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Introduction

The Arts and Humanities Research Council (AHRC) seeks to promote and support high quality arts and humanities research through a variety of funding opportunities across its schemes from postgraduate studentships to large scale collaborative research grants, specialist training schemes to strategic programmes, fellowships to research networking.

Research funding is available through the AHRC’s responsive mode schemes (funding for high quality research in any subject area within the AHRC’s remit) and through research programmes and other specific initiatives (funding for high quality research in specific areas of intellectual urgency and wider resonance).

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

You should note that the schemes we operate offer very different types of support. It is important to think carefully about the most appropriate scheme for the research project you propose to undertake.

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

Case studies of research previously funded by the AHRC are available on our website at http://www.ahrc.ac.uk/Funded-Research/Browse-Case-Studies/Pages/Case-Study-Listing.aspx

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

Equal Opportunities

The Research Councils aim to develop as organisations that value the diversity of their staff and stakeholders, enabling all to realise their full potential by valuing the contribution of everyone and recognising and harnessing the benefits that differences can bring.
The UK Research Councils are committed to eliminating unlawful discrimination and promoting equality of opportunity and good relations across and between the defined equalities groups in all of their relevant functions.

Accordingly no eligible job applicant, funding applicant, employee or external stakeholder including members of the public should receive less favourable treatment on the grounds of: gender, marital status, sexual orientation, gender re-assignment, race, colour, nationality, ethnicity or national origins, religion or similar philosophical belief, spent criminal conviction, age or disability.

Equally, all proposals must be assessed on equal terms, regardless of the sex, age and/or ethnicity of the applicant. Proposals must therefore be assessed and graded on their merits, in accordance with the criteria and the aims and objectives set for each scheme or call for funding.

**Concordat to Support Research Integrity**

The national Concordat to Support Research Integrity outlines the obligations on researchers, institutions and funders regarding the need to ensure the highest levels of integrity in all aspects of research, including peer review and the publication or dissemination of research outcomes. The document which sets out the national framework for good research conduct and its governance can be found using the following link:

http://www.rcuk.ac.uk/funding/researchintegrity/.

You are strongly recommended to familiarise yourself with this Concordat and its expectations.

**How to use this guide**

This guide is intended to cover rules and policies for our responsive mode schemes. Each scheme has different aims, funding limits, durations, etc, although many standard rules do apply to all. Section 1 describes each scheme in detail and notes any exceptions which apply to a particular scheme. Sections 2-7 contain standard rules and policies, which would normally apply to all schemes. However, anything noted in Section 1 for a particular scheme will supersede the rule or policy in subsequent sections.

If you are applying under the Early Career route to either Research Grants or Leadership Fellows, you will need to read both areas of Section 1 which apply to you. For example, if you are an Early Career applicant under the Research Grants scheme,
you will want to read the Research Grants and the Research Grants – Early Career route areas of Section 1, as well as the generic information in Sections 2-7.

**Definition of research**

For all schemes except Research Networking and Follow-on Funding for Impact and Engagement (FoF), the AHRC’s definition of research is as follows: research activities should primarily be concerned with research processes, rather than outputs. This definition is built around three key features and your proposal must fully address all of these in order to be considered eligible for support:

1- It must define a series of research questions, issues or problems that will be addressed in the course of the research. It must also define its aims and objectives in terms of seeking to enhance knowledge and understanding relating to the questions, issues or problems to be addressed.

2- It must specify a research context for the questions, issues or problems to be addressed. You must specify why it is important that these particular questions, issues or problems should be addressed; what other research is being or has been conducted in this area; and what particular contribution this project will make to the advancement of creativity, insights, knowledge and understanding in this area.

3- It must specify the research methods for addressing and answering the research questions, issues or problems. You must state how, in the course of the research project, you will seek to answer the questions, address the issues or solve the problems. You should also explain the rationale for your chosen research methods and why you think they provide the most appropriate means by which to address the research questions, issues or problems.

Our primary concern is to ensure that the research we fund addresses clearly-articulated research questions, issues or problems, set in a clear context of other research in that area, and using appropriate research methods and/or approaches.

The precise nature of the research questions, issues or problems, approaches to the research and outputs of the work may vary considerably, embracing basic, strategic and applied research. The research questions, issues, problems, methods and/or approaches may range from intellectual questions that require critical, historical or theoretical investigation, to practical issues or problems that require other approaches such as testing, prototyping, experimental development and evaluation. The outputs of the research may include, for example, monographs, editions or...
articles; electronic data, including sound or images; performances, films or broadcasts; or exhibitions. Teaching materials may also be an appropriate outcome from a research project provided that it fulfils the definition above.

