



Arts & Humanities
Research Council

**Details of the call for proposals to the
Digital Equipment and Database Enhancement for
Impact (DEDEFI) Scheme**

September 2009

Introduction

The AHRC has secured £4m of additional capital funding in 2009/10 and 2010/11 to support a funding call for proposals that will lead to (i) enhanced access to leading edge digital technologies and facilities by arts and humanities researchers and/or (ii) enhanced impact from digital research outputs, such as databases, established with current or past AHRC or AHRB support.

Arts and humanities research lies at the forefront of developing and exploiting new digital technologies and in providing the content driving uptake of new technologies. For example, many of the most widely used digital services and digital outputs from research are linked to our desire to learn more about our past and other societies and cultures; to a wish to exploit the value of the UK's unique historic and cultural assets; to our creative strengths through accessing artistic or creative outputs and performances; and to public demand for participation in a myriad of cultural and learning activities. Arts and humanities research is also a major source of innovation in the development and application of new technologies, for example to support research or creative outputs, and new forms of service and business models.

AHRC's Future Directions consultation has highlighted how the digital age and potential for an 'infinite archive' open up new possibilities for rethinking the foundations of humanities research and for transforming the ways that knowledge is organised. This call will contribute to this emerging 'Digital Humanities' AHRC theme.

The call has been designed to sustain, build upon and enhance the UK's research strengths in the arts and humanities, including the outputs from AHRC's ICT Programme. It will complement existing activities, such as those supported through the RCUK Digital Economy Programme, current AHRC initiatives such as the Beyond Text Programme and initiatives supported by other funders such as JISC.

Aims and Scope of the Call

The call will support capital investment in two main areas:

i) **Enhanced access to Digital Technologies for innovative research in the arts and humanities.**

This part of the call is concerned with ensuring that the UK's world leading arts and humanities research base has continued and enhanced access to the latest digital technologies. Under this heading applications may be made for the purchase and associated implementation costs of leading edge digital equipment, resources or facilities that will enhance or enable a range of existing and future research projects (but funding may not be requested for other aspects of these projects). Applications may also seek funding for the development of innovative software tools of potential significant use to arts and humanities researchers provided that their sustainability and continuing utility for research can be demonstrated.

Examples of the digital technologies which might be funded under this heading include (this is not intended to be an exclusive list):

- enhancements to facilities at 3D visualisation laboratories, movement, audio and multi-sensory laboratories and other similar leading edge multi-media facilities;
- new digital platforms to deliver text, audio and video material over networks;
- mobile, wire-free facilities supporting research in real-life contexts (e.g. development of 'living laboratories') or enabling user-generated content or for research in situ (for example to enable research on historic objects in their appropriate cultural, environmental and historic context).

Priority under this heading will be given to proposals from existing facilities and centres of excellence that can demonstrate an excellent track record of enabling innovative

research in the arts and humanities and continuing strong linkages with on-going innovative research programmes and which demonstrate the greatest potential for supporting world leading research in the future. Reasonable assurances will be required that funding has been secured and/or is available to support the innovative research outlined that will use the new equipment/facilities for which funding is sought. Where this relates to current AHRB/C or other Research Council funded research, including research under the Digital Economy Programme, details of the relevant research projects should be provided.

Although it is expected that the principal users of the resources funded will be based in the arts and humanities, proposals involving cross-disciplinary teams, links with the Digital Economy Programme, or with the potential for some use outside the arts and humanities will also be welcomed. The facilities, equipment or resources created under this heading must be available/accessible to, and of potential use by, a range of potential research users and should not be primarily for the support of a single research project. Proposals which involve sharing the equipment/infrastructure with other research institutions or involve regional or subject-based consortia are encouraged under this call.

In order to be funded, proposals must include robust plans for the long term management, sustainability and accessibility of the resource/facility beyond the AHRC capital funding period and a convincing case that high usage of the facility will be sustained in the longer term.

Priority will also be given to proposals which can demonstrate potential for achieving broader impact outside academia and which involve, where appropriate, strong institutional support, partnerships with other funders and/or engagement with stakeholders outside academia.

