any research assistants and/or PhD project students)? What is the timetable for the project? Does it include appropriate milestones and is it realistic? When will the outputs of the project be completed? How will you ensure that they meet the needs of your audience? Can the costs be justified? How will you ensure good value for money?

For the Fellowships in the Creative and Performing Arts scheme, please describe how the research programme will be managed, what the timetable will be and include appropriate milestones for the proposed work.

If a postdoctoral researcher is to be employed, you should state clearly the nature of the work they will be undertaking, and describe clearly the working relationships that are envisaged between all the members of the research team. You should describe fully the arrangements for supervising and managing the research assistant. You should also provide a curriculum vitae of the proposed researcher if one is named, otherwise you should state the skills and qualifications sought. Similarly, if the project involves a visit to or a secondment from a member of staff from another organisation, you must state clearly what work they will pursue and describe the working relationships envisaged with other members of the team. Please note that any research assistant employed on the project must have a PhD or be of post-doctoral standing.

Dissemination

Information under this heading should build on the details given in the Academic Beneficiaries and Impact Summary sections of the Je-S form.

Please provide examples of the kinds of outputs you propose to produce during the award and their proposed focus. Please explain further how the research will benefit other researchers in the field and – where relevant – academic beneficiaries in other disciplines.

How do you propose to maximise the value of the proposed research outputs? You should cross refer here to the separate attachment, 'Impact Plan'.

PhD Project Studentships – Research Grants only

Funding may be sought for one or two full-time (three years) or part-time (five years) PhD project studentships whose work will contribute to the Research Grants project as a whole. Funding cannot be sought to complete a PhD which has already started or will start prior to the start date of the Research Grant project.

The studentship must fall completely within the duration of the Research Grants project. Therefore, a Research Grants project with a full-time student must last at least three years and a Research Grants project with a part-time student must last five years.

Each studentship must provide added value to the project, but also allow the student sufficient independence to make their own original contribution to scholarship. The Research Grants project should be a viable project without the contribution of the project student, but the student(s) should benefit from working within the structure of the project as a whole. Project studentships may, on the advice of reviewers, be removed from a project before funding is confirmed.

The proposed student(s) must meet specific conditions relating to academic qualifications which are outlined in Section Seven: Studentships attached to Research Grants.

PhD Project Students must be supervised by a Principal Investigator or a Co-Investigator named on the Research Grant. The supervisor must be based at the HEI where the project student is registered. It is permissible for Independent Research Organisations to submit applications which include a PhD Project student. For further information please see Section Seven.

Submitting more than one application to the same scheme

Research Grants and Research Networking

The AHRC considers that applicants should be responsible for determining their own research priorities, and you should normally only submit one application in any one round. If you choose nevertheless to submit more than one application, then you must demonstrate that you will be able to carry out all of the projects that are successful. You should describe fully the scope and extent of your involvement in each of the projects, as our reviewers will evaluate the extent to which you, any Co-Investigator(s) and members of the research team (as appropriate), are able actively to conduct and manage the research set out in your applications.

Fellowships Scheme

Applicants are permitted to have only one application under consideration in the Fellowships scheme at any one time.

Joint Proposals

Applications with Investigators from more than one Research Organisation should be submitted on one proposal form. If successful, payment of the grant will be made to the institution in which the Principal Investigator is based and which submitted the application.

Confidentiality and use of the information supplied

By submitting an application you are giving your permission to the AHRC to process and disclose the data you provide, including processing of the personal data, as described in Section Seven: Data Protection.

Application deadlines

All schemes except Fellowships in the Creative and Performing Arts operate without deadlines. The deadlines for those schemes can be found in the scheme specific guidance in Section One.

Awards cannot be made for work that has already been done. Your proposed start date should allow enough time to make the necessary preparations and to recruit staff (if applicable) once you have been notified of the award.

SECTION FIVE

Assessment and Peer Review

General Criteria

For all schemes, except the Research Networking scheme (see scheme specific guidance in Section One), the following general criteria will be taken into account by the peer reviewers:

Quality and Importance

- the extent to which the proposal meets the specific aims of the scheme to which you are applying
- the significance and importance of the project, and of the contribution it will make, if successful, to enhancing or developing creativity, insights, knowledge or understanding of the area to be studied in a national or international context
- the extent to which the research questions, issues or problems that will be addressed in the course of the research are defined and their importance and appropriateness specified
- The appropriateness of the research context and specification of why it is important that these particular questions, issues or problems are addressed. The extent to which other current research conducted in this area has been considered, and the range of audiences that might be targeted
- the appropriateness, effectiveness and feasibility of the proposed research methods and/or approach

People

- the quality and importance of your work to date
- your ability to monitor the project and bring it to completion as demonstrated in the application
- if relevant, the appropriateness of the level and balance (in terms of time and seniority) of the proposed staffing on the project, and the extent to which opportunities will be made available for less experienced researchers
- if relevant, whether the other named participants have the appropriate experience and expertise to deliver the project
- if students are to be appointed, whether their number is appropriate and their role clearly defined. The extent to which they will benefit from integration within the project, whilst also being able to develop an independent thesis

Management of the Project

- Whether the lines of responsibility and accountability are clearly articulated.

- whether a realistic timetable, incorporating milestones, is presented which will achieve the project's aims and objectives within the proposed timescale
- The extent to which you have understood the amount of work to be involved, allocated sufficient time and resources to achieving each aspect

Value for Money

- the extent to which the likely outcome of the research will represent value for money, and in particular the relationship between the funds that are sought and the significance and quality of the projected outcomes of the research (not applicable to Fellowships in the Creative and Performing Arts)
- whether the resources requested are reasonable in the context of the proposed research (not applicable to Fellowships in the Creative and Performing Arts)

Outputs, Dissemination and Impact

- the appropriateness and effectiveness of the proposed dissemination methods
- the extent to which the research process is documented or recorded in a way to enable dissemination of research outcomes to the widest possible audience
- the likelihood that the outputs and outcomes of the project will be highly valued and widely exploited, both in the research community and in wider contexts where they can make a difference
- whether the plans to increase impact are appropriate and justified, given the nature of the proposed research
- whether sufficient attention has been given to who the beneficiaries of the research might be and appropriate ways to engage with them throughout the project.

You should also read the specific guidance for each scheme in Section One.

In addition to the general assessment criteria, the following criteria will be taken into account by peer reviewers for the Fellowships scheme:

- the extent to which the proposed Fellowship would fit within relevant institutional/departmental research, career development and knowledge transfer strategies, as appropriate
- the level and appropriateness of support given by the institution

In addition to the general assessment criteria and that above, the following criterion will be taken into account by peer reviewers for the Fellowships route for early career researchers:

- the relevance of the research project to your career development

In addition to the general assessment criteria, the following criteria will be taken into account by peer reviewers for the Fellowships in the Creative and Performing Arts scheme:

- your ability to carry out the work proposed and your research potential, including suitability for and commitment to research
- the relevance of the research programme to the your career development
- The extent to which you have identified specific targets or outcomes which will be achieved at various stages of the research and by the end of the research programme. In particular, whether the aims and objectives are realistic given the resources and timetable specified and the likely impact if they are achieved
- the appropriateness of the chosen research organisation to host the Fellowship including: the extent to which the proposal reflects a partnership between the applicant and the host research organisation; and the level of support from the host research organisation.
- the extent to which your programme of work will help to develop a new or existing active research culture within the department or institution
- the extent to which you will have a visible presence in the host Research Organisation
- the extent to which your research would be integrated into the research plans, strategies and activities of your host Research Organisation
- the relevance of the programme of work to the development of your research career
- the extent to which the programme of work will result in high quality public output(s).

In addition to the general assessment criteria, the following criterion will be taken into account by peer reviewers for the speculative route of the Research Grants scheme:

- the extent to which the proposed research is perceived to be speculative, or experimental or exploratory in nature

Dissemination – All Schemes

You are encouraged to disseminate your research and its outcomes to as wide an audience as possible, and where appropriate to engage in communication, dissemination and exploitation activities throughout the period of the project. You should therefore specify the audiences to whom your research could be of interest, and how you propose to engage with those audiences about your research. If you wish to include costs associated with the communication, dissemination and exploitation of your research within your application, you should ensure that the end-date for your project is timed to accommodate the proposed activities. Costs may only be claimed for communication, dissemination and exploitation activities undertaken during the period of an AHRC award.

There is not a general rule that debar an AHRC-supported project from aiming to charge for access to its results whether in electronic or other format. Peer reviewers, however, are encouraged to scrutinise dissemination and access strategies and to consider the extent to which the outputs that are produced by AHRC-funded projects will be utilised by the arts and humanities research community and other interested parties.

Assessment process

The AHRC is committed to assessment by process of peer review.

Application Stage

At the point of submission, each proposal will be assessed on the following criteria in reference to eligibility and assessment requirements given in the **Research Funding Guide**:

- All application documents must be eligible under the scheme requirements
- All applicants and named staff must be eligible under the scheme requirements
- The proposal must meet the aims and criteria of the scheme to which it has been submitted

Applications which do not meet these criteria will be rejected and returned to you with feedback on why your proposal could not proceed.

The Peer Review College

All proposals will be considered where possible, by a minimum of two members of the AHRC's Peer Review College. A complete list of Peer Review College members is available on our website. The Peer Review College members will provide the AHRC with graded reviews.

The AHRC reserves the right to seek reviews from specialists who are not current members of the Peer Review College if suitable College members are not available, or where such peer review input is required as part of agreements with the other Research Councils or with non-UK funding agencies. Reviews may be sought from specialists within the UK or abroad.

All peer reviews are subject to a quality check. Reviews deemed by the AHRC to be of insufficient quality will either be sent back to the reviewer for revision, or rejected from the assessment process.

Grading Scale

Grades awarded to proposals and their definitions are contained in the table below:

Grade	Descriptor (Research schemes)
6	<p>An outstanding proposal meeting world-class standards of scholarship, originality, quality and significance. It fully meets all the assessment criteria for the scheme and provides full and consistent evidence and justification for the proposal.</p> <p>It should be funded as a matter of the very highest priority.</p>
5	<p>An excellent proposal meeting world-class standards of scholarship, originality, quality and significance. It fully meets all the assessment criteria for the scheme and provides full and consistent evidence and justification for the proposal.</p> <p>It should be funded as a matter of priority, but does not merit the very highest priority rating.</p>
4	<p>A good proposal of a high standard of scholarship, originality, quality and significance. It meets all the assessment criteria for the scheme, and provides good evidence and justification for the proposal.</p> <p>It is suitable for funding.</p>
3	<p>A satisfactory proposal in terms of the overall standard of scholarship, originality, quality and significance, which meets the assessment criteria for the scheme and provides reasonable evidence and justification for the proposal but which in a competitive context is not a priority.</p> <p>It is not recommended for funding and cannot be resubmitted.</p>
2	<p>A proposal of inconsistent quality which has some strengths, but also contains a number of major weaknesses or flaws in its conceptualisation, design, methodology and/or management. It does not meet all the assessment criteria for the scheme.</p> <p>It is not suitable for funding and cannot be resubmitted..</p>
1	<p>A proposal of an unsatisfactory level of originality, quality and significance, which does not meet the assessment criteria for the scheme and does not provide satisfactory evidence and justification for the proposal.</p> <p>It is not suitable for funding and cannot be resubmitted..</p>

Increased Sifting of Proposals

From 2009 the AHRC will introduce a procedure whereby an increased number of proposals will be sifted before going on to the moderating panel. This will streamline the assessment and award process, as well as bringing us in line with the other Research Councils.

Proposals will be sifted on the following principles:

- The AHRC executive will reject a proposal upon submission where the proposal does not meet the published eligibility criteria; either relating to documentation requirements or where it does not meet the aims or criteria of the scheme to which it has been submitted.
- The AHRC executive will sift proposals against quality criteria, solely on the basis of information supplied by an AHRC peer review process.
- The AHRC executive will not sift on the basis of the information supplied by a non-AHRC peer review process.
- The AHRC executive will not sift a application based solely on a technical review.
- The AHRC executive will not sift outline proposals submitted to its strategic programmes as this process is conducted by a Commissioning Panel.
- The AHRC will not sift a proposal where the final funding decision does not fall wholly within a Research Council peer review process.

The sifting process will be introduced for the schemes outlined in Section One of this guide. It may be used for other AHRC schemes as appropriate.