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

Creative output can be produced, or practice undertaken, as an integral part of a research process as defined above. The Council would expect, however, this practice to be accompanied by some form of documentation of the research process, as well as some form of textual analysis or explanation to support its position and as a record of your critical reflection. Equally, creativity or practice may involve no such process at all, in which case it would be ineligible for funding from the Arts and Humanities Research Council.
1 Funding opportunities

The AHRC offers several modes of funding for postdoctoral academics, including Research Grants, Leadership Fellows, Research Networking and Follow-on Funding for Impact and Engagement. Other, more targeted funding opportunities are also announced throughout the year on our website: http://www.ahrc.ac.uk/.

1.1 Research Grants

The Research Grants scheme has two routes:

- a standard route, and
- a route for early career researchers

It is intended to support well-defined research projects enabling individual researchers to collaborate with, and bring benefits to, other individuals and organisations through the development of high quality research. Research Grants are not intended to support individual scholarship; however, projects may include elements of individual research if it can be shown that there will be added value from bringing these elements together within a jointly developed research framework.

1.1.1 Aims

- to assist researchers in all areas of the arts and humanities to improve the breadth and depth of our knowledge of human culture both past and present

- to support well-defined research projects of the highest quality and standards that will lead to significant advances in creativity, insights, knowledge and understanding, of interest and value both in the research community and in wider contexts where they can make a difference

- to enable arts and humanities researchers to pursue, and to bring to completion in due time, collaborative research projects of the highest quality that require leadership from more than a single scholar. You are required to include a principal investigator and at least one co-investigator jointly involved in the development of the research proposal, its leadership and management and leading to significant jointly authored research outputs

- to enable arts and humanities researchers to establish or enhance effective working relationships with fellow researchers - both within and beyond the arts
Section 1: Funding Opportunities – Research Grants

and humanities and within and beyond the UK - practitioners and the wide range of individuals and organisations who may benefit from their research

- to provide opportunities for less experienced researchers to develop their expertise and their careers by working collaboratively with senior researchers on well-defined projects and by leading projects themselves

- to maximise the value of research outcomes by promoting their communication and dissemination with individuals and organisations outside academia and, where appropriate, to facilitate the knowledge transfer of those outcomes to both the research community and other contexts where they will make a difference.

1.1.2 Scheme limit, duration and level of commitment

The standard route accepts proposals with a total full economic cost of between £50,000 and £1,000,000 and lasting up to a maximum of 60 months.

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

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

1.1.3 International opportunities

AHRC attaches major importance to the position of UK arts and humanities research in the international and global arena and positively encourages active collaboration between UK researchers and those in other countries. To this end, it has forged collaborative funding agreements, enabling joint standard grants with leading overseas partners. For further information, please see the International section of our website (opens in a new window).

The AHRC will be piloting a policy to allow international researchers to act as Co-Investigators on Research Grants, which will apply to proposals received until 31 December 2014, when it will be reviewed.
Section 1: Funding Opportunities – Research Grants

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

1.1.5 Collaboration
The collaboration may involve a single institution or a combination of institutions and may involve people from the same or from different research areas, including collaboration between disciplines within the arts and humanities, or between an arts and humanities discipline and another subject area. In such collaborations, the arts and/or humanities element of the project should lead the research questions, methods, etc. It may involve researchers collaborating with researchers overseas or with colleagues within other sectors. The collaboration proposed should be appropriate and necessary to the specific needs of the research project.

1.1.6 PhD project students
Please note that as of 1 November 2013 applications for Research Grants are not permitted to include costs for project students. However, project students may still be permitted where a highlight notice or call specifically states that you may apply for capacity-building studentships alongside the grant.

1.1.7 Archaeology: radiocarbon dating: Research Grants Scheme
If your project requires access to radiocarbon dating facilities, you must apply for access to the Oxford Radiocarbon Dating Service (ORADS), which is funded by the AHRC and NERC. Please click here for further details on how to apply (opens in a new window).

You may only request radiocarbon dating costs from AHRC through your grant application if ORADS confirms that they are not able to provide a suitable service. You must state in your application that you have discussed the needs of your project with ORADS.