Key questions which should be addressed in the Case for Support include:

- What innovative research will the new digital technologies/equipment/facilities allow to be conducted (specific examples should be provided wherever possible)?
- Why could this not be done using currently available digital technologies/equipment/facilities? How will this add value to existing activities, including for example under the Digital Economy Programme?
- Who will be given access to the digital technologies/equipment/facilities and how will access be managed beyond the period of funding sought in the application?
- How will access to and utilisation of the digital technologies/equipment/facilities be sustained beyond the end of the grant?

ii) **Sustainability, Innovation and Enhanced Impact of AHRC-funded Digital Outputs, Databases and Resources.**

This part of the call is concerned with the development of AHRB/C funded digital research outputs to ensure that they remain at the cutting edge of technological developments in a fast moving technological environment, are compatible with requirements for long-term sustainability and/or to sustain or enhance the accessibility of these resources to a wider range of audiences and broaden their usage and impact. This reflects the outcomes of a recent survey of AHRB/C-funded research leading to the creation of research resources and digital outputs, particularly on-line searchable databases and catalogues, conducted by the AHRC ICT Programme (further information on the outcomes of this can be found at <http://www.ahrcict.rdg.ac.uk/activities/review/sustainability.htm>), which revealed a need for technical updating of some of the most widely used current resources.

Proposals are also invited under this part of the call that seek to exploit the considerable untapped potential that exists to expand the accessibility, utilisation and impact of the digital outputs, databases and resources created through AHRC-funded research and/or to develop and exploit new technologies to promote engagement with

new audiences. Examples of the types of activity which might be supported include (this is not intended to be an exclusive list):

- enhancing the interoperability between resources using the latest integration technologies (including linkage of resources established with AHRB/C funding with other resources funded from other sources);
- development of better user interfaces and/or advanced search facilities;
- preparation of enhanced learning resources using the digital resource;
- enabling greater interactivity with users or personalisation to meet their needs;
- creative use of multi-media technologies to present material in new ways or promote engagement with new user groups.

Funding under this heading is restricted to current or past holders of AHRB/C awards (e.g. under the Resource Enhancement, standard Research Grants, Research Centres schemes and/or funding schemes within strategic programmes) and to activities directly related to the outcomes of this previous AHRB/C funded research. Details of the prior AHRB/C award(s) which contributed to the digital outputs or resources which the application will sustain/build upon/‘add-value’ to must be provided in the Case for Support. For completed projects/outputs already available, details should be provided of the usage made of the outputs to date, including where appropriate statistics for on-line usage over time (e.g. number of hits, downloads, repeat visits etc) and any information on the range of users or types of usage made of the resource (e.g. from user feedback or surveys, acknowledgements of data use etc). A clear account must be provided of how the work will add value to, and not duplicate, activities funded under the original AHRB/C award. Proposals which seek to enhance the utility of AHRB/C-funded resources through linkage with other non-AHRB/C-funded resources (e.g. through sharing data via mash-ups, enhanced interoperability etc) will be welcomed.

Priority will be given to proposals for digital outputs/resources which can either demonstrate proven capacity to achieve impact and to engage with a wide range of users or which demonstrate the greatest potential to engage with new audiences outside academia. Priority will also be given to those proposals involving significant innovation or creativity, for example through exploring new ways to use digital technologies to engage with the public or other non-academic stakeholders with the outcomes of past/current research. Applicants may find the JISC guide to researching audiences useful in developing their proposals for reaching new audiences and evaluating their strategy in this regard:

http://sca.jiscinvolve.org/files/2009/07/sca_audiences_guide_v1-03.pdf

Proposals primarily for the collection of new data, creation of new digital outputs or databases, for the digitisation or cataloguing of previously uncatalogued/undigitised materials or for the academic updating of resources will not normally be supported under this call. However, exceptionally, applications involving some elements of expansion to existing datasets, additional cataloguing or digitisation, and/or academic updating may be considered where this work is linked to an existing database or resource established with current or prior AHRB/C funding and the proposed additional work is an integral and necessary part of a coherent strategy to enhance the utility and usage of an existing resource and likely to contribute significantly to enhancing the impact of the existing resource.

In order to be funded, proposals must include robust plans for the long term management and sustainability of the impact of the investment beyond the AHRB/C capital funding period and effective communication plans to promote the use of the new resources and ensure that their potential value is realised. In terms of long-term sustainability we are looking to periods of around 5-10 years or more. Evidence of consultation with repositories or other partners in providing sustainability for the resource to ensure that the work proposed is compatible with their requirements will be expected. Applicants may be interested in the case studies in sustainability at:

<http://www.ithaka.org/ithaka-s-r/strategy/ithaka-case-studies-in-sustainability>

Proposals should also outline planned arrangements for monitoring the impact of the enhanced digital outputs created. Applications may find the *Toolkit for the Impact of Digitised Scholarly Resources* (<http://microsites.oii.ox.ac.uk/tidsr/>) developed under a recent JISC funded project helpful in this regard. Successful applicants may be asked to contribute to surveys following the completion of projects undertaken by the AHRC to obtain information on the longer term impact of the investment.