The sifting process will occur in two stages:

Sift Stage 1

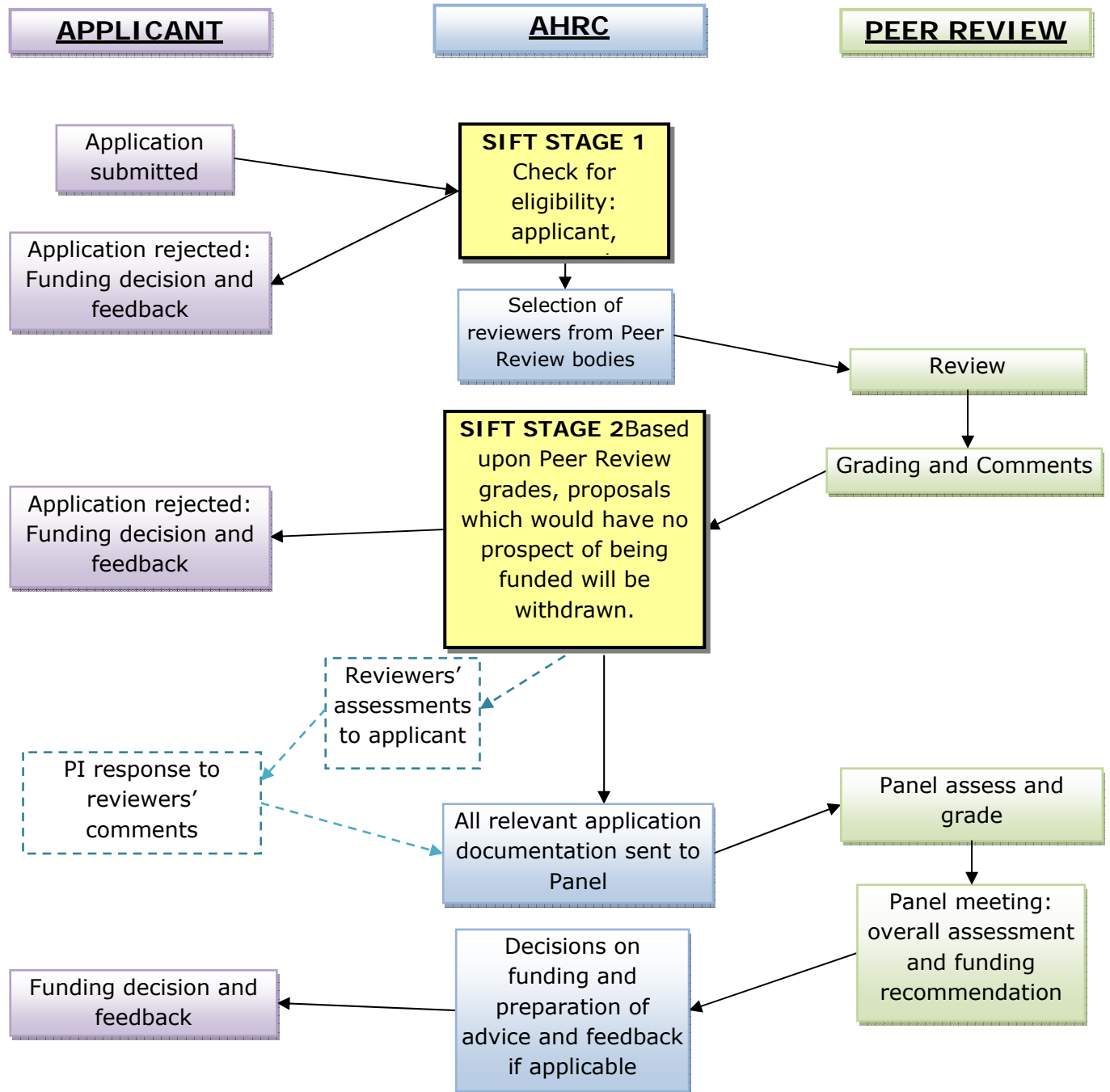
Each proposal will be assessed on the following criteria, in reference to eligibility and assessment requirements given in the **Research Funding Guide**:

- All application documents must be eligible under the scheme requirements
- All applicants and named staff must be eligible under the scheme requirements
- The proposal must meet the aims and criteria of the scheme to which it has been submitted.

Sift Stage 2

A sifting decision will be made based on the overall confidence levels and grades given by the peer review process. A proposal will be rejected if it receives **two or more reviews that give the proposal an un-fundable grade**. A grade is considered 'un-fundable' where it is described as either **Not Recommended for Funding** or **Not Suitable for Funding** (grades 1 – 3).

Assessment flow diagram including new sifting stages



■ — Denotes stages at which new sifting process occurs

□ — Denotes stages which do not

Technical Review

Where the proposal requires completion of the Technical Appendix section (see Section Four: Application Guidance) then this Appendix will be forwarded to a Technical Reviewer from the Peer Review College to assess the technical feasibility of the proposal. This technical review will be included in the PI Response process detailed below. Technical Reviews will also be forwarded to the peer review panels, or other decision making body as appropriate, to assist them in making their grading decisions. Please note that Technical Reviews will not be taken into account when assessing eligibility, or during the sifting of proposals.

Principal Investigator Response (Right of Reply)

For all schemes except Research Grants – practice-led and applied route and the Research Networking scheme, the applicant will be given the right of reply to

the reviews received. The PI Response allows applicants to correct any factual errors or conceptual misunderstandings, or to respond to any queries highlighted in the comments from the peer reviewers. It is not intended to be an opportunity to change or re-constitute a proposal in the light of the reviewers' comments. You are not obliged to submit a response, but it is recommended that you do so as responses from applicants are forwarded to the peer review panel(s), and are taken into account in the grading and prioritisation of proposals.

For the Fellowships in the Creative and Performing Arts scheme which operates with fixed deadlines, the relevant week for the PI Response is listed below.

Name of Scheme	Closing Date	PI Response
Fellowships in the Creative and Performing Arts	24 September 2009	w/c 11 January 2010

* please note that where delays have occurred in receiving one or more College members' reviews, we may send one or several reviews for PI response in the week following the one outlined above.

The Fellowships scheme and the following routes of the Research Grants scheme operate with open deadlines – Standard, Speculative and Early Career. We are therefore not able to provide you with exact dates of when we will contact you for the PI Response, but you will be contacted once the reviews have been obtained. You will be sent an e-mail which will detail the size limit and deadline that apply to your PI Response. These vary according to the scheme and the number of reviews you have received so it is vital to read the email carefully. If your response is not received within the period stated, then your application will proceed without it.

Peer review panels

Non-standing Peer Review Panels are convened on an ad hoc basis from the Peer Review College membership.

In selecting panel members we will aim to achieve a balance in terms of gender, ethnicity, institution and regional distribution, and to achieve a range of expertise which broadly reflects that of the applicant population.

The proposal, peer reviews, technical review (where applicable) and the PI's response to these reviews will be considered individually by members of the peer review panel and then discussed at the panel meeting.

The peer review panel will determine a final grade for each application and will rank proposals in order of priority for funding. The panel will consider only the expert peer reviews, technical review (where applicable) and the PI's response to these reviews to reach its decisions. Final funding decisions will rest with the AHRC.

Peer review assessment for the Fellowships in the Creative and Performing Arts scheme:

The proposal, peer reviews, and the PI's response to these reviews will be considered individually by members of the peer review panel and then discussed at the panel meeting.

The peer review panel will assess and determine a final grade for each application, and will rank proposals in order of priority for funding. Final funding decisions will be made by the AHRC.

Peer review assessment for the Research Networking scheme

Where the peer reviewers' grades agree, as long as their comments are consistent with the grade given the AHRC will allocate this as the final grade for the proposal. Where the grades differ, or the comments are inconsistent with the grade, the proposal and peer reviews will be moderated by members selected from the Peer Review College. They will consider the proposals and allocate a final grade. They will then rank all applications in order of priority for funding. Final funding decisions will be made by the AHRC.

Peer review assessment for the Research Grants scheme – Practice-Led and Applied Route

Where the peer reviewers' grades agree, as long as their comments are consistent with the grade given the AHRC will allocate this as the final grade for the proposal. Where the grades differ, or the comments are inconsistent with the grade, the proposal and peer reviews will be moderated by members selected from the Peer Review College. They will consider the proposals and allocate a final grade. They will then rank all applications in order of priority for funding. Final funding decisions will be made by the AHRC.

SECTION SIX

Award decisions

Notification of the outcome

The AHRC is not able to notify you of the outcome of your application by telephone or email. All outcome letters are sent by post to the applicant at the address for correspondence as shown on their Je-S record. It is therefore important that you ensure this address is correct – if you are in any doubt, please contact the Je-S helpdesk for assistance.

If you are unsuccessful, you will receive a letter advising that you have not been offered an award, and indicating the grade your application received. AHRC officers are unable to provide information on why your application was unsuccessful.

Payment

If you are successful, you will receive a letter offering you an award, and informing you of the overall cash limit for the duration of the award. You will also receive a copy of the Terms and Conditions of awards, a payment schedule (if appropriate to that scheme) and a Starting Certificate, which must be signed and returned before the award can be paid. For the Research Grants, Fellowships and Fellowships in the Creative and Performing Arts schemes, payments will be made monthly direct to the institution (not to you as award-holder) by the AHRC, and will be individually identified. For the Research Networks and Workshops, Research Networking and Research Grants – Practice-Led and Applied route, the award will be paid in a single payment, made shortly after receipt of the Starting Certificate.

The AHRC's peer reviewers, on occasion, may revise the level of staff resources on the project (Research Grants routes). Under the arrangements for the full economic costing of Research Council grants, this reduction has an impact on the estates and indirect cost figures that have been provided. In such circumstances the AHRC will contact the applicant's host institution and request that you provide revised figures for these two budget headings. The host institution will have 10 working days to provide these revised figures.

For the Research Networking Scheme peer reviewers, on occasion, may remove items such as speaker costs if they are not justified .

The amount awarded may be different from the sum you sought as we add to it a supplement to cover inflation each year in accordance with the Government's GDP deflator forecast for each financial year. The sum may also differ if the Council considers that a lower level of funding to the one you sought is more appropriate. You will be notified of any amendments made for this reason.

Resubmission policy

My application was unsuccessful, can I resubmit it?

Some AHRC schemes, including those in responsive mode for post-doctoral research, allow for resubmission of unsuccessful applications; for other schemes,

please see scheme-specific guidance. For schemes which allow resubmission, the Council's policy on resubmitting applications is set out below. The Council defines a resubmission as the submission of an unsuccessful application to the same scheme within the allotted time-scale (normally not less than three months and not more than one calendar year from the outcome of the original application). The purpose of the Council's resubmission policy is to allow for the modification and/or further development and improvement of high quality proposals that have the potential to be of the highest priority for funding. There is, however, no guarantee that a resubmitted application will be successful second time around, as it will be in open competition with an entirely new tranche of applications.

- If your application has been graded **3, 2 or 1**, or **has not passed the quality threshold**, you (or another researcher) cannot resubmit it to the same scheme in any future competition (although you may be able to submit it to a different AHRC scheme if it meets the appropriate aims and objectives and if you fulfil the eligibility criteria).
- If your application has been graded **6, 5 or 4** you (or another researcher) will normally be permitted to make one resubmission to the same scheme.

What changes should I make when resubmitting my application?

The following general guidelines apply:

- the research for which funding is sought normally remains essentially the same, and the project bears the same title, but the resubmission allows you to give due consideration to any comments or feedback provided by the Council's peer reviewers and/or to make any improvements which you consider would enhance your proposal, and/or to update the proposal in the light of any significant changes that may have happened over the course of the year, for example, changes in the research context.
- a significantly reworked project based on the same idea as an earlier proposal is considered a new submission.

You are strongly advised to take note of any feedback you received when preparing to submit your proposal for a second time (you might find it useful to keep a copy of your original proposal for future reference). If you are resubmitting a proposal, you **must** complete a new submission through the Je-S System.

Monitoring

As part of the terms and conditions of an AHRC award, you will be required to submit a final report no later than three months after the end of the award period. For projects lasting longer than 18 months you may also be required to complete an interim report. Requests for final and interim reports will be sent to you by email via the Je-S system and you will need to complete and submit your report using the Je-S system. Please note that we do not accept hard copy forms.