If you are requesting funds for radiocarbon dating in your application, these costs must be justified with a clear explanation for the request for funds in the case for support. See Section 4.2.7.10 below for more information regarding what to include in the Case for Support. If you are requesting more than 100 dates for your project, these must be costed into the budget.
Section 1: Funding Opportunities – Research Grants

If you have any queries regarding the service provided by ORADS please contact Dr Tom Higham, Deputy Director - thomas.higham@rlaha.ac.uk.
1.2 Research Grants Scheme route for early career researchers

If you are considering applying for the early career route for Research Grants, you will need to read this section in conjunction with the general guidance and the guidance for the Research Grants scheme, Section 1.1 above.

1.2.1 Aims

The Research Grants Scheme - early career route shares the same aims as the standard route but has been introduced to assist new researchers at the start of their careers in gaining experience of managing and leading research projects.

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

1.2.2 Scheme limit and duration

Applications may be submitted for proposals with a full economic cost between £50,000 and £250,000 and for a duration of up to 60 months.

1.2.3 Case for Support – statement of eligibility

You should briefly explain how you meet the route for early career eligibility criteria. In addition to the criteria outlined in Eligibility, Section 3 below you must have not already been a Principal Applicant/Investigator on an AHRC funded research grant, large grant or Follow-on Funding grant.
1.3 The Leadership Fellowships Scheme

Please Note: On 1st May 2014 the AHRC’s Fellowships scheme became the Leadership Fellows scheme. Guidance has been updated to emphasise the need for applicants to give equal consideration to both leadership and research.

The scheme-specific funding guide for the Leadership Fellows scheme can be found at here (opens in a new window).
1.4 Research Networking Scheme

The Research Networking Scheme is intended to support forums for the discussion and exchange of ideas on a specified thematic area, issue or problem. The intention is to facilitate interactions between researchers and stakeholders through, for example, a short-term series of workshops, seminars, networking activities or other events.

The aim of these activities is to stimulate new debate across boundaries, for example: disciplinary, conceptual, theoretical, methodological, and/or international. Proposals should explore new areas, be multi-institutional and can include creative or innovative approaches or entrepreneurship. Proposals must justify the approach taken and clearly explain the novelty or added value for bringing the network participants together.

Although the Research Networking scheme is primarily aimed at the development of new networks and interactions, existing networks can also apply where they are addressing a new or novel area.

The AHRC will be piloting a policy to allow international researchers to act as Co-Investigators on Research Networking proposals. This policy will apply to proposals received until 31 December 2014, when it will be reviewed. Detailed information about eligibility, costs and application guidance can be found within the relevant sections of this guide.

1.4.1 Aims

- to support collaboration and the exchange of ideas across boundaries, primarily between researchers in the arts and humanities, as well as with colleagues in other disciplines and other stakeholders in order to explore a particular theme, issue or problem

- to enable groups of researchers and other stakeholders to explore ideas which could lead to tangible projects and maximise opportunities for advances in creativity, insights, knowledge and understanding in the area to be explored, with results of value both to the arts and humanities research community and to wider contexts where they can make a difference

- to encourage and enable researchers within the research community to involve new researchers and research students, as well as people or organisations from outside the academic and research community, in the discussion and development of ideas
Section 1: Funding Opportunities – Research Networking

- to foster (where appropriate) international collaboration and the development of strong academic links with overseas researchers, in order to develop understanding through engagement with different cultures and parts of the world, and to enhance research standards

- to provide a framework for the AHRC to learn of emerging areas of intellectual urgency and potential strategic importance, both within the UK and internationally, identifying key research challenges by building new collaborations as well as strengthening existing ones.

### 1.4.2 Scheme limit and duration

Proposals for full economic costs up to £30,000 for a period of up to two years may be submitted. The exact mechanism for networking and the duration is up to you to decide but must be fully justified in the proposal. Costs within the £30,000 fEC scheme limit should include all UK based activities. Such costs can include the PI and Co-I’s time on the project, administrative support, estates and indirect costs, costs involved in organising events and travel and subsistence costs for UK participants.

A further threshold of up to £15,000 in addition to the £30,000 full economic cost (fEC) may be sought to cover the costs of any international participants, co-investigator or activities. Proposals will need to be submitted by an eligible Research Organisation but must involve collaboration with at least one other international organisation, as well as have significant relevance to beneficiaries in the UK. Eligible costs above £30,000 limit are only those which can be directly attributable to international collaboration.