Where appropriate, applicants are encouraged to consider carefully the outcomes of AHRC's ICT Programme in terms of lessons learnt for the future management of ICT-related resources (see:

<http://www.ahrcict.rdg.ac.uk/activities/review/sustainability.htm> for more information).

Eligibility and Funding Available

Proposals of between £50,000 and £1,000,000 may be submitted under either of the headings above. These limits relate to the full economic costs of the proposal and applicants should note that normal AHRC funding rules will apply with AHRC meeting 80% of the full economic costs of proposals, except for equipment costs in excess of £50,000 in total (including VAT) which may be funded at 100% FEC. Funding will be allocated through this single call for applications: no further calls of this nature are planned at this time. Funding outcomes will be announced in late January/early February 2010.

Grants will be expected to start on 1 March 2010 and run for periods of up to one year. Starting certificates confirming that the project has started will be expected to be returned to AHRC within **21 days** of the start date. Please note that grants will be both cash and time limited and extensions to the end dates are unlikely to be possible. Delayed start dates after 1 March 2010 are only likely to be agreed in very exceptional circumstances. The activities for which funding is sought must occur and be completed during the award period. Funding for the costs of maintaining outputs or facilities after the end of the grant period (e.g. 'deposit dowries') cannot be funded under this call; plans for long term management and sustainability should be covered in the Case for Support and cannot be funded under this call. Supporting documentation confirming support for sustainability of the resource from collaborating partners may be attached to the Case for Support where appropriate.

Awards will be made to Research Organisations eligible for research funding under AHRC's responsive mode funding schemes. The Principal Investigator should be based at the proposed administering Research Organisation and must meet the eligibility requirements outlined below. There are no minimum or maximum limits on the amount of time which named applicants should commit to the grant; time commitments should be those necessary to ensure the adequate management and delivery of the stated outputs and objectives and in some cases this time may be provided through other funding routes.

In addition to costs for equipment, applications may include costs for: the costs of associated software, installation, development, testing (including user-testing) and piloting use of the resource; technical training, support and advice; training to enable the resource to be fully exploited (including documentation and guidance materials); management of the project; and dissemination and impact plans including related activities to promote and support exploitation of the resources established through the grant. Costs for monitoring usage and obtaining feedback/evaluation from users may also be included, provided that this falls within the award period.

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.

Applications could contain a clear statement about how issues relating to intellectual property rights, copyright etc will be handled. In most cases it is expected that these issues will have been addressed under previous/current projects; where this is the case and no change is anticipated a summary of the agreed current position should be provided.

How to apply

In order to apply for the Digital Equipment and Database Enhancement for Impact (DEDEFI) scheme, you must submit your proposal electronically through the [Je-S system](#). To submit proposals using Je-S, both individual investigators and the submitting Research Organisation (the one that will hold the award) must be registered for Je-S. **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 proposal.**

To prepare your proposal in Je-S choose 'Add New Document', then specify Council: AHRC, Document Type: Standard Proposal, Scheme: Research Grants Standard, and 'Create Document'. Je-S will then create a proposal, displaying appropriate section headings. Please ensure that in the Project Details section you select the closing date '**Digital Equipment and Database call (DEDEFI) 5 November 2009**'. 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 ensure you allow sufficient time prior to the AHRC deadline for your Research Organisation to be able to do this (note that some Research Organisations will have their own internal deadlines).

Your completed proposal must be submitted to the AHRC by the Research Organisation by 4pm on Thursday 5 November 2009. Late proposals will not be accepted.

Proposals containing attachments exceeding the stated limits, or not adhering to the specified format, will not be considered.

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.