Please also note that the monitoring of existing or past awards will be taken into account in the assessment of future applications, particularly if this monitoring found progress on a previous or current award to be less than satisfactory. Further details on the monitoring of each scheme can be found in the 'Award Holders' section of our website at www.ahrc.ac.uk.

As part of the terms and conditions of an AHRC award, your Research Organisation will be required to submit a final expenditure statement no later than 3 months after the end of the award period. For awards lasting longer than 42 months, an interim expenditure statement may also be required 24 months after the start of the award. Requests for expenditure statements will be sent by email via the Je-S system and your Research Organisation will need to complete and submit the statement using the Je-S system.

AHRC Complaints and Appeals Procedures

For details on the complaints procedure or appeal process, please refer to the document Complaints and Appeals Procedure for Applications and Awards which can be found on our website at:

<http://www.ahrc.ac.uk/About/Policy/Pages/CorporateDocuments.aspx>

SECTION SEVEN

Additional Information

Definition of research (all schemes except Research Networking scheme)

The AHRC's definition of research is primarily concerned with the definition of research processes, rather than outputs. This definition is built around three key features and your application must fully address all of these in order to be considered eligible for support:

- it must define a series of research questions, issues or problems that will be addressed in the course of the research. It must also define its aims and objectives in terms of seeking to enhance knowledge and understanding relating to the questions, issues or problems to be addressed
- it must specify a research context for the questions, issues or problems to be addressed. You must specify why it is important that these particular questions, issues or problems should be addressed; what other research is being or has been conducted in this area; and what particular contribution this project will make to the advancement of creativity, insights, knowledge and understanding in this area
- it must specify the research methods for addressing and answering the research questions, issues or problems. You must state how, in the course of the research project, you will seek to answer the questions, address the issues or solve the problems. You should also explain the rationale for your chosen research methods and why you think they provide the most appropriate means by which to address the research questions, issues or problems.

Creative output can be produced, or practice undertaken, as an integral part of a research process as defined above. The Council would expect, however, this practice to be accompanied by some form of documentation of the research process, as well as some form of textual analysis or explanation to support its position and to demonstrate critical reflection. Equally, creativity or practice may involve no such process at all, in which case they would be ineligible for funding from the Council. For guidance concerning research in the creative and performing arts where practice is integral to the research, please see the additional advice below.

The AHRC's primary concern is to ensure that the research it funds addresses clearly-articulated research questions, issues or problems, set in a clear context of other research in that area, and using appropriate research methods and/or approaches.

The precise nature of the research questions, issues or problems, approaches to the research and outputs of the work may vary considerably, embracing basic, strategic and applied research. The research questions, issues, problems, methods and/or approaches may range from intellectual questions that require critical, historical or theoretical investigation, to practical issues or problems that require other approaches such as testing, prototyping, experimental development and evaluation. The outputs of the research may include, for example, monographs, editions or articles; electronic data, including sound or images;

performances, films or broadcasts; or exhibitions. Teaching materials may also be an appropriate outcome from a research project provided that it fulfils the definition above.

The research should be conceived as broadly as possible and so consideration should also be given to the outcomes of, and audiences for, the research. The outcomes of the research may only benefit other researchers and influence future research, but consideration must be given to potential opportunities for the transfer of knowledge into new contexts where the research could have an impact.

Practice-led research

If you are applying to a scheme that specifically supports practice led research such as Fellowships in the Creative and Performing Arts, or Research Grants – Practice-led and Applied route, please read the following advice for framing your proposal. You may also wish to bear this advice in mind if you are applying to any other responsive-mode scheme to support a practice-led research project.

For your research to be considered as practice-led, your own practice must be an integral part of the proposed programme of research, and the creative and/or performative aspects of the research must be made explicit. Interdisciplinary proposals are welcomed, including those which fall within subjects traditionally defined as humanities as long as the main focus of the research is practice-led.

The research carried out should bring about enhancements in knowledge and understanding in the discipline, or in related disciplinary areas. This requirement excludes research to provide content. For example, if a film-maker wanted to make a film about refugees, the research questions should be about the process of making the film, not about the experience of the refugees. Work that results purely from the creative or professional development of an artist, however distinguished, is unlikely to fulfil the requirements of research.

Research Councils' Statement on Societal and Economic Impact

The statement below has been agreed across the Research Councils to provide a clear statement on their role in enhancing the economic and social wellbeing and of their expectations of those who receive Research Council funding in terms of fostering societal and economic impact. It also provides the context, objective and rationale behind the new Impact Summary and Impact Plan requirements on the standard Grants application form. These new sections require applicants to consider, as appropriate given the nature of their research, the possible societal and economic impacts of the research, the potential beneficiaries beyond academia and the mechanisms through which they will be engaged. Excellent research without obvious or immediate impact will continued to be funded by the Research Councils and will not be disadvantaged as a result of these changes.

Demonstrating potential impact

The excellent research funded by the UK Research Councils has a huge impact on the wellbeing and economy of the UK. Working together with our wider communities and other partners, we want to ensure that these impacts are effectively demonstrated and supported throughout the research lifecycle and beyond. This will add value, stimulate interest from wider stakeholders - including the general public - and, where needed, actively highlight the need for continued investment in the research base.

The onus rests with applicants to demonstrate how they will achieve this excellence with impact, bearing in mind that impacts can take many forms and be promoted in different ways.

The Research Councils describe impact as the demonstrable contribution that excellent research makes to society and the economy. Impact embraces all the extremely diverse ways in which research-related knowledge and skills benefit individuals, organisations and nations by:

- fostering global economic performance, and specifically the economic competitiveness of the United Kingdom
- increasing the effectiveness of public services and policy, and
- enhancing quality of life, health and creative output.

This accords with the Royal Charters of the Councils and with HM Treasury guidance on the appraisal of economic impact.

.....
The AHRC is committed to the principles below, as articulated in the **RCUK Expectations for Societal and Economic Impact**.

The Research Councils give their funding recipients considerable flexibility and autonomy in the delivery of their research, postgraduate training and knowledge transfer activities. This flexibility and autonomy

encompasses project definition, management, collaboration, participation, promotion and the dissemination of research outputs; this approach enables excellence with impact.

In return, the Research Councils expect those who receive funding to :

- demonstrate an awareness of the wider environment and context in which their research takes place
- demonstrate an awareness of the social and ethical implications of their research, beyond usual research conduct considerations, and take account of public attitudes towards those issues
- engage actively with the public at both the local and national levels about their research and its broader implications
- identify potential benefits and beneficiaries from the outset, and through the full life cycle of the project(s)
- maintain professional networks that extend beyond their own discipline and research community
- publish results widely – considering the academics, user and public audiences for research outcomes
- exploit results where appropriate, in order to secure social and economic return to the UK
- manage collaborations professionally, in order to secure maximum impact without restricting the future progression of research
- ensure that research staff and students develop research, vocational and entrepreneurial skills that are matched to the demands of their future career paths
- take responsibility for the curation, management and exploitation of data for future use
- work in partnership with the Research Councils for the benefit of the UK.

The expectations clarify the position of the Research Councils with respect to impact, rather than introducing a new approach. Many of these expectations are already incorporated into Research Council processes and guidance, for example exploitation is addressed within grant terms and conditions, and continuing professional development through the Concordat to Support the Career Development of Researchers.

AHRC Subject Classification

You are required to classify your proposal using the categories below, indicating the primary subject area of your proposal and, optionally, up to two secondary subject areas. Some Subject Groups have a further breakdown by Subject Area. For certain Subject Groups, you will also be asked to indicate if your research is practice-led. You may also optionally indicate a time period and/or place associated with the subject you have chosen, although please note that selection of a time period is mandatory where history has been indicated.

The Subject Classification Section has always been used to help with the selection of specialist reviewers to review your proposal, but from January 2009 choosing the primary subject area will also identify the panel to which your application will be submitted. It is therefore very important to complete this section accurately.

Part 1: Subject Groups/Subject Areas

Archaeology

- Archaeological Science
- Archaeological Theory
- Archaeology of Human Origins
- Archaeology of Literate Societies
- Industrial Archaeology
- Landscape and Environmental Archaeology
- Maritime Archaeology
- Prehistoric Archaeology

Architecture: History, Theory & Practice

Classics

- Classical Literature
- Classical Reception
- Epigraphy and Papyrology
- Languages and Linguistics
- Philosophy, Thought & Religion

Community Arts (including Art and Health)

Cultural Policy, Arts management and the creative industries

Dance Studies

- Choreography
- Dance Performance
- History of Dance
- Notation
- Physical Theatre

- Social Dance

Design

- Digital Art and Design
- History, Theory & Practice
- Product Design

Drama and Theatre Studies

- Dramaturgy
- Other
- Performance and Live Art
- Scenography
- Theatre and History
- Theories of Theatre
- Theatre and Society

English Language and Literature

- Comparative Literature
- English Language and Literature by time and place
- History and Development of the English Language
- Medieval Literature (including Old and Middle English, Anglo-Norman and Icelandic/Old Norse)

History

- Cultural History
- Diplomacy and International Relations
- Economic History
- History of Ideas
- History of Science/Medicine/Technology
- Imperial/ Colonial History

- Political History
- Religious History
- Social History
- War Studies

Law

- Common Law, including Commercial Law
- Comparative Law
- Criminal Law and Criminology
- EU Law
- Human Rights
- International Law
- Jurisprudence/Philosophy of Law
- Law regulated primarily by statute (e.g. Family, Employment, Procedure)
- Law Relating to Property
- Legal History
- Public Law

Librarianship, Information & Museum Studies

- Archives
- Computational Studies
- Conservation Science
- Heritage Management
- Information Management
- Information Retrieval
- Information Science
- Journalism
- Library Studies
- Management
- Museum and Gallery Studies
- Publishing
- Records Management
- User Studies

Linguistics

- Applications of Linguistics
- Language Variation and Change
- Lexicon
- Linguistic Theory
- Morphology and Phonology
- Phonetics
- Semantics & Pragmatics
- Syntax

Media

- Film History, Theory, Criticism
- Media & Communication Studies
- Television History, Theory, Criticism

Modern Languages

- Area Studies
- Asiatic and Oriental Studies
- Celtic Studies
- Comparative Studies
- French Studies
- German Studies (including Dutch and Yiddish)
- Hispanic, Portuguese and Latin American Studies
- Interpreting and Translation
- Italian Studies
- Language Pedagogy
- Middle Eastern & African Studies
- Russian, Slavonic and East European Studies
- Scandinavian Studies

Music

- Classical
- Composition (including computer-aided and electroacoustic composition)
- History of Music
- Music and Society
- Musical Performance
- Musicology
- Popular Music
- Traditional Music

Philosophy

- Epistemology
- Ethics & Aesthetics
- History of Philosophy by period
- Metaphysics
- Philosophy of Language and Philosophical Logic
- Philosophy of Mind and Psychology

- Philosophy of Science & Mathematics, & Mathematical Logic
- Political Philosophy

Theology, Divinity and Religious Studies

- Church History and History of Theology
- Indian and Far Eastern Religions
- Islam
- Judaism
- Liturgy
- Modern Theology
- New Testament
- Old Testament
- Philosophy of Religion
- Systematic Theology

Visual Arts

- Applied Arts (History, Theory & Practice)
- Art History
- Art Theory and Aesthetics
- Conservation of Art and Textiles
- Digital Arts (History, Theory & Practice)

Time Periods:

- Palaeolithic and Mesolithic
- Neolithic, Copper and Bronze
- Protohistory and Iron Age
- Ancient Egypt: Egyptian Prehistory
- Ancient Egypt: The Pharaonic Period (c.3000 – c.300BC)
- Ancient Egypt: The Hellenistic and
- Roman Period (c.300BC – c.700AD)
- Ancient Near East: Prehistory
- Ancient Near East: Sumerians to Persians (c.3500BC – c.300BC)
- Ancient Near East: Hellenistic Period to Sassanids (c.300BC - AD 651)
- Archaic Greece (c. 850-600 BC)

- Ethnography and Anthropology
- Film-based media (History, Theory & Practice)
- Fine Art (History, Theory & Practice)
- Other
- Performance and Installation (History, Theory & Practice)
- Photography (History, Theory & Practice)
- Time-based media (History, Theory & Practice)

Other

- American Studies*
- Creative Writing
- Cultural Geography
- Cultural Studies and Popular Culture
- Dictionaries and Databases*
- Gender and Sexuality*
- Lifewriting (including Biography and Autobiography)*
- Literary and Cultural Theory*
- Post-Colonial Studies*
- Textual Editing and Bibliography*
- Classical Greece (c. 500 BC)
- The Hellenistic Greek World (c.323)
- The Roman Republic (c. 400-31 BC)
- The Roman Empire (c31BC-AD250)
- Later Roman Empire (AD 250 – 450)
- Byzantine Empire
- Early Medieval (c.400 –1100)
- Medieval (c1000-1500)
- Early Modern (c1500-1800)
- Renaissance
- 18th Century
- 19th Century
- 20th Century
- Contemporary

Places:

- UK & Ireland
- Ireland
- England
- Scotland
- Wales
- Western Europe
- Eastern Europe
- Mediterranean
- Scandinavia
- North America
- South America
- Central America (including Caribbean)
- Middle East
- Africa
- Oceania
- Far East (China/Japan)
- Central Asia
- South Asia (Pakistan to Indonesia)

If an area marked with an * is selected then it will be necessary to identify a second subject area to further exemplify the subject expertise.