### 1.4.3 Deadlines

This scheme operates without formal deadlines. You are able to submit proposals at any time of the year and we will aim to inform you of the outcome within five months of submission.

The proposed start date of your project must be at least six months from date of submission. For example, if you submit a proposal on 15 January, the earliest possible start date would be 15 July.

### 1.4.4 Costs

The Research Networking scheme will meet the salary costs for you and a Co-Investigator for the time spent overseeing and providing intellectual input to the activities, the cost of setting up and coordinating the activities (for example, the salary costs of a coordinator) along with associated Indirect and Estates costs,
Section 1: Funding Opportunities – Research Networking

although Indirect and Estates costs will not be eligible for any international co-investigators. Time spent by you on the co-ordination of the activities is not expected to form the majority of the cost of the proposal. Research Assistants are not eligible under this scheme and the salary costs of participants cannot be included.

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

The following costs are eligible to be included under the additional £15,000 limit:

- travel and subsistence
- international participants visiting the UK
- UK participants travelling to events/activities outside of the UK
- international phone calls and/or video conferencing
- cost of overseas events/activities
- costs incurred by the international co-investigator, including salary, where applicable (see Proposals with an international element, Section 2.2 below for more information on international co-investigator salary eligibility).

Costs over and above those specified for the standard scheme must be directly related to the activities fostering the contribution of colleagues from other countries, including events in those countries. The added value and contribution of the international participation to the research networking activities must be clearly explained and justified in the proposal.

The following costs are NOT eligible to be included under the additional £15,000 limit:

- Additional Investigator time or administrative support in the UK spent supporting the international collaboration (whether in the UK or abroad)
- Costs of UK based workshops involving international participants (for example, room hire, catering).
- Costs of other UK based activities involving international participants

The scheme is not intended to fund stand-alone events which are not part of the research process, e.g. events held to disseminate findings from research already
undertaken, or networks based around an existing conference where the networking activities would have taken place without funding. Fees for consultants or speakers will therefore be considered only on an exceptional basis where it can be demonstrated that their participation is in keeping with the exploration of new ideas.

All costs must be itemised separately within the budget breakdown section of the application and the costs of any international collaboration clearly indicated. In addition, all costs must be justified in the Justification of Resources attachment. See Justification of Resources, Section 4.2.7.6 below for more information regarding what to include in this document.

### 1.4.5 Principal Investigator (PI) eligibility

The PI must be the person who will be responsible for co-ordinating the activities, and s/he must come from a discipline within the arts and humanities subject domain.

### 1.4.6 Co-Investigator eligibility

Only one Co-Investigator is permissible. International co-investigators are eligible under this scheme.

### 1.4.7 Case for Support Attachment

You must outline clearly the rationale for the activities, approach and the research context in which they will operate by answering the following questions:

- What is the central theme of the proposed activity?
- Why is it important that this theme be explored?
- What is new and novel about the network?
- How will the questions be addressed?
- How will the proposed activities generate genuine and novel interaction across boundaries and so lead to advances in understanding?

You should also give details regarding the aims and objectives, the timetable for any activities proposed, proposed participants and key speakers, and plans for management and co-ordination, including the membership of any proposed advisory group or steering committee.

Provided that you meet the eligibility criteria, additional participation from those in other organisations can be as broad as is needed to achieve the aims of the networking (within the budget available) and additional members can be brought in during the course of the award.  To meet the scheme’s intention of crossing
boundaries, activities of participants from beyond the academic community is required. As well as any named participants, an indication of the subject and sector interests to be represented should be provided.

Instead of the headings in the Case for Support Section 4.2.7.10 below, you should use the following:

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

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

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

1.4.7.4 Key speakers or participants
You should indicate any specific speakers or participants who would be central to the success of the project, along with their expertise and availability.

1.4.7.5 Management and co-ordination
How will the activities be managed? Will there be an advisory group or steering committee? If so, who are the proposed members and does the membership reflect the constituencies the proposal intends to reach? What will be the roles of the principal investigator, the co-investigator, and other participants?

Please note that you are permitted only one co-investigator under this scheme.

1.4.7.6 Dissemination
Section 1: Funding Opportunities – Research Networking

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

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

How do you propose to maximise the value of the proposed research outputs? You should cross refer here to the separate attachment, ‘Pathways to Impact’. See Section 4.2.7.7: Pathways to Impact for more information regarding what to include in this document.

1.4.8 Justification of Resources Attachment

The breakdown of costs should clearly explain any additional costs sought for international participation, where applicable.