Applicant Eligibility

Principal Investigators

- The Principal Investigator takes responsibility for the intellectual leadership of the 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.
- The DEDEFI scheme is 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) (see Annex E). Staff at Research Council Institutes may also be eligible to apply (see paragraphs 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 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 making the proposal. **You must provide evidence of this contractual arrangement with the host Research Organisation, and the host Research Organisation must support and endorse your proposal.** 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 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 proposal 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 proposal 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 AHRC if in any doubt.
- Your contractual arrangement with the host Research Organisation must be in place at the point of making the proposal and must cover both the period of the award and the monitoring period (three months after the end of the award). This contractual arrangement cannot be dependent on the success of the proposal. The AHRC will make an individual assessment of all eligibility cases.
- Recipients of Research Council Academic Fellowships, who are initially supported as postdoctoral research assistants (PDRAs) on Research Grants, are eligible to apply for new 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.

Co-Investigators

- 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 in addition to the Principal.

Eligibility of Research Council Institute staff

- The Research Councils have agreed to a change in the eligibility status of Research Council Institutes for grant funding from non-parent 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 from 1 April 2008. (see Annex E of the Research Funding Guide)

- Research Council Institute staff need to ensure that they meet the relevant criteria for this 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 Assistants employed on 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.

Outputs

For proposals to the 'Enhanced access to Digital Technologies for innovative research in the arts and humanities' strand, we realise that there may not be any specific outputs as such. For all awards under this strand, an Investigator's Report will be required by 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 award.

The report is the responsibility of the Principal Investigator. The report should be uploaded as an attachment to the standard Final Report which is due 3 months after the end of the award, using attachment type 'Other'. Details of the Final Report can be found in the 'Monitoring' section below.

Costs and other funding

- Proposals will be accepted under the Digital Equipment and Database Enhancement for Impact (DEDEFI) scheme with a minimum full economic cost of £50,000 and a maximum full economic cost of £1,000,000, to which the AHRC will make an 80% contribution if the proposal is successful. The only exception is for equipment costs in excess of £50,000 in total (including VAT) which may be funded at 100% FEC.
- 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 proposals and that, as the level of funding sought increases, so too does the challenge of meeting this criterion.

- 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. You must keep the AHRC informed of the progress of any such proposals. If you fail to do so, this could have an adverse effect on your proposal. If you are successful in securing funding from any other bodies, you may need to choose which source of funding you wish to pursue.

Cost Headings

All costs should fall under one of the following cost 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.

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 proposal 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 Je-S Helptext.

Justification of Resources

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 the Investigators' precise salary level need not be justified, the balance of staffing - between investigators, research assistants and other staff 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 (whilst noting that the maximum duration for grants under this call is 1 year). Costs may only be claimed for such activities undertaken during the period of an AHRC award.

Submitting more than one proposal to the same scheme

The AHRC considers that applicants should be responsible for determining their own research priorities, and you should normally only submit one proposal in any one round. If you choose nevertheless to submit more than one proposal, 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 proposals.

Joint Proposals

Proposals 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 proposal.

Submitting a proposal

Confidentiality and use of the information supplied

By submitting a proposal 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 Annex A below.

Technical Appendix

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 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 application¹. 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. Reviewers will comment specifically on the technical feasibility of your proposal.

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 Annex B).

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

¹ 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.

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 in Annex A.

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 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 is 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.

The AHRC has produced a number of short overviews as an aid to understanding some of the impacts arising from arts and humanities research. These can be found on the following page of the AHRC's website: <http://www.ahrc.ac.uk/FundedResearch/impact/Pages/default.aspx>.

These examples are taken from a range of existing AHRC-funded projects and illustrate some, but by no means all, of the diversity and variety of those impacts. They are not, however, intended as guidance on completing the Impact Requirements section of proposals, for which you should refer to the guidance below and the Je-S helptext. It should also be remembered that the impacts described here will not necessarily be replicated by undertaking the same activities. The pathways to impact are as diverse and varied as the impacts themselves. These examples can, however, provide some illustration of what can be achieved.

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.

Classification of Research

You must select at least one and may select up to three of the available options to describe the subject area of your research proposal. Subjects are grouped under subject headings. A full list of subject areas is available in Annex C. Between 1 and 6 free-text Keywords may also be entered.