Terms and Conditions of AHRC awards

Below are the common terms and conditions for grants made by the Research Councils. These should be read in conjunction with the relevant scheme-specific annex (also below).

TERMS AND CONDITIONS OF RESEARCH COUNCIL FEC GRANTS

These terms and conditions relate to grants, comprising Research Grants and Fellowships, costed and funded on the basis of full economic costs (fEC), calculated in accordance with the TRAC methodology (universities and other higher education bodies) or by an equivalent methodology by other Research Organisations.

Grants awarded by the Research Councils are made to Research Organisations on the basis of this single set of core terms and conditions. The Research Councils are:

Arts and Humanities Research Council (AHRC)

Biotechnology and Biological Sciences Research Council (BBSRC)

Economic and Social Research Council (ESRC)

Engineering and Physical Sciences Research Council (EPSRC)

Medical Research Council (MRC)

Natural Environment Research Council (NERC)

Science and Technology Facilities Council (STFC)

Individual Councils may add additional conditions to the grant to reflect the particular circumstances and requirements of their organisation, or the nature of a particular grant. Acceptance of a grant constitutes acceptance of both the core conditions and any additional conditions.

The Research Councils reserve the right to vary these terms and conditions.

Definitions

Research Council: any of the bodies listed above.

Grant: support for a proportion of the full economic costs of a project. A Grant may be either a Research Grant or a Fellowship.

- **Research Grant:** a contribution to the costs of a stated research project which has been assessed as suitable for funding through the procedures established by the relevant Research Council.
- **Fellowship Grant:** an award made through a fellowship competition providing a contribution to the support of a named individual. It covers the cost of the time dedicated by the fellow to their personal research programme, and may or may not include research support costs.

Grant Holder: the person to whom the grant is assigned and who has responsibility for the intellectual leadership of the project and for the overall management of the research. The Grant Holder is either the Principal Investigator (in the case of a Research Grant) or a Research Fellow (in the case of a Fellowship Grant)

Co-Investigator: a person who assists the Grant Holder in the management and leadership of a project.

Research Organisation: the organisation to which the grant is awarded and which takes responsibility for the management of the research project and the accountability of funds provided.

Full Economic Costs (fEC): a cost which, if recovered across an organisation's full programme, would recover the total cost (direct, indirect and total overhead) including an adequate recurring investment in the organisation's infrastructure.

Directly Incurred Costs: costs that are explicitly identifiable as arising from the conduct of a project, are charged as the cash value actually spent and are supported by an audit record.

Directly Allocated Costs: the costs of resources used by a project that are shared by other activities. They are charged to projects on the basis of estimates rather than actual costs and do not represent actual costs on a project-by-project basis.

Indirect Costs: non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated Costs. They include the costs of the Research Organisation's administration such as personnel, finance, library and some departmental services.

Exceptions: Directly Incurred Costs that Research Councils fund at 100% of fEC, subject to actual expenditure incurred, or items that are outside fEC.

Transparent Approach to Costing (TRAC): an agreed methodology used by universities and other higher education bodies for calculating full economic costs.

Funding Assurance Programme: a programme of visits and office-based tests to seek assurance that grant funds are used for the purpose for which they are given and that grants are managed in accordance with the terms and conditions under which they are awarded.

Data Protection Regulations

The Research Councils will use information provided on the grant proposal for processing the proposal, the award of any consequential grant, and for the payment, maintenance and review of the grant. This may include:

- Registration of proposals;
- Operation of grants processing and management information systems;
- Preparation of material for use by referees and peer review panels;

- Administration, investigation and review of grant proposals;
- Sharing proposal information on a strictly confidential basis with other funding organisations to seek contributions to the funding of proposals;
- Statistical analysis in relation to the evaluation of research and the study of trends;
- Policy and strategy studies.

To meet the Research Councils' obligations for public accountability and the dissemination of information, details of grants may also be made available on the Research Councils' web sites and other publicly available databases, and in reports, documents and mailing lists.

After completion of the grant, the Research Council may contact the Grant Holder concerning funding opportunities or events, or for the purposes of evaluation. In some instances, the Research Council may wish to authorise an affiliate organisation to contact the Grant Holder on its behalf. It is assumed that, by agreeing to these terms and conditions, the Research Organisation consents to this on behalf of the Grant Holder, but if the Grant Holder prefers not to be contacted in this way, he or she should state this to the Research Council. Grant Holders may choose to opt out at any point, provided they comply with all other terms and conditions associated with the grant.

Freedom of Information Act and Environmental Information Regulations

Attention is drawn to the provisions of the Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations (EIRs). Research Councils have issued Publication Schemes which set out the types of information publicly available on their websites or published as documents. In addition, Research Councils have an obligation to respond to specific requests and may be required to disclose information about or provided by Research Organisations. In some cases the Research Council may consult the Research Organisation before disclosure, but it is under no obligation to do so. If a Research Organisation considers that any information it provides to a Research Council would be subject to an exemption under FOIA or the EIRs it should clearly mark the information as such and provide an explanation of why it considers the exemption applies and for how long. The Research Council will consider this explanation before disclosure, but it is not obliged to accept it as binding.

Where a Research Council determines that a Research Organisation is holding information on its behalf that it requires in order to comply with its obligations under FOIA or EIRs, the Research Organisation undertakes to provide access to such information as soon as reasonably practicable on request of the Research Council and in any event within 5 working days.

In some cases Research Organisations may be directly responsible for complying with FOIA and the EIRs; in such cases the Research Councils accept no responsibility for any failure to comply by the Research Organisations.

GC 1 Responsibilities of the Research Organisation

- The Research Organisation must ensure that any part of the Full Economic Cost of the project not funded by the Research Council grant is committed to the project before it starts.
- The Research Organisation must ensure that the Grant Holder and Co-Investigators are made aware of their responsibilities and that they observe the terms and conditions of grants.
- The Research Organisation must ensure that the research supported by the grant complies with all relevant legislation and Government regulation, including that introduced while work is in progress. This requirement includes approval or licence from any regulatory body that may be required before the research can commence.
- The Research Organisation is expected to adopt the principles, standards and good practice for the management of research staff set out in the 2008 Concordat to Support the Career Development of Researchers, and subsequent amendments www.researchconcordat.ac.uk. It must ensure that reliable systems and processes are in place so that the principles of the Concordat are embedded into practice within the Research Organisation. It must ensure compliance with all relevant legislation and Government regulation, including any subsequent amendments introduced while work is in progress..
- The Research Organisation must appoint a Research Fellow as an employee for the full duration of the award.
- The Research Organisation must integrate the Research Fellow within the research activities of the host department, whilst ensuring that he or she is able to maintain independence and focus on their personal research programme.
- The Research Organisation must notify the Research Council of any change in its status, or that of the Grant Holder, that might affect the eligibility to hold a grant.
- The Research Organisation must ensure that the requirements of the Employing Organisation under the Department of Health's Research Governance Framework for Health and Social Care (or equivalent) are met for research involving NHS patients, their organs, tissues or data, and that the necessary arrangements are in place with partner organisations. Where it also accepts the responsibilities of a Sponsor (as defined in the Governance Framework), it must also ensure that the requirements for Sponsors are met.
- The Research Organisation must ensure proper financial management of grants and accountability for the use of public funds.

GC 2 Research Governance

It is the responsibility of the Research Organisation to ensure that the research is organised and undertaken within a framework of best practice that recognises the various factors that may influence or impact on a research project. Particular requirements are to ensure that all necessary permissions are obtained before the research begins, and that there is clarity of role and responsibility among the research team and with any collaborators. The Research Councils expect

research to be conducted in accordance with the highest standards of scientific integrity and research methodology.

Research Ethics

The Research Organisation is responsible for ensuring that ethical issues relating to the research project are identified and brought to the attention of the relevant approval or regulatory body. Approval to undertake the research must be granted before any work requiring approval begins. Ethical issues should be interpreted broadly and may encompass, among other things, relevant codes of practice, the involvement of human participants, tissue or data in research, the use of animals, research that may result in damage to the environment and the use of sensitive economic, social or personal data.

Use of Animals in Research

Wherever possible, researchers must adopt procedures and techniques that avoid the use of animals. Where this is not possible, the research should be designed so that:

- The least sentient species with the appropriate physiology is used;
- The number of animals used is the minimum sufficient to provide adequate statistical power to answer the question posed;
- The severity of procedures performed on animals is kept to a minimum. Experiments should be kept as short as possible. Appropriate anaesthesia, analgesia and humane end points should be used to minimise any pain and suffering.

The provisions of the Animals (Scientific Procedures) Act 1986, and any amendments, must be observed and all necessary licences must have been received before any work requiring approval takes place.

Medical and Health Research

The Research Organisation is responsible for managing and monitoring the conduct of medical and health research in a manner consistent with the Department of Health's Research Governance Framework for Health and Social Care (or equivalent). There must be effective and verifiable systems in place for managing research quality, progress and the safety and well-being of patients and other research participants. These systems must promote and maintain the relevant codes of practice and all relevant statutory review, authorisation and reporting requirements.

Research involving human participants or data within the social sciences that falls outside the Department of Health's Research Governance Framework must meet the provisions and guidelines of the ESRC's Research Ethics Framework. While this research may involve patients, NHS staff or organisations, it is defined as research that poses no clinical risk or harm to those who are the subjects of research. Research Organisations must ensure that appropriate arrangements are in place for independent ethics review of social science research that meets local research ethics committee standards.

Significant developments must be assessed as the research proceeds, especially those that affect safety and well-being, which should be reported to the appropriate authorities and to the Research Council. The Research Organisation must take appropriate and timely action when significant problems are identified. This may include temporarily suspending or terminating the research.

The Research Organisation is responsible for managing and monitoring statutory requirements for which it accepts responsibility, for example, in relation to legislation on clinical trials, use of human organs, tissues and data.

Guidance by the MRC on the conduct of medical research, and by ESRC on the conduct of social science research, provided on behalf of all Research Councils, must be observed.

Health and Safety

The Research Organisation is responsible for ensuring that a safe working environment is provided for all individuals associated with a research project. Its approach and policy on health and safety matters must meet all regulatory and legislative requirements and be consistent with best practice recommended by the Health & Safety Executive. Appropriate care must be taken where researchers are working off-site. The Research Organisation must satisfy itself that all reasonable health and safety factors are addressed. The Research Councils reserve the right to require the Research Organisation to undertake a safety risk assessment in individual cases where health and safety is an issue, and to monitor and audit the actual arrangements made.

Misconduct and Conflicts of Interest

The Research Organisation is required to have in place procedures for governing good research practice that meet the requirements of the Research Councils' guidance on good practice. The Research Organisation must ensure that there are reliable systems and processes in place for the prevention of research misconduct e.g. plagiarism, falsification of data, together with well-defined and clearly-publicised arrangements for investigating and resolving allegations of misconduct. Where an allegation of misconduct arises in respect of a researcher supported by a research grant, the Research Council must be informed immediately and notified of the outcome of any investigation.

The Research Organisation must ensure that potential conflicts of interest in research are declared and subsequently managed.