Proposals are required to justify the inclusion of any international participants itemised within the budget breakdown and outline why they are necessary for the success of the proposed activities.

1.4.9 Technical Plan Attachment

1.4.10 A Technical Plan is not required for this scheme. Principal Investigator response

There is no PI response stage for this scheme.

1.4.11 Assessment criteria

In addition to the information in Assessment Criteria and Peer Review, 5 below, the following additional criteria will also be taken into account:

- the quality of the research process outlined, including: research agenda, participants, sustainability and appropriateness of methods to foster interactions
- the level of genuine collaboration proposed across boundaries and the value that this will add to the development of research in that area
- the significance and importance of the thematic area to be explored
- the extent to which the proposed activities will generate genuine and productive interaction across boundaries (e.g. disciplinary, conceptual, theoretical, methodological and/or international), including the potential for them to lead to advances in knowledge and understanding in the fields concerned and/or new high quality cross-disciplinary research projects
Section 1: Funding Opportunities – Research Networking

- the level of involvement from different organisations and interaction between participants (creative techniques for fostering interactions are welcomed).

Further, the following will also apply to proposals requesting additional funds for international collaboration:

- the extent to which the proposed activities will foster the development of strong academic links between the UK and researchers in other countries and the value that this adds to the research area.

1.4.12 the contribution and added value of the proposed international collaboration to the research networking outlined

Peer Review Process

Where the peer reviewers’ comments and grades are consistent, the AHRC will allocate theirs as the final grade for the proposal. Where the grades differ, or the comments are inconsistent with the grade, the proposal and peer reviews will be moderated by a third member of the Peer Review College. S/He will consider the proposal, allocating a final grade. S/He will then rank all batched applications by priority for funding. Final funding decisions will be made by the AHRC.
Section 1: Funding Opportunities – Follow on Funding for Impact and Engagement

1.5 Follow-on Funding for Impact and Engagement Scheme

The AHRC Follow-on Funding for Impact and Engagement Scheme (FoF) provides funds to support innovative and creative engagements with new audiences and user communities which stimulate pathways to impact. Funds will be awarded for knowledge exchange, public engagement, dissemination and commercialisation activities that arise unforeseeably during the lifespan of or following an AHRC-funded project. The scheme does not support supplementary funding for continuation of research activities.

Proposals must clearly demonstrate both a well-defined non-academic need for the work and engagement with potential users and stakeholders in developing their project. Proposed activities must enhance the value and wider benefit of the original AHRC-funded research project, and clearly demonstrate how they will deliver significant economic, social, cultural and/or policy impacts.

1.5.1 Aims

- to explore unforeseen pathways to impact either within the lifespan of an AHRC research project or resulting from a completed research project
- to enhance the value and benefits of AHRC-funded research beyond academia
- to encourage and facilitate a range of interactions and creative engagements between arts and humanities research and a variety of user communities to include business and commercial, third sector and heritage sector, public policy, voluntary and community groups and/or the general public.

1.5.2 Scheme limit and duration

The FoF Scheme offers awards of up to £100,000 (fEC) for a maximum of 12 months either full- or part-time to support emergent or supplementary knowledge exchange, public engagement, active dissemination or commercialisation/proof of concept activities. Smaller awards of up to £30,000 (fEC) are encouraged for shorter, higher risk activities, for example testing the feasibility of an idea, exploring new partnerships for knowledge exchange, testing the market or investigating a new business model. Decision making times are reduced for these smaller awards.

1.5.3 Deadlines

This scheme operates without formal deadlines and you are able to submit proposals at any time of year. There are no restrictions on how long ago the original project...
Section 1: Funding Opportunities – Follow on Funding for Impact and Engagement

was funded, but the case must be made as to how the new proposal is appropriate and relevant if a significant amount of time has elapsed.

1.5.3.1 Applications over £30,000 fEC:
We aim, where possible, to complete the assessment process within 14-16 weeks and the earliest start date for a project should be no earlier than five and no later than nine months after submission.

1.5.3.2 Applications under £30,000 fEC:
We aim, where possible, to complete the assessment process within six weeks and the earliest start date should be no earlier than three and no later than nine months after submission.

1.5.4 Eligible activities
The focus of the FoF scheme is on impact generating activities and engagement with new user communities and non-academic audiences.