Assessment Criteria

i) Enhanced access to Digital Technologies for innovative research in the arts and humanities

- **Added value** to existing facilities and activities (e.g. under the Digital Economy Programme)
- Potential **quality and innovation** of the research that will be enabled by the project. Will the provision of the resource facilitate significant advances in knowledge and/or understanding which will make a significant contribution to advancing relevant research fields?
- **Evidence of demand** for the equipment/resource/facility and a convincing case that high usage will be sustained over the predicted lifespan of the resource.
- **Sustainability and reusability** of the equipment/ resource / facility. Are adequate funding and management arrangements in place to ensure that the resource will be managed, maintained and updated as necessary beyond the award period and that adequate arrangements will be continued to enable continued access by users through the useful life of the equipment/resource/facility.
- **Management**– are adequate arrangements in place to ensure the delivery of the planned work, including where appropriate quality assurance of the equipment/ resource /facility, management of access to the facilities and management of any major potential risks?
- **Value for money** – do the proposals represent good value for public funds? Account will also be taken as appropriate of any institutional support, partnerships or co-funding which is available to support maximum added value from the additional investment.

ii) Sustainability, Innovation and Enhanced Impact of AHRC-funded Digital Outputs, Databases and Resources

- **Added Value** to the digital output/database/resource established through prior/ current AHRB/C funding and to the activities already undertaken or planned within the AHRC grant application to sustain or enable wider utilisation of the database/resource.
- **Quality of Proposed Activities** – including the technical quality, feasibility and viability of the proposed activities and anticipated outputs including where appropriate the anticipated quality of the user interface/experience and the resource's potential reusability.
- **Likely usage of the enhanced digital output/database/resource**; to what extent is there convincing evidence of significant demand for the proposed enhancement, to what extent is there either a strong track record of impact and engagement with a broad range of users or a convincing case that the additional investment will generate significantly enhanced impact and broader engagement? Have adequate arrangements been included, where appropriate, to obtain and respond to feedback from users of the output to improve its future usage?
- **Management arrangements** – are adequate arrangements in place to ensure the delivery of the planned work, including user testing and quality assurance of the outcomes and management of any potential key risks?
- **Sustainability** – is there a clear statement of how continued availability/access of the digital output/ database/ resource will be sustained beyond the end of the funding period?

- **Communication and Impact Plans** – how effective are the proposed arrangements for stimulating interest in the output/database/resource and potential use amongst the target user groups?
- **Value for money** - do the proposals represent good value for public funds? Account will also be taken as appropriate of any institutional support, partnerships or co-funding which is available to support maximum added value from the additional investment.
- **Innovation** – additional priority may be given to proposals which involve innovative technological developments or design, or creative uses of digital technologies to promote wider engagement, interest or utilisation of the outcomes from AHRB/C funded research.

Dissemination

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 proposal, you should ensure that the end-date for your project is timed to accommodate the proposed activities (within the maximum one-year duration for awards funded under this call). Costs may only be claimed for communication, dissemination and exploitation activities undertaken during the period of the award.

There is not a general rule that debars 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 assessment process for proposals submitted to the DEDEFI scheme will be as follows:

Proposals that meet the eligibility criteria will be reviewed by a specially convened panel. Each proposal will be sent to at least two members of the panel who will provide detailed reviews. Their reviews will be sent to the applicant in an anonymous format and the applicant will be given the right of reply (PI Response) 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 will be forwarded to the panel, and will be taken into account in the grading of proposals.

Once PI Responses have been received, all paperwork relating to the proposals will be sent to the panel for consideration. The panel will meet in January 2010 to award grades to proposals and make recommendations on the final priorities for funding.

Please note that applicants will be sent copies of the reviews of their proposals by email in the week commencing **14 December 2009**. Applicants will then have 7 days to return their response to those reviews.

Grading Scale

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

Grade	Descriptor (Research schemes)
6	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. It should be funded as a matter of the very highest priority.
5	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. It should be funded as a matter of priority, but does not merit the very highest priority rating.
4	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. It is suitable for funding.
3	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. It is not recommended for funding and cannot be resubmitted.
2	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. It is not suitable for funding and cannot be resubmitted.
1	A proposal which is of an unsatisfactory level of originality, quality and significance and/or does not meet the assessment criteria for the scheme and/or does not provide satisfactory evidence and justification for the proposal. It is not suitable for funding and cannot be resubmitted.

Sifting of Proposals

The AHRC has introduced a procedure whereby an increased number of proposals will be sifted. 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 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 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 above:

- 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).

Notification of Outcomes

Applicants will be notified of the outcome of their proposal in late January/early February 2010.

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.

Applicants are advised that under no circumstances should they contact peer review panel members to discuss individual proposals, meeting details or outcomes.