GC 3 Use of Funds

Subject to the following conditions, grant funds may be used, without reference to the Research Council, in such a manner as to best carry out the research. Grant funds are cash limited and the grant is made on the understanding that its value will not be increased, except as stated in these terms and conditions. Grant funds are provided for a specific research project. Under no circumstances may Directly Incurred and Exceptions funds be used to meet costs on any other grant or activity.

Any proposal to purchase an item of equipment in the last 6 months of the grant is subject to prior written approval by the Research Council. The Research Council will wish to be assured that the item of equipment is essential to the research.

GC 4 Starting Procedures

The start date shown on the starting certificate will be regarded as the start date of the grant. Submission of the starting certificate will also constitute acceptance of the grant, if no other acceptance procedure exists. The start of research may be delayed by up to 6 months (AHRC and ESRC 3 months) from the start date shown in the award letter, the duration of the grant remaining unchanged. The grant may lapse if it is not started within this period. Submission of the starting certificate is required not more than 42 days after the start date.

Where there are staff funded by the grant who were intended to be appointed from the start date, payments will take effect from the date when the first such staff start work. Otherwise, payments will take effect from the start date given on the starting certificate.

Expenditure may be incurred prior to the start of research and subsequently charged to the grant, provided that it does not precede the date of the award letter.

GC 5 Changes in Research Project

The Research Council must be consulted in the event of any major change in the proposed research, including failure to gain access to research facilities and services, or to gain ethical committee approval for the research, particularly those which make it unlikely that the objectives of the research can be achieved. If appropriate, revised proposals may be required. The Research Council reserves the right to make a new grant in place of the existing grant, or to revise, retain or terminate the existing grant.

GC 6 Transfers of Funds between Fund Headings

Transfers of funds between fund headings are permitted only within and between Directly Incurred costs and Exceptions. Transfers will be at the rate applicable for the heading, as set out in the award letter.

GC 7 Extensions

Research Grants: After a research grant has started, the duration may be extended by a total of up to 6 months, subject to prior written approval. Extensions may cover breaks or delays in the appointment of staff, periods of maternity leave, paternity leave, adoption leave, parental leave or paid sick leave exceeding 3 months (or possibly shorter periods of sick leave if the member of staff is disabled for the purposes of the Disability Discrimination Act 1995 (as amended)), or other exceptional circumstances with the agreement of the Research Council).

Fellowship Grants: After a fellowship grant has started, the duration may be extended to cover maternity leave, paternity leave, adoption leave, parental leave or paid sick leave for a Research Fellow in line with the terms and conditions of the fellow's employment. For staff other than the fellow extensions may cover breaks or delays in the appointment of staff, periods of maternity leave, paternity leave, adoption leave, parental leave or paid sick leave exceeding 3 months (or possibly shorter periods of sick leave if the member of staff is disabled for the purposes of the Disability Discrimination Act 1995 (as amended)), or other exceptional circumstances with the agreement of the Research Council).

A written request for an extension should be made as soon as the requirement is identified and subject to prior written approval confirmed when the period required is known. All requests for extensions must be made before the grant ends.

GC 8 Staff

The Research Organisation must assume full responsibility for staff funded from the grant and, in consequence, accept all duties owed to and responsibilities for these staff, including, without limitation, their terms and conditions of employment and their training and supervision, arising from the employer/employee relationship.

The Research Organisation must provide research staff with a statement, at the outset of their employment, setting out the provisions for career management and development, including personal skills training, and ensure that they have access to appropriate training opportunities.

Provided it is related to the research project on which they are currently working, Research staff and Research Fellows may, during normal working hours, undertake teaching and demonstrating work, including associated training, preparatory, marking and examination duties, for up to an average of 6 hours a week (pro rata for part-time staff) **calculated over the period** that they are supported on the grant.

GC 9 Maternity, Paternity and Adoption Pay and Leave

Grant funds may be used for maternity, paternity and adoption pay for staff within the Directly Incurred and Exceptions fund headings (excluding the Principal and Co-Investigators, unless they are also Research Fellows or Research Assistants funded by the grant), if staff fulfill the qualifying conditions of the Research Organisation.

Maternity, paternity and adoption pay is not payable by the Research Council for staff acting as Principal and Co-Investigators (unless they are also Research Fellows or Research Assistants funded by the grant), nor to other staff not dedicated to the project nor paid from Directly Incurred or Exceptions funds.

The Research Organisation will be compensated at the end of the grant to cover the additional costs of either a substitute appointment or an extension of the

grant from maternity, paternity or adoption leave. The salary of any substitute appointment must not exceed that of the individual on leave. The duration of a grant will be extended only if the period can be accommodated within the maximum period allowed for extensions. Directly Allocated and Indirect funds will not be increased as a result of such extensions.

Research Grants: Research Grant funds may be used to provide paid maternity, paternity and adoption leave only to the extent that it is taken during the original period of the grant. The Research Organisation will be responsible for any liability for maternity, paternity and adoption leave pay for staff supported by the grant outside the original period of the grant. If, for example, a grant ends while a member of research staff is part-way through her maternity leave, the Research Organisation will be responsible for that part of the maternity leave which is taken after the research grant has ended.

Fellowship Grants: Fellows are entitled to take maternity, paternity, adoption or parental leave in accordance with the terms and conditions of the fellow's employment. If requested, consideration will be given to allowing a fellowship grant to be placed in abeyance during the absence of the Research Fellow for maternity, paternity, adoption or parental leave, and the period of the fellowship extended by the period of leave. Consideration will be given to requests to continue the fellowship on a flexible or part-time basis to allow the Research Fellow to meet caring responsibilities.

GC 10 Sick Leave

Grant funds may be used for paid sick leave for staff within the Directly Incurred and Exceptions fund headings (excluding the Principal and Co-Investigators, unless they are also Research Fellows or Research Assistants funded by the grant) who fulfill the qualifying conditions of the Research Organisation.

Sick pay is not payable by the Research Council for staff acting as Principal and Co-Investigators (unless they are also Research Fellows or Research Assistants funded by the grant), nor to other staff not dedicated to the project nor paid from Directly Incurred or Exceptions funds.

The Research Organisation will be compensated at the end of the grant for any additional costs or time resulting from sick leave, falling within the original period of the grant. The duration of a grant will be extended only if the period can be accommodated within the maximum period allowed for extensions. Directly Allocated and Indirect funds will not be increased as a result of such extensions.

Research Grants: Where there is a continuous period of sick leave in excess of 3 months, the Research Organisation may apply to the Research Council to discuss the possibility of a substitute appointment to safeguard progress on the project. Where a Research Assistant has been on sick leave in excess of 3 months the Research Organisation must comply with all their obligations to consider reasonable adjustments before making a substitute appointment. Where a Research Assistant has been on sick leave for an aggregate (not necessarily continuous) period in excess of 3 months, where this is due to a single condition

or a series of related conditions, the Research Organisation may request an extension to the duration of the project

Fellowship Grants: Fellows are entitled to take sick leave in accordance with the research organisation's terms and conditions. If requested, consideration will be given to allowing a fellowship grant to be placed in abeyance during the absence of the Research Fellow due to sick leave, and the period of the fellowship extended by the period of sick leave. The additional salary costs for the fellow (pro rata to their percentage FTE on the fellowship) should be claimed, as necessary, at the end of the extended period.

GC 11 Procurement of Equipment

The procurement of equipment, consumables and services, including maintenance, must comply with all relevant national and EU legislation and the Research Organisation's own financial policy and procedures. Accepted procurement best practice in the higher education sector must be observed. For all equipment and services where the contract value is more than £25,000, excluding VAT, professionally qualified procurement staff must be consulted before the procurement process begins, and, where appropriate, at the market research stage, and must approve the order/contract before it is placed with a supplier.

GC 12 Ownership and Use of Equipment

Equipment purchased from grant funds is primarily for use on the research project for which the research grant was awarded, and belongs to the Research Organisation. In certain circumstances the Research Council may wish to retain ownership throughout the period of the grant and possibly beyond. In such cases, the grant will be subject to an additional condition.

The Research Council must be informed if, during the life of the research grant, the need for the equipment diminishes substantially or it is not used for the purpose for which it was funded. The Research Council reserves the right to determine the disposal of such equipment and to claim the proceeds of any sale.

Any proposal to transfer ownership of the equipment during the period of the grant is subject to prior approval by the Research Council. After the research **project** has ended, the Research Organisation is free to use the equipment without reference to the Research Council, but it is nevertheless expected to maintain it for research purposes as long as is practicable.

Where there is spare capacity in the use of the equipment, the Research Council expects this to be made available to other users. Priority should be given to research supported by any of the Research Councils and to Research Council-funded students.

GC 13 Transfer of a Grant to another Research Organisation

The Research Organisation must notify the Research Council if the Grant Holder intends to transfer to another organisation. If this organisation is eligible to hold

grants, and is able to provide a suitable environment to enable the project to be successfully completed, the expectation is that the grant would be transferred with the Grant Holder. Written agreement to this is required from both the relinquishing and receiving organisations.

The Research Council will wish to be assured that satisfactory arrangements have been agreed that will enable the project to be undertaken, or to continue, in accordance with its research objectives. If suitable arrangements cannot be agreed, the Research Council will consider withdrawing its support or terminating the grant.

Where there is a basis for continuing involvement by the relinquishing organisation, agreement should be reached between both organisations on the apportionment of work and the distribution of related funding.

Grants will not be re-costed following transfer. The unspent balance of Directly Incurred and Exceptions, together with a pro rata share of Directly Allocated and Indirect costs, will be transferred to the new Research Organisation. The receiving organisation will be required to confirm, by return of a starting certificate, that it will provide any balance of resources needed to complete the project.

GC 14 Change of Grant Holder

Research Grants: The Research Organisation must consult the Research Council if it is proposed to change the Grant Holder, for example, following retirement or resignation. Where the Grant Holder is transferring to another organisation eligible to hold a grant, the provisions of GC 13 will apply. In other circumstances, the Research Organisation may nominate a replacement Grant Holder. The Research Council will wish to be assured that the replacement meets the eligibility criteria and has the expertise and experience to lead the project to a successful conclusion, in accordance with its research objectives.

Fellowship Grants: A fellowship grant is awarded on the basis of a named individual's suitability to undertake and benefit from the period of research: therefore changes to the Grant Holder are not permitted. The resignation of the Research Fellow, or the termination of their employment, constitutes the end of the grant for the purpose of submitting a final report and the Council's financial liabilities.

GC 15 Annual Statement

The Research Organisation may be sent a statement to return each year showing payments made by the Research Council during the previous financial year for all the grants it holds. Where a statement is required, the Research Organisation must certify, by returning the statement, that:

- expenditure has been incurred in accordance with the grant conditions, and
- those grants shown as current are continuing.

No further payments will be made until the annual statement has been received and accepted by the Research Council.

GC 16 Expenditure Statements

The Research Organisation must complete and return an expenditure statement within 3 months of the end date of a grant. Once an expenditure statement has been received and the expenditure incurred has been reconciled against payments made, it will be considered as final.

Expenditure shown in the Directly Incurred and Exceptions headings must show the actual expenditure incurred by the project. Settlement by the Research Council will reflect the proportion of fEC stated in the award letter applied to actual expenditure, within the cash limit.

For the Directly Allocated and Indirect Costs headings, the Research Council will pay the amount shown as spent, within the cash limit, provided that the grant ran its full course. Where a grant is terminated more than 6 months before the planned end date, a pro rata share will be paid. Where a grant terminates within 6 months of the planned end date, estates and Indirect Costs will be paid in full, but Investigators' costs and Other Directly Allocated Costs will be paid pro rata.

Costs arising from maternity, paternity, adoption or sick leave should be identified in the Absence heading of the statement.

The Research Council reserves the right to require the Research Organisation to complete and submit a statement of expenditure at any time during the course of a grant, or to provide supplementary information in support of an interim or final expenditure statement.

GC 17 Inspection

The Research Council reserves the right to have reasonable access to inspect the records and financial procedures associated with grants or to appoint any other body or individual for the purpose of such inspection.

The Research Organisation must, if required by the Research Council, provide a statement of account for the grant, independently examined by an auditor who is a member of a recognised professional body, certifying that the expenditure has been incurred in accordance with the research grant terms and conditions.

Research Councils will undertake periodic reviews of Research Organisations within the **Funding Assurance Programme** to seek assurance that grants are managed in accordance with the terms and conditions under which they are awarded.