Types of activity supported by this scheme include:

- knowledge exchange, interactive public engagement or active dissemination activities. These must engage new user communities and audiences.
- commercialisation or proof of concept
- activities that build upon knowledge exchange and pathways to impact already undertaken but which take those activities in a new direction and to new audiences
- conferences and seminars for a policy/practice audience
- pursuit and development of new user contacts
- feasibility studies to test the potential application of ideas emerging from the research in different business, policy or practice contexts

1.5.5 Ineligible activities
The Follow-on Funding scheme:

- Cannot be used to support pathway to impact activities that have already been taken into account in the original proposal.
- Cannot be used to extend an existing grant or award or to continue similar or existing activities or conduct further research.
- Cannot be used to support resource enhancement activities or to develop or extend an existing website or resource.
Section 1: Funding Opportunities – Follow on Funding for Impact and Engagement

- Does not cover research leave type activities or primarily fund staff time.
- Cannot be used to support principally academic outputs (such as an academic paper, conference or a publication).

If any of the above appears to be the case, the proposal will be deemed ineligible.

1.5.6 Definitions
The AHRC has specific interpretations for knowledge exchange, dissemination, public engagement and impact. Further information can be found on the knowledge exchange pages of the AHRC website (opens in a new window).

1.5.7 Eligibility criteria
The AHRC FoF scheme has been developed to support innovative and creative engagements with new non-academic audiences and user communities, which stimulate pathways to impact. This is the primary criterion for funding support. Proposals must:

- be based upon either previous or current research directly funded by the AHRC (with the exception of research conducted under Masters, Doctoral or Collaborative Doctoral (CDA) and Knowledge Transfer Partnerships (KTPs)).
- be based upon research that has been co-funded with another UK Research Council, funded entirely by another UK Research Council, or funded under RCUK supported schemes such as the HERA Joint Research Programme, but only where the FoF proposal genuinely falls within the AHRC’s remit. In such cases strong justification is required for why the FoF project is directed to the AHRC, together with supporting evidence and previous proposal.
- support innovative pathways to impact opportunities that could not have been foreseen at the original proposal stage and/or that have not already been taken account of in the original award. Proposals need to demonstrate clearly how it will add significant value to pathways to impact activities that were already identified within the original award.
- exploit creative and innovative ideas rather than repeating, continuing or extending existing activities or conducting substantively new research projects.
- be focused towards non-academic audiences and relevant user communities. You should demonstrate engagement with potential users and stakeholders throughout the project’s definition and development processes.
Section 1: Funding Opportunities – Follow on Funding for Impact and Engagement

- be led by the original PI from which the project derives. However, where it is more appropriate to the nature of the proposed activity, another member of the original research team may lead the FoF project. In such cases the original PI would be expected to be named as CO-I at least in an advisory capacity. This would need to be justified in the Case for Support. See Case for Support, Section 4.2.7.10 below regarding more information about this document.

If a research group within an RO wishes to exploit a piece of research in the absence of the original PI then permission should be sought from them (and where possible they should be involved in an advisory role) and the RO must ensure any continuity issues including IP or copyright are addressed.

The AHRC will be piloting a policy to allow international researchers to act as Co-Investigators on Follow-on Funding for Impact and Engagement proposals. This policy will apply to proposals received until 31 December 2014, when it will be reviewed. Detailed information about eligibility, costs and application guidance can be found within the relevant sections of this guide.

1.5.8 Non-Academic partners

In addition to the guidance in Non Academic Partners, Section 4.2.6 below, the following also applies:

- Universities, colleges, further education institutions, related departments or spin-out companies may not participate as non-academic partners.

- University museums and galleries, however, may participate as project partners provided that they are working with a Research Organisation other than or in addition to the Research Organisation with which they are formally linked.

Where appropriate, non-academic partners are required to commit to a financial or in-kind contribution (this will not constitute part of the fEC of the project). There is no minimum contribution; however, value for money will be considered in the assessment of proposals.

Non-academic partners should submit a Letter of Support as an attachment to the application and this should detail the reasons, motivations and commitment to participating in the project. If there is more than one non-academic partner then each should provide a Letter of Support. If appropriate, the Letter of Support also provides an opportunity for non-academic partners to state their financial and/or in-kind contributions to the project.
Section 1: Funding Opportunities – Follow on Funding for Impact and Engagement

1.5.9 Case for Support attachment

Instead of the headings in Case for Support, Section 4.2.7.10 below, you should use the following:

1.5.9.1 Aims and objectives

- You should describe the aims and objectives of your proposal and explain the specific targets to be achieved at milestones as well as by the end of the award.