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 budget breakdown and a Starting Certificate, which must be signed and returned before the award can be paid. A Payment profile will be provided at the time of award and may vary according to the size and duration of the award. An initial payment will be made shortly after receipt of the completed Starting Certificate. Payments will be made to the institution (not to you as award-holder) by the AHRC, and will be individually identified.

The AHRC's peer reviewers, on occasion, may revise the level of staff resources on the project. 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.

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

As this is a one-off call, there will not be an opportunity for applicants to resubmit proposals.

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. A request for a final report 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. A request for an expenditure statement 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>

Attachments

Case for Support

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. The maximum word limit for the DEDEFI scheme is **3000 words**.

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.

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 reviewers to reach a considered judgement as to the quality of your proposal, its significance, its feasibility and value for money.

General Guidance on Headings to be used

You should describe your proposed project/programme of research using the required headings below:

Research Context

You should describe the research context for your project/programme of work or facility/resource/output. Why is it important that work is carried out or this facility/resource made available? What other work is being or has been conducted in this area and/or what other resources/facilities are currently available? How has your facility/resource/output already contributed to advances in the research fields outlined? What further contribution is it envisaged that your proposals, or the research that will be enabled by the facility/resource, will make to improving, enhancing, or developing creativity, insights, knowledge or understanding in your chosen area(s) of study? To whom will the outcomes of your activities, or your facility/resource, be of particular interest?

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 other staff)? What is the timetable for the project? Does it include appropriate milestones and is it realistic? Are adequate arrangements in place to ensure the delivery of the planned work, including, where appropriate, quality assurance of the outcomes and management of any potential key risks? How will you ensure that the proposed work meet the needs of your audience? Can the costs be justified? How will you ensure good value for money?

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 any 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'.

Specific Guidance on Headings to be used

In addition to the headings above, applicants should also address the headings below that relate to the specific call they are applying to:

Enhanced access to Digital Technologies for innovative research in the arts and humanities

Added value

Outline the added value that this project will bring to the existing facilities, resources and related activities. Why could the outcomes outlined in the proposal not be achieved using currently available digital technologies/equipment/facilities?

Quality and Innovation

Will the proposed equipment/facilities/resource be at the leading edge in their field? How will the provision of the resource facilitate significant advances in knowledge and/or understanding which will make a significant contribution to advancing relevant research fields? As far as possible please give specific or indicative examples of the innovative research that the new digital technologies/equipment/facilities will allow to be conducted.

Potential usage of the equipment/facilities/resource

Provide evidence of the demand for the equipment/facilities/resource and a convincing case that high usage will be sustained over the predicted lifespan of the resource. Who will be given access to digital technologies/equipment/facilities and what are the expected patterns of usage? How will that use be funded, managed and supported both during and after the period of the award?

Sustainability and Reusability

The expected useful lifespan of the equipment/facilities/resource should be discussed. It is crucial that you demonstrate what funding and management arrangements are in place to ensure that the resource will be managed, maintained and updated as necessary beyond the period covered by the funding sought and that adequate arrangements will be continued to enable continued access by users through the useful life of the equipment/facilities/resource. Details should be provided of any institutional support, partnerships or co-funding which is

available to sustain the equipment/facilities/resource and enable the maximum added value to be achieved from the additional AHRC investment sought.

Sustainability, Innovation and Enhanced Impact of AHRC-funded Digital Outputs, Databases and Resources

Relationship to existing award

Please give a brief outline of your previous/current AHRB/C award and explain how the proposed work would relate to it.

Added Value

Outline the added value that this project will bring to the digital output/database/resource established through either prior or current AHRB/C funding and to the activities already undertaken or planned with the AHRC grant application to sustain or enable wider utilisation of the database/resource.

Quality and Innovation

Give details of the technical quality, feasibility and viability of the proposed activities and anticipated outputs including where appropriate the anticipated quality of the user interface/experience. If the proposal involves innovative technological developments or design and/or creative uses of digital technologies to promote wider engagement, interest or utilisation of the digital outputs, please provide details of the nature of the proposed innovation.

Expected usage of the Digital Outputs, Databases and Resources

For completed projects/outputs already available, please provide details of the usage made of the outputs to date including, where appropriate, statistics for on-line usage over time (e.g. number of hits, downloads, repeat visits etc) and any information on the range of users or types of usage made of the resource (e.g. from user feedback or surveys, acknowledgements of data use etc). Where relevant it may be useful to provide examples of the types of use being made, or which could be made, of the outputs (e.g. further research that has been, or will be, enabled).