GC 18 Final Report

A report on the conduct and outcome of the project must be submitted by the Research Organisation within three months of the end of the grant, on the form provided. No further application from a Grant Holder will be considered while a final report is overdue.

If there are exceptional reasons that will prevent submission of the final report within the period allowed, a written request may be made, before the due date passes, for the submission period to be extended.

GC 19 Sanctions

The Research Councils reserve the right to impose financial sanctions where they identify areas of non compliance in relation to the terms and conditions of grants. These will usually be where assurance cannot be obtained on the regularity of grant expenditure. Further details on the assurance requirements of the Research Councils can be found at www.rcuk.ac.uk/assurance .

If the final report or the financial expenditure statement is not received within the period allowed, the research council may recover 20% of expenditure incurred on the grant. All payments may be recovered if the report or statement is not received within 6 months of the end of the grant.

In relation to the current Quality Assurance and validation project for TRAC implementation in universities, the Research Councils reserve the right to apply sanctions of 75% of the non-compliant rate where an institution is found to be using rates which are materially inaccurate (>10% variance on any single rate). These sanctions would only apply to future applications although Councils may exercise a higher sanction where there has been evidence of significant overpayments to research organisation based on inaccurate rates.

GC 20 Public Engagement

It is the responsibility of the Research Organisation and the Grant Holder and Co-Investigators to communicate the research to the public at both local and national level, and to raise awareness of the role of science and research in any related issues of public interest. Special schemes exist in some Research Councils providing additional support for these activities.

GC 21 Exploitation and Impact

It is the responsibility of the Research Organisation, and all engaged in the research, to make every reasonable effort to ensure that the outcomes obtained in the course of the research, whether patentable or not, are used to the advantage of society and the economy. Research outcomes should be disseminated to both research and more widespread audiences - for example to inform potential users and beneficiaries of the research.

Unless stated otherwise, the ownership of intellectual property, and responsibility for its exploitation, rests with the organisation that generates it.

Where the grant is associated with more than one research organisation and/or other project partners, the basis of collaboration between the organisations, including ownership of intellectual property and rights to exploitation, is expected to be set out in a formal collaboration agreement. It is the responsibility of the Research Organisation to put such an agreement in place before the research

begins. The terms of collaboration agreements must not conflict with the Research Councils' terms and conditions.

Arrangements for collaboration and/or exploitation must not prevent the future progression of research and the dissemination of research results in accordance with academic custom and practice. A temporary delay in publication is acceptable in order to allow commercial and collaborative arrangements to be established.

The Research Council may, in individual cases, reserve the right to retain ownership of intellectual property (or assign it to a third party under an exploitation agreement) and to arrange for it to be exploited for the national benefit and that of the Research Organisation involved. This right, if exercised, will be set out in an additional grant condition.

Where the exploitation of research generates revenue, there should be suitable recognition and return to the Research Organisation and individuals. The Research Organisation must ensure that all those associated with the research are aware of, and accept, these arrangements.

GC 22 Research Monitoring and Evaluation

While it is the responsibility of the Research Organisation to manage the research, the Research Council reserves the right to call for periodic information on progress or to visit the project team. The Grant Holder may also be asked to attend meetings to exchange information and ideas with others undertaking research in the same or similar fields.

The Grant Holder must make all reasonable efforts, if so invited, to respond to requests for information or to attend events or activities organised by the Research Council concerning the research undertaken. Such events may be held after a grant has finished.

GC 23 Publication and Acknowledgement of Support

The Grant Holder should, subject to the procedures laid down by the Research Organisation, publish the results of the research in accordance with normal academic practice. Publications and other forms of media communication, including media appearances, press releases and conferences, must acknowledge the support received from the Research Council, quoting the grant reference number if appropriate.

Journal publications should acknowledge the funding source using the standard format agreed by funders and publishers and detailed in the additional information accompanying this grant.

GC 24 Disclaimer

The Research Councils accept no liability, financial or otherwise, for expenditure or liability arising from the research funded by the grant, except as set out in these terms and conditions, or otherwise agreed in writing.

Where studies are carried out in an NHS Trust, the Trust has a duty of care to its patients. The Research Council does not accept liability for any failure in the Trust's duty of care, or any negligence on the part of its employees.

The Research Councils reserve the right to terminate the grant at any time, subject to reasonable notice and to any payment that may be necessary to cover outstanding and unavoidable commitments.

The Research Councils reserve the right to amend the payment profile at its discretion. The Research Organisation will be advised, in advance, of any such a change but the overall value of the grant will not be affected.

If a grant is terminated, no liability for payment or redundancy or any other compensatory payment for the dismissal of staff funded by the grant will be accepted, but, subject to the provisions of GC16, negotiations will be held with regard to other contractual commitments and concerning the disposal of assets acquired under the research grant.

GC 25 Status

These terms and conditions will be governed by the laws of England and Wales; all matters relating to the terms and conditions will be subject to the exclusive jurisdiction of the courts of England and Wales.

If any provision of these terms and conditions is found by a court or other legitimate body to be illegal, invalid or unreasonable, it will not affect the remaining terms and conditions which will continue in force.

These terms and conditions, together with any additional conditions set out in the grant, contain the whole agreement between the Research Council and the Research Organisation in relation to the stated research grant. The Research Council and the Research Organisation do not intend that any of these terms and conditions should be enforceable by any third party.

ADDITIONAL INFORMATION TO ACCOMPANY TERMS & CONDITIONS

Following discussions between the Research Information Network, Research Councils, other funders and journal publishers, a standard format has been agreed for acknowledging funders in journal articles. This is to enable improved tracking of the publications generated by funded research projects.

For articles published in journals, or deposited in institutional or subject-based repositories, the acknowledgement of funding should take the form of a sentence as in the following example, with the funding agency written out in full, followed by the grant number in square brackets:

This work was supported by the Medical Research Council [grant number xxxx].

Multiple grant numbers should be separated by comma and space. Where the research was supported by more than one agency, the different agencies should be separated by a semi-colon, with "and" before the final funder. For example:

This work was supported by the Wellcome Trust [grant numbers xxxx, yyyy]; the Natural Environment Research Council [grant number zzzz]; and the Economic and Social Research Council [grant number aaaa].

AHRC Annexes to the Terms and Conditions of Research Grants

AHRC Fellowships in the Creative and Performing Arts awards

The following are additional terms and conditions applicable to AHRC Fellowships in the Creative and Performing Arts and as such reflect the particular nature of the scheme. They should be read in conjunction with the Terms and Conditions of Research Council Grants.

GC1 in addition to Responsibilities of the Research Organisation Fellowship awards are made to the Research Organisation and not to the successful applicant as an individual. In addition to the responsibilities outlined in the core terms the Research Organisation must:

- appoint a mentor to facilitate the Fellow's introduction to – and continuing relationship with- the department/Research Organisation, and monitor the progress of the award
- accept the Fellow as an employee for the duration of the award, and on either a full- or part-time contract as per the award.

GC 4 in addition to Starting Procedures if the start date of the research is delayed by up to three months the Grant Holder must inform the AHRC (by email or letter) prior to the start of the project and request a replacement starting certificate (submission of an amended starting certificate will not be accepted). Exceptionally, the AHRC may consider requests to delay the start date by a period over 3 months. In such cases this must be requested (by email or letter) and a clear justification must be provided in order for the deferral to be considered.

GC 6 in addition to Transfers between Headings the only directly incurred cost for Fellowship awards is the salary of the Fellow, so transfers between headings are not allowed under this scheme.

GC8 in addition to Staff the Fellow will be expected to carry out the programme of research on either a full-time or part-time (0.4 or 0.6FTE) basis. For this reason the

Fellow's teaching, examining or administrative duties should not be in excess of one quarter of the normal load of full-time members of the department, and in no case should they exceed 6 hours a week including preparation time (pro-rata for part-time Fellows). The AHRC would expect the total hours to be less than this outside of term time. Any teaching, examining or administrative duties should relate to the main interests of the Fellow's programme of research and not the general needs of the department.

GC13 to replace Transfer of a Grant when assessing Fellowships applications, the AHRC takes into account the match between the individual and the Research Organisation. For this reason it is not normally possible to transfer an award to another Research Organisation. In exceptional circumstances the AHRC will consider approval for the transfer of the grant to another Research Organisation, but only with the agreement of all parties concerned. In such cases the Fellow will be required to submit a proposal jointly with the proposed new Research Organisation giving details of:

- how the research programme would fit into, develop and enhance the research environment and culture of the proposed Research Organisation
- the support that would be provided, giving assurance that the new host Research Organisation would guarantee at least the same level of support for the Fellowship as available in the current host Research Organisation.

In such cases, responsibility for ensuring the continuance of the research for which the award was made remains with the original Research Organisation until the transfer has been agreed with all parties concerned and until the date of the transfer. The AHRC considers the original Research Organisation to be responsible for leading these negotiations and will not itself act as arbitrator. The AHRC reserves the right to

reclaim funds from the original Research Organisation if it has not met this condition of the award.

GC19 in addition to Sanctions for awards of more than one year's duration interim reports will be required. If the interim report is not received within the specified

timescale, the AHRC will suspend grant payments until the report has been received.

If the final report or the final expenditure statement is not received within three months of the end date of the award, the AHRC will keep a record of the failure to submit on time and may take this into consideration when the investigator makes further applications to the AHRC

GC23 in addition to Publication and Acknowledgement of Support

- Due acknowledgement of support received from the AHRC must be made in accordance with the AHRC's acknowledgement of support guidelines.
- One copy of any publication or public output (CD-ROM, video etc) must be sent to the Council. Where the research programme results in a non-permanent output such as an installation or performance, photographs, recordings and reviews may constitute an acceptable record of the output

GC28 Deposit of resources or datasets Grant Holders must make any significant electronic resources or datasets created as a result of research funded by the Council available in an accessible depository for at least three years after the end of their grant.

GC 30 Resignation of the Fellowship

If a Grant Holder decides to resign the Fellowship before the end of the award period, she/he should inform the AHRC, giving a minimum of two months' notice. The Research Organisation will need to relinquish the remainder of the award, calculated on a pro rata basis, and the Grant Holder will need to provide a final report as detailed in the AHRC's Monitoring Policy.

GC 31 Self Archiving

The AHRC requires that funded researchers:

- ensure deposit of a copy of any resultant articles published in journals or conference proceedings in appropriate repository
- wherever possible, ensure deposit of the bibliographical metadata relating to such articles, including a link to the publisher's website, at or around the time of publication.

Full implementation of these requirements must be undertaken such that current copyright and licensing policies, for example, embargo periods and provisions limiting the use of deposited content to non-commercial purposes, are respected by authors.

AHRC Research Grants awards

The following are additional terms and conditions applicable to AHRC Research Grants awards and as such reflect the particular nature of the scheme. They should be read in conjunction with the Terms and Conditions of Research Council Grants.

GC4 in addition to Starting Procedures

If the start date of your research is delayed by up to three months you must inform the AHRC prior to the start of the project and request a replacement starting certificate (submission of an amended starting certificate will not be accepted). Exceptionally, the AHRC may consider requests to delay the start date by a period over 3 months. In such cases this must be requested (by email or letter) and a clear justification must be provided in order for the deferral to be considered.

GC5 Changes to the Research Project (technical aspects)

In addition to the restrictions outlined in the Terms and Conditions of Research Council Grants (GC5 Changes in Research Project), it is the Principal Investigator's responsibility to ensure that any output in electronic form is prepared in accordance with best practice.

GC6 Transfers between Headings

In addition to the restrictions outlined in the Terms and Conditions of Research Council Grants (GC6 Transfer of funds between Headings), costs relating to AHRC PhD project students (maintenance fees and tuition fees) may not be transferred.

GC18 Final Report (Interim Reports)

In addition to a Final Report (GC18), for awards over 24 months an Interim progress report must also be submitted to the AHRC. Interim progress reports must be completed and returned within one month of the end of the first year of the project.

GC19 to replace Sanctions

For awards of more than twenty four month's duration an interim report will be required. If the interim report is not received within the specified timescale, the AHRC will suspend grant payments until the report has been received. If the 'final' report or the final expenditure statement is not received within three months of the end date of the award, the AHRC may:

- Bar the investigator from making any further applications to any of the AHRC award schemes until the report is received.
- Seek to recover the grant in full.
- Keep a record of the failure to submit on time and take this into consideration when the investigator makes further applications to the AHRC.

GC23 Publication and Acknowledgement of Support

In addition to the conditions outlined in Terms and Conditions of Research Council Grants (GC23 Publication and Acknowledgement of Support), one copy of any publication or public output (CD-ROM, video etc) should be sent to the AHRC. Where the research programme results in a non-permanent output such as an installation or performance, photographs, recordings and reviews may constitute an acceptable record of the output.

Deposit of resources or datasets

Grant Holders in all areas, apart from archaeology (see below), must make any significant electronic resources or datasets created as a result of research funded by the Council available in an accessible depository for at least three years after the end of their grant. Grant holders in the area of archaeology:

The ADS must be consulted within three months of the start of the proposed research to discuss and agree the form and extent of electronic materials to be deposited with the ADS.

The Research Organisation must ensure that any significant electronic resources or datasets created as a result of research funded by the Council, together with documentation, are offered for deposit at the ADS within three months of the end of the project. Resources or datasets offered for deposit with the ADS will be considered for deposit according to criteria designed to assess their fit within the ADS collections. If the offer of deposit is not accepted by the ADS or the Research Organisation is prevented from depositing for a specified reason it is the Research Organisation's responsibility to ensure that a waiver of deposit is agreed by the ADS.

PhD project studentships

Project students funded by the Council must meet the conditions relating to residence and academic qualifications set out in the Council's Research Funding Guide.

PhD Project Students supported by the Council must be registered either as a probationary research student or for a doctoral degree. By the beginning of the final year of the award, the student must be fully registered for a doctoral degree.

The period of the PhD project studentship must fall within the dates of the AHR Research Grants award.

PhD Project Studentships attached to Research Grants will be subject to the same terms and conditions, with respect to such matters as monitoring and supervision of study, as are set out in the Council's Guide to Postgraduate Award Holders in the Arts and Humanities. Submission rates will be monitored alongside those of students funded through the Council's postgraduate studentship schemes.

Self Archiving

The AHRC requires that funded researchers:

- ensure deposit of a copy of any resultant articles published in journals or conference proceedings in appropriate repository
- wherever possible, ensure deposit of the bibliographical metadata relating to such articles, including a link to the publisher's website, at or around the time of publication

Full implementation of these requirements must be undertaken such that current copyright and licensing policies, for example, embargo periods and provisions limiting the use of deposited content to non-commercial purposes, are respected by authors.

AHRC Fellowships Awards

The following are additional terms and conditions applicable to AHRC Fellowships Awards and as such reflect the particular nature of the scheme. They should be read in conjunction with the Terms and Conditions of Research Council FEC Grants.

GC1 in addition to Responsibilities of the Research Organisation

- For the Fellowships early career route, the Research Organisation must appoint a mentor to support the award holder and monitor the progress of the award

GC4 in addition to Starting Procedures

- If the start date of your research is delayed by up to three months you must inform the AHRC prior to the start of the project and request a replacement starting certificate (submission of an amended starting certificate will not be accepted). Exceptionally, the AHRC may consider requests to delay the start date by a period over 3 months. In such cases this must be requested (by email or

letter) and a clear justification must be provided in order for the deferral to be considered.

GC5 Changes to the Research Project (technical aspects)

In addition to the restrictions outlined in the Terms and Conditions of Research Council Grants (GC5 Changes in Research Project), it is the award holder's responsibility to ensure that any output in electronic form is prepared in accordance with best practice.

GC6 In addition to Transfer between Headings

In addition to the restrictions outlined in the Terms and Conditions of Research Council Grants (GC6 Transfer of funds between fund Headings), the AHRC does not permit virement between Directly Incurred Staff costs and any other Directly Incurred budget heading.

GC19 To replace Sanctions

If the 'final' report or the final expenditure statement is not received within three months of the end date of the award, the AHRC may:

- Bar the investigator from making any further applications to any of the AHRC award schemes until the report is received.
- Seek to recover the grant in full
- Keep a record of the failure to submit on time and take this into consideration when the investigator makes further applications to the AHRC.

GC23 in addition to Publication and Acknowledgement of Support

- Due acknowledgement of support received from the AHRC must be made in accordance with the AHRC's acknowledgement of support guidelines.
- One copy of any publication or public output (CD-ROM, video etc) must be sent to the Council. Where the research programme results in a non-permanent output such as an installation or performance, photographs, recordings and reviews may constitute an acceptable record of the output

Deposit of resources or datasets

Grant Holders in all areas, apart from archaeology (see below), must make any significant electronic resources or datasets created as a result of research funded by the Council available in an accessible depository for at least three years after the end of their grant.

Award holders in the area of archaeology:

The ADS must be consulted within three months of the start of the proposed research to discuss and agree the form and extent of electronic materials to be deposited with the ADS.

The Research Organisation must ensure that any significant electronic resources or datasets created as a result of research funded by the Council, together with documentation, are offered for deposit at the ADS within three months of the end of the project. Resources or datasets offered for deposit with the ADS will be considered for deposit according to criteria designed to assess their fit within the ADS collections. If the offer of deposit is not accepted by the ADS or the Research Organisation is prevented from depositing for a specified reason it is the Research Organisation's responsibility to ensure that a waiver of deposit is agreed by the ADS.

Self Archiving

The AHRC requires that funded researchers:

- ensure deposit of a copy of any resultant articles published in journals or conference proceedings in appropriate repository
- wherever possible, ensure deposit of the bibliographical metadata relating to such articles, including a link to the publisher's website, at or around the time of publication

Full implementation of these requirements must be undertaken such that current copyright and licensing policies, for example, embargo periods and provisions limiting the use of deposited content to non-commercial purposes, are respected by authors.

AHRC Research Networks and Workshops and Research Networking awards

The following are additional terms and conditions applicable to AHRC Research Networks and Workshops and Research Networking schemes awards and as such reflect the particular nature of the scheme. They should be read in conjunction with the Terms and Conditions of Research Council Grants (above).

GC4 in addition to Starting Procedures

If the start date of your research is delayed by up to three months you must inform the AHRC prior to the start of the project and request a replacement starting certificate (submission of an amended starting certificate will not be accepted). Exceptionally, the AHRC may consider requests to delay the start date by a period over 3 months. In such cases this must be requested (by email or letter) and a clear justification must be provided in order for the deferral to be considered.

GC18 in addition to Final Report

The minimum output required from an interdisciplinary network/workshops award is an Investigator's Report submitted to the AHRC within 3 months of the end of the award period. The report should be a minimum length of 2,500 words and should contain a comprehensive account of the activities and outcomes of the interdisciplinary network or workshop.

The report is the responsibility of the Principal Investigator. The report should be uploaded as an attachment to the standard final report, using attachment type 'Other'. It should be borne in mind that the report will also be made publicly available and therefore should be in a format suitable for immediate publication on the AHRC website.

AHRC Research Grants – practice-led and applied route

The following are additional terms and conditions applicable to AHRC Research Grants – practice-led and applied route awards and as such reflect the particular nature of the scheme. They should be read in conjunction with the Terms and Conditions of Research Council Grants.

GC4 in addition to Starting Procedures

If the start date of your research is delayed by up to three months you must inform the AHRC prior to the start of the project and request a replacement starting certificate (submission of an amended starting certificate will not be accepted). Exceptionally, the AHRC may consider requests to delay the start date by a period over 3 months. In such cases this must be requested (by email or letter) and a clear justification must be provided in order for the deferral to be considered.

GC19 to replace Sanctions

If the 'final' report or the final expenditure statement is not received within three months of the end date of the award, the AHRC may:

- Bar the investigator from making any further applications to any of the AHRC award schemes until the report is received.
- Seek to recover the grant in full
- Keep a record of the failure to submit on time and take this into consideration when the investigator makes further applications to the AHRC.

GC23 Publication and Acknowledgement of Support

In addition to the conditions outlined in Terms and Conditions of Research Council Grants (GC23 Publication and Acknowledgement of Support), one copy of any publication or public output (CD-ROM, video etc) should be sent to the AHRC. Where the research programme results in a nonpermanent output such as an installation or performance, photographs, recordings and reviews may constitute an acceptable record of the output.

Deposit of resources or datasets

Grant Holders in all areas, apart from archaeology (see below), must make any significant electronic resources or datasets created as a result of research funded by the Council available in an accessible depository for at least three years after the end of their grant. Grant holders in the area of archaeology:

The ADS must be consulted within three months of the start of the proposed research to discuss and agree the form and extent of electronic materials to be deposited with the ADS.

The Research Organisation must ensure that any significant electronic resources or datasets created as a result of research funded by the Council, together with documentation, are offered for deposit at the ADS within three months of the end of the project. Resources or datasets offered for deposit with the ADS will be considered for deposit according to criteria designed to assess their fit within the ADS collections. If the offer of deposit is not accepted by the ADS or the Research Organisation is prevented from depositing for a specified reason it is the Research Organisation's responsibility to ensure that a waiver of deposit is agreed by the ADS.

Self Archiving

The AHRC requires that funded researchers:

- ensure deposit of a copy of any resultant articles published in journals or conference proceedings in appropriate repository
- wherever possible, ensure deposit of the bibliographical metadata relating to such articles, including a link to the publisher's website, at or around the time of publication
- Full implementation of these requirements must be undertaken such that current copyright and licensing policies, for example, embargo periods and provisions limiting the use of deposited content to non-commercial purposes, are respected by authors.

Project Studentship Notes

Please also see Terms and Conditions of AHRC Awards

Eligibility Criteria

In order to be eligible for an award from the AHRC, the student must meet certain conditions relating to residence and to academic qualifications.

1. Residency criteria

The institution at which the project student will study is responsible, in the first instance, for determining his or her residency status, based on information provided by the student and in accordance with the rules followed by the Research Councils. You should therefore contact your institution in the first place if you have any questions about his or her eligibility for an AHRC award.

A full award covers both the cost of tuition fees and a maintenance grant. To be eligible for a full award, the student must show that s/he has a relevant connection with the United Kingdom (UK), usually through residence.

A relevant connection with the UK may be established if:

- the student has been ordinarily resident in the UK throughout the three-year period immediately preceding the start of the academic year in which the award will commence; and
- the student has not been resident in the UK, during any part of that three-year period, wholly or mainly for the purposes of full-time education (EU students should refer to paragraph below EU students); and
- if the student is subject to immigration control, has settled status in the UK within the meaning of the Immigration Act 1971 (i.e. is not subject to any restriction on the period for which s/he may stay).

EU Students

If you are a non-UK, EU national, you are eligible for a full award if you can establish a relevant connection with the UK and Islands, i.e. if you have been ordinarily resident in the UK throughout the three year period immediately preceding the start of your course.

Where the three year period of ordinary residence has been wholly or mainly for the purpose of receiving full-time education, eligibility is limited to those who were ordinarily resident in the EEA immediately prior to this period.

To be eligible for a fees-only award:

- If the student is a national of a Member State of the European Union other than the UK, and s/he does not meet the UK residency requirement set out above and has not been ordinarily resident in the UK for the three years prior to the start of their course, they may be eligible to apply for a fees-only award, i.e. an award which provides payment of fees but not a maintenance grant.
- The student must have been ordinarily resident in the EU for the three years immediately preceding the start of the academic year in which the project studentship will commence, and have been accepted to study at a higher education institution in the UK. The countries of the EU are currently: Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany,

Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden and the UK.

Residents of countries that have been granted admission to the EU, effective from 1 January 2007, are also eligible to apply. These countries are: Bulgaria and Romania. The AHRC may reconsider the position should either of these countries not be admitted by 1 October 2007 when students will begin their course.

Please note that fees-only award holders are now eligible to apply for additional support towards the cost of study visits in the UK or abroad, attending a conference abroad and for Disabled Student's Allowance.

Temporary absence from the UK

If the student is a UK citizen who has spent an extended period living outside the UK, either for study or for employment, s/he will need to show that they have maintained a relevant connection with the UK and that the absence was temporary. 'Temporary' does not depend solely on the length of the absence. A period of ordinary residence will not be treated as being interrupted by an absence which is caused by:

- the student's parents' or spouse's temporary absence abroad, for reasons of training or employment
- the student or student's spouse's temporary full time education abroad.

If the student is an expatriate, or the child (whether born in the UK or overseas) of an expatriate, and s/he appears to have returned to the UK solely for the purpose of full-time education, s/he will need to demonstrate that his or her absence was temporary. S/he will need to show that:

- the absence abroad was temporary
- attempts were made to remedy the breach with the UK at the earliest opportunity
- there was no intention to sever links with the UK
- links have been maintained or re-established through visits, or vacation work, and subsequent resettlement in the UK. Indefinite Leave to Remain (ILTR)

If the student has been granted Indefinite Leave to Remain (ILTR) by the Home Office, s/he has been given the right to reside in the UK, and thus has settled status and may be eligible for a full award. ILTR is usually given to those who have already spent a period in the UK, and are looking to take up British Citizenship. If the student has ILTR status, s/he must still establish a relevant connection. Documentary evidence will need to be provided if the application is successful.

Refugees and Exceptional Leave to Remain (ELTR)

If the student has been granted full refugee status by the Home Office, or is the child or spouse of a refugee, s/he is eligible to apply for a full award so long as they have not ceased to be resident since being granted asylum or refugee status. Documentary evidence (such as a letter from the Immigration and Nationality Department of the Home Office) will need to be provided if the application is successful

If the student is an 'asylum seeker', s/he is required to demonstrate settled status if s/he is to be eligible for an award.

If s/he has not been recognised by the Home Office as meeting the terms of the 1951 United Nations Convention on Refugees, s/he may be granted Exceptional Leave to Remain (ELTR) or Exceptional Leave to Enter (ELTE). In that case, s/he is eligible to apply for an award if s/he has spent the previous three years in the UK, providing that

this has not been wholly or mainly for the purposes of full-time education. Documentary evidence will need to be provided if the application is successful.

Migrant workers from European Union countries

If the student or their parents or spouse are working in the UK as EU citizens with migrant worker status, s/he is eligible under Article 7 (2) and Article 12 of Council Regulation (EEC) No. 1612/68 to apply for a full award including a maintenance grant. A migrant worker is an EU citizen who is employed in a member state of the EU who should be treated as a national of that member state. The following conditions must be met:

- the employment must be full-time and of significant duration. Therefore, if s/he is engaged in part-time or short-term casual employment, or has been effectively unemployed, s/he cannot be considered to hold migrant worker status. Additionally, the employment should normally be expected to be relevant to the previous or future course of study, although employment of a 'professional' nature may be considered on its merits
- the employment must not be ancillary, that is, taken up with a view towards engaging in subsequent studies, or subject to the student being accepted for the training for which s/he has applied. An example of this would be if the student has been employed as a Research Assistant in a university department where a future award is to be held
- if the student is the child of migrant workers, it must be shown that their residence is as a consequence of the parent's past or present employment. A child who has not been resident in the UK during the parent's employment, or departed with the parent at the cessation of that employment, will not be eligible to claim for migrant worker status.

Migrant workers from European Economic Area (EEA) member states

If the student is a citizen of the EEA member states of Iceland, Liechtenstein or Norway, and s/he meets the migrant worker requirements set out in paragraph 11 above, you will be eligible for a full award. However, as these countries are not member states of the EU, if you are a citizen of these countries and do not meet the migrant worker requirements you will not be eligible for a fees-only award.

Visas and Work Permits

If the student is resident in the UK on a student visa, work permit or dependent visa, and thus has restrictions on the time s/he may stay in the UK, s/he cannot demonstrate a relevant connection or settled status. S/he will not, therefore, be eligible to apply for an award.

2. Academic Qualifications

Prospective postgraduate students should be graduates of a recognised HEI. Other qualifications may be considered only very exceptionally. The Council's normal expectation is that students who receive funding through the Research Grants scheme should, in addition, have gained some formal postgraduate qualification. If they do not have such a qualification, they must show evidence of sustained experience beyond first degree level that is specifically relevant to the doctoral research project and which qualifies them, exceptionally, as prepared for doctoral research without prior formal postgraduate training. If the student has already gained or completed the requirements for a doctoral degree, they may not apply for studentship funding towards a second doctorate.

Supervision

Supervision of Project Students is the responsibility of the HEI where the student is registered and will be awarded their degree. The lead supervisor has responsibility for providing high-quality support and training in subject specific and more generic areas: for monitoring and assessing the student's development and continuing training needs and for their overall academic progress.

Length of Award

A full time studentship award attached to a Research Grant lasts for a period of three years. However, it should be noted that where students have already received public funds to support any postgraduate study lasting for more than one year, the three year maximum will be reduced so that the total period funded does not exceed four years.

Allowances

In line with other AHRC-funded studentships, the AHRC will make available funding to Research Grant project students for UK study visits and for attendance at an overseas conference. This additional funding is intended solely to support the student in their work on the thesis and will be provided only to those students with full-time, fees-and-maintenance awards.

You should note that strict regulations apply to the funding of UK study visits/attendance at an overseas conference. These are outlined in Appendix 2 of the 'Guide for Postgraduate Award Holders in the Arts and Humanities' which is available from the AHRC web site. The Project Student will be sent a copy of this document if you are successful in gaining an award.

You should note that the AHRC will only provide allowances for overseas study visits for Project Studentships where provision for these costs has not been requested in the original research grant proposal.

In certain circumstances Research Grant project students may also be eligible for a Young Dependants Allowance and/or a Disabled Student's Allowance. Please contact the office if you have any queries regarding these allowances.

Part-time Studentships

A part-time studentship attached to a Research Grant can last for a maximum period of five years. The award will comprise the payment of fees and maintenance on a pro rata basis of up to 60% of the appropriate amount.

Age

There is no age limit for postgraduate students and candidates of whatever age will be considered on their merits, taking into account all the circumstances of the case.

Independent Research Organisations

It is permissible for a PhD Project Student to be attached to a Research Grant that is submitted by an AHRC recognised Independent Research Organisation. The student must be registered at a Higher Education Institution where the qualification will be awarded. The lead supervisor of the student should also be based at the same HEI and must be a Co- Investigator on the Research Grant.

Supervision of Project Students is the responsibility of the HEI where the student is registered and will be awarded their degree. The supervisor has responsibility for providing high-quality support and training in subject specific and more generic areas: for monitoring and assessing the student's development and continuing training needs and for their overall academic progress.

If the Project Student is attached to a Research Grant held by an IRO, the organisation is expected to ensure the student has access to good facilities and strong support, to help provide high-quality training in workplace and transferable skills and, where appropriate, to mentor and train the student with regard to the particular collections or materials that the student is working on.

The AHRC has an established Research Training Framework which it expects HEI's to follow for its funded doctoral students. Details of the framework can be found on our website at:

http://www.ahrc.ac.uk/university_staff/postgrad/research_training_framework.asp

Data Protection, Freedom of Information Acts and Equal Opportunities

Confidentiality and the Freedom of Information Act 2000

Research grant applications are provided to AHRC in confidence. AHRC will not use the information contained in the application (or any further information provided later in support of the application) for any purpose except for the purpose of reviewing the grant application and monitoring it if it is funded. AHRC may disclose the application to its employees, external reviewers and, possibly, other funding bodies for the purpose of assisting it in deciding whether or not the application should be funded.

AHRC will not otherwise disclose the application unless:

- it is required to do so under the Freedom of Information Act 2000 (or any other law or regulation to which AHRC is or may become subject); or
- is funded in which case certain details will be entered onto AHRC website and other publicly available databases.

Freedom of Information Act

AHRC is a public authority for the purposes of the Freedom of Information Act 2000 and is subject to its terms. This means that it has a duty to respond to requests for information from the public and to provide certain information on request unless that information falls within certain exemptions that are specified in the Act. One of these exemptions applies to information that has been provided in confidence and which remains confidential and another is that the information requested is a trade secret or that its release would be likely to prejudice the commercial interests of any person. If AHRC receives a request under the Act that includes release of information contained in your research grant application AHRC will make every effort to consult with you before releasing that information to help it to decide whether or not one of the exemptions applies. However, AHRC has a duty to comply with the Freedom of Information Act and will have to disclose the information requested unless it is satisfied that a relevant exemption applies.

Funded grants

Details of funded grants will be made available on AHRC's web site and other publicly available databases and in reports and/or paper documents. The following information will routinely be made available:

- name of host research organisation
- details of applicants (title, forenames, initials, surname, department)
- project title
- a summary of the research
- duration of the project
- funding provided by AHRC

Data Protection Act 1998

AHRC will use the personal information provided on the proposal for the purpose of processing your grant application and monitoring any grant that is awarded (including both scientific and financial monitoring). This includes:

- registration of applications
- operation of AHRC grants processing and management information systems, systems including use in the Joint Electronic Submission (Je- S) system database
- the acquisition of College and external referees comments
- the preparation of material for use by peer review/funding panels
- statistical analysis to inform the evaluation of the quality of the research undertaken and to study demographic trends
- policy and strategy studies
- monitoring the progress of the research against agreed targets and milestones
- monitoring the spend of funds awarded

You should be aware that, for the purpose of peer review, your information may be sent to external experts in countries outside the European Union including countries which do not have any data protection laws. By submitting your application to us you are agreeing that you consent to the transfer of your personal information in this way.

You must ensure that you have the permission of any other person who is named on the proposal (for example any co-investigators or recognised researchers) for the provision of their personal information to AHRC and the processing of their data by AHRC for the purposes set out above.

Equal Opportunities

The AHRC is committed to equal opportunities and all applications must be assessed on equal terms, regardless of the sex, age or ethnicity of the applicant. Applications must therefore be assessed and graded on their merits, in accordance with the criteria and the aims and objectives set for each scheme of awards. The Council monitors the outcomes of all competitions for awards, including the sex, age and ethnicity of applicants and award holders relative to those of the research community as a whole.

Ethical and Legal Issues

Applicants are required to complete an Ethical Information section as part of the proposal.

Applicants should identify where there are any ethical implications arising from the proposed research activities, if there are, they must provide details of what they are, how they have been addressed so far and how they will be addressed prior to the start of the research and during the award period.

In preparing the application it is also important to note the Research Organisation's (HEI or IRO) responsibility as outlined within the Terms and Conditions of Award .

The AHRC considers that the onus should be upon the applicant to reassure the peer reviewers that their proposal meets acceptable ethical and legal standards.

AHRC Policy on Open Access to Journal Articles and guidance to applicants

The AHRC has signed up to the following Research Council principles relating to the access to journal article-based research outputs:

- Ideas and knowledge derived from publicly-funded research must be made available and accessible for public use, interrogation and scrutiny, as widely, rapidly and effectively as practicable.
- Public research outputs must be subject to rigorous quality assurance, through effective peer review mechanisms

The models and mechanisms for publication and access to research results must be both efficient and cost-effective in the use of public funds.
- The outputs from current research must be preserved and remain accessible for future generations.

Author-pays publishing – guidance to applicants

It is the AHRC's position that authors choose where to place their research for publication. It is for authors' institutions to decide whether they are prepared to use funds for any page charges or other publishing fees. Such funds could be part of an institution's indirect costs under the full economic costing regime.

Self-archiving – guidance to applicants

The AHRC requires that funded researchers:

- ensure deposit of a copy of any resultant articles published in journals or conference proceedings in appropriate repository
- wherever possible, ensure deposit of the bibliographical metadata relating to such articles, including a link to the publisher's website, at or around the time of publication

Full implementation of these requirements must be undertaken such that current copyright and licensing policies, for example, embargo periods and provisions limiting the use of deposited content to non-commercial purposes, are respected by authors.

Changes to Published Versions of AHRC Research Funding Guide

Any changes made to this guide will be recorded here. Please ensure you have the latest version of the funding guide.

Version Number	Change	Page Number(s)
1.2	Included Research Councils' Statement of Societal and Economic Impact	61-62
1.2	Added guidance on completing Societal and Economic Impact sections of proposals	36-40
1.3	Added footnote regarding advice from the ADS on research that could lead to a digital output in archaeology and the historic environment.	36
1.3	Removed details of the Research Leave scheme	
1.3	Added details of the Fellowships scheme, including the route for early career researchers	
1.3	Amended the 'Dissemination' section of the Case for Support guidance to complement the guidance on completing the Societal and Economic Impact sections of proposals	
1.3	Added note that from 1 July 2009, Fellows in the Creative and Performing Arts will have limit of £20K per proposal when applying to RGPLA	16 & 36