- You should explain how your proposed activities demonstrate impact innovation, creativity and engagement as this is the principal criterion for support. Proposals that fail to demonstrate this will not be considered for support, no matter how high the quality of the original research.

1.5.9.2 Context

You should describe the context for your proposed activities, clearly identifying the existing piece or body of research the proposed activities are based on and how the FoF proposal will strengthen the impact of that research.

You should provide evidence that the completed research is of direct relevance to the wider audience(s)/organisation(s) that you intend to work with. Ability to demonstrate that there is a well-defined need and that you have consulted and involved potential users and/or stakeholders in developing the proposal is an important requirement.

Where your proposal is for an emergent activity within the current lifespan of a grant, you should explain how this opportunity has arisen, why it wasn’t foreseeable at the application stage, the timeliness of the activity and how it will enhance the impact of the research.

1.5.9.3 Proposed activities

Please provide a clear and concise description of the activities to be undertaken. The proposed work should be fully explained, taking into account the scheme criteria. Justification should be provided for the chosen approach/methods. If you are seeking travel, subsistence or event costs then you should describe their purpose and why they are relevant to the programme of work. If you are proposing a feasibility study or shorter, higher risk activity you should identify specific risks and explain how they will be managed.

1.5.9.4 Timetable
Section 1: Funding Opportunities – Follow on Funding for Impact and Engagement

Describe the timetable for the project, including appropriate milestones and dates for when outcomes/outputs of the project will be completed.

1.5.9.5 Project management

You should describe the respective roles and responsibilities that you, your host RO and the project partners or stakeholders will undertake and the process by which a shared understanding of this has been reached. How will the project be managed on a day to day basis and how will it be monitored to review progress and ensure delivery against the aims and objectives.

1.5.9.6 Collaboration

Where appropriate, detail the partner organisation(s) that you are working with, their role in the project and how you will work together to develop and deliver the outcomes. It is vital that the project responds to a well-defined non-academic need and that there has been a joint or consultative approach to its development. Where you are not working with a named project partner, detail the methods used to consult with relevant stakeholders and user communities to formulate the project.

If you have an existing working relationship with the partner(s), briefly describe the nature of that relationship. How will this project enhance that relationship? If you are seeking to establish a working relationship with a new partner then please describe the steps you will take or have taken to make that happen.

The reviewers will want to know that you and your partner(s) have considered any relevant issues of ownership/intellectual property arising from the project.

1.5.9.7 Outcomes and impact

Describe how this project meets the FoF scheme aims and eligibility criteria especially in terms of delivering pathways to impact by developing creative and innovative engagements with new audiences and user communities. Who will benefit and how and why does it matter? How will you ensure that outcomes and outputs can be disseminated as widely as possible to maximise the value and reach of any impact generated? How do you intend to capture information about these anticipated benefits and how will you demonstrate success in meeting the specified aims and objectives?

You should also consider the longer-term sustainability of the proposed activities and the likely transformative effects of any outputs on the target audiences and user
groups, or within an organisational or policy context. What do you envisage will happen after the end of the funding period?

1.5.9.8 Technical Summary

All FoF proposals are now required to complete a Technical Summary and in some cases attach a Technical Plan. Please see the Technical Summary text in the Case for Support, Section 4.2.7.10 f below for more information.

1.5.10 Assessment and Peer Review

Proposals over £30,000 fEC will be subject to two specialist peer reviews by members of the AHRC’s Peer Review College followed by a PI Response stage. The proposal, reviews and the PI Response will be moderated by a review panel who will make funding recommendations to the AHRC. Applications under £30,000 (fEC) will be reviewed directly by the panel and will not be offered a PI response.

In addition to the general criteria outlined in Assessment Criteria and Peer Review, Section 5 below, the following will be taken into account for the Follow-on Funding for Impact and Engagement scheme:

1.5.10.1 Quality and importance

- the extent to which the project responds to a well-defined non-academic audience / user community need
- the timeliness and duration of the proposal
- the level of engagement with existing and potential user communities and non-academic audiences in defining that need and developing the proposal
- the potential of the activities to enhance the value and impact of the original research
- the extent of engagement with new target audiences and users

1.5.10.2 Management of the project

- the feasibility of the project, given the planned timetable, resources and project management
- how partners will work together to achieve the aims and objectives.

1.5.10.3 Value for money

- the potential and appropriateness of the proposed activities to enhance the value and impact of the previous research

1.5.10.4 Output, dissemination and impact
Section 1: Funding Opportunities – Follow on Funding for Impact and Engagement

- social, economic and/or policy impact potential of the research on which the FoF project is based
- longer-term sustainability of activities, pathways or potential impacts beyond the award period
- level of creativity and innovation demonstrated in the proposed activities and outcomes
- suitability and reach of engagement and dissemination activities

1.5.11 Principal Investigator response

The PI Response process will apply for proposals over £30K.

1.5.12 Outcomes

Proposals will be awarded one of the following outcomes:

1.5.12.1 Successful

An application to be funded. If the award offered is different to the amount requested feedback will be provided.

1.5.12.2 Successful (Conditional)

An application that could be funded, if specific conditions are met. The applicant will be asked to respond to the conditions identified in the outcome letter. If the information provided is considered satisfactory, the award will be confirmed. If it is not considered satisfactory, the award offer will be withdrawn and feedback will be provided.

1.5.12.3 Unsuccessful

An application which cannot be funded, either because it does not fully meet the eligibility or the aims of the scheme and it is not considered a priority for funding. The application cannot be resubmitted at a later date.
Section 2: Costs

2 Costs

All proposals to AHRC responsive mode schemes should be costed on the basis of the full economic costs (fEC) of the research and all costs that contribute to the full economic costs of the proposal should be included. Proposals should be costed using TRAC (Transparent Approach to Costing) methodology and should only include the costs required to support the research related to the proposal (that is, costs which fall outside the scope of the grant should not be included). RCUK have produced a FAQ document for more information regarding costings, which can be found on the RCUK website (opens in a new window).

If the proposal is successful, the AHRC will contribute 80 per cent of these costs.

Please note that patent and other IPR costs, such as those relating to licensing agreements and the establishment of spin out companies, are not eligible.

2.1 Open Access

Following the publication of the revised RCUK policy on access to research outputs, and the decision to provide research organisations with block funding for publication costs, the Arts and Humanities Research Council will no longer provide funding in research grants for any publication costs associated with peer-reviewed journal articles and conference papers.

Publication costs associated with research outputs other than journal articles and conference papers, such as books, monographs, critical editions, catalogues etc may, however, continue to be included in grants as a Directly Incurred Other Cost. Any request for such costs will of course need to be fully justified in the Case for Support (See Section 4.2.7.10 below) or Justification of Resources (See Section 4.2.7.6 below) attachments.

2.2 Proposals with an international element

The AHRC will be piloting a policy to allow international researchers to act as Co-Investigators on some of its schemes. This policy will apply to proposals received until 31 December 2014, when it will be reviewed. Detailed information about eligibility, costs and specific proposal guidance can be found within the relevant sections of this guide, as well as below.

If you are applying to a scheme in which international co-investigators are not eligible or if it is not appropriate for you to have an international co-investigator on
your project, you can still involve international elements within your grant application:

- UK investigators and co-investigators can request funding for travel and subsistence to visit and/or research in other countries where this is essential to the conduct of the research proposed.

- Non-UK based academics can be part of certain activities associated with a grant where their input is justified and essential to the delivery of grant objectives, for example through being members of an advisory group. Costs such as travel and subsistence associated with this can be included if fully justified.

- Funds can be paid to a non-UK based researcher or expert on a 'consultancy' basis if their expertise is seen to be vital to the success of the project. This would need special justification in the proposal. For example, applicants would need to consider:
  
  o Is the expertise available within the UK?
  
  o Proportion of the overall costs that the consultancy constitutes (i.e. the majority of the research must still be undertaken by UK based researchers)
  
  o Access to research data and IPR: PIs collaborating with overseas organisations in any capacity are required to have assurances in place before the start of the research project regarding access to research data, outputs, resource material, etc as well as have an understanding of the expectations of the overseas organisation regarding ownership of material

Non-UK based consultancy costs would need to be listed under ‘Directly Incurred Other Costs’ on the proposal form and applicants must demonstrate clear value for money and justification.

All costs incurred by the international co-investigator, including salary costs will need to be listed as ‘Exceptions’ under the Directly Incurred cost heading (see Section 2.3.3 below for more information) and the reason for requesting costs articulated in the Justification of Resources attachment (Section 4.2.7.6 below). We would not normally expect to see salary costs for international co-investigators applied for; however, we would allow it in some circumstances, for example:

- Where a co-investigator is paid term-time only and is expected to supplement their