Please explain why you consider that the proposed activities will generate significantly enhanced utilisation, impact and broader engagement with the digital research outputs. Please detail any arrangements, where appropriate, for monitoring the impact of the enhanced digital outputs created and/or for obtaining and responding as appropriate to feedback from users of the output to improve its future usage.

Sustainability

It is crucial that you demonstrate what arrangements are in place to ensure that continued availability/access to the digital output/database/resource will be sustained beyond the end of the funding period. Details should be provided of any consultations with repositories (where appropriate) and of any institutional support, partnerships or co-funding which is available to sustain the digital output/database/resource and enable the maximum added value to be achieved from the additional AHRC investment sought.

OTHER ATTACHMENTS

Summary curricula vitae

A summary curriculum vitae should be attached as separate documents for the Principal Investigator, any Co-Investigators and named postdoctoral researchers. These should be no more than two sides of A4 paper and in a font no smaller than size 10. CVs should include basic information about education, employment history, and academic responsibilities.

Publications lists

A summary list of publications/research output list should be attached as separate document for the Principal Investigator, any Co-Investigators and 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 font no smaller than size 10. Brief articles, conference papers, etc. need not be included. You should asterisk those of particular relevance to your current research proposal.

Justification of Resources

This attachment is required for all proposals. Details of the information required can be found in the Costs section above.

Visual Evidence

Proposals may include no more than two sides of A4 of 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 curriculum vitae 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.

Letter of Support

A letter is required from each Project Partner named in the proposal.

Contacting Us

Enquiries about the proposal form, process and timetable should be directed to one of the AHRC officers as detailed below:

Senior Awards Officer

Louise Matter e- mail: l.matter@ahrc.ac.uk Tel: 0117 987 6605

Programme Manager

Katherine Barkwith e-mail: k.barkwith@ahrc.ac.uk Tel: 0117 987 6608

Annex A

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.

Annex B: 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 1996 Concordat for the Career Management of Contract Research Staff, and subsequent amendments. It must ensure that reliable systems and processes are in place to promote equality of opportunity, to promote good relations between different equalities groups and to eliminate unlawful discrimination. Research Organisations will be expected to comply with all equal opportunities legislation in force at any time during the term of the grant. Research staff should be appointed on terms that are no less favorable than for posts for "like" work or work which is the "same or broadly similar" in the Research Organisation, or to jobs that are rated as being equivalent under a job evaluation scheme.
- 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.

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

If the final report or the final 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.

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 Commercial Exploitation

Unless stated otherwise, the ownership of intellectual property, and responsibility for its exploitation, rests with the Research Organisation. The Research Council may, in individual cases, reserve the right to retain ownership of intellectual property 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 condition.

Where a single grant funds research by more than one Research Organisation, and may include involvement with project partners, the intellectual property will belong to the organisation that generates it. In these circumstances, 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. Such agreements must be in place before the research begins. The terms of collaboration agreements must not conflict with the Research Councils' terms and conditions.

It is the responsibility of the Research Organisation, and all engaged in the research, to make every effort to ensure that any potentially valuable results obtained in the course of the research are exploited, and that there is a suitable return to the Research Organisation and the researchers from any such exploitation. The Research Organisation must ensure that all those associated with the research are aware of, and accept, the arrangements for exploitation.

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].

Annex C: 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.

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)
- 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*

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)

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.

Annex D: 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.

Annex E: Independent Research Organisations recognised by the AHRC and Research Council Institutes

IROs are UK-based organisations that are 'not-for-profit' and are not funded by the UK Higher Education Funding Councils, but have a significant existing independent research capability.

In order to be recognised as an IRO, an organisation must go through an application procedure and meet the cross-Council eligibility criteria. Further details are available here:

<http://www.rcuk.ac.uk/research/eligibility.htm>

The following organisations have been recognised by the AHRC as IROs and are eligible to apply directly for AHRC research funding:

- The British Library
- The British Museum
- The National Archives
- The National Maritime Museum
- The National Portrait Gallery
- Royal Commission on the Ancient and Historical Monuments of Scotland
- Tate
- The Victoria and Albert Museum

Research Council Institutes

The list of Research Council Institutes is also available here :

<http://www.rcuk.ac.uk/research/eligibility.htm>

Annex F – 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.

Annex G: 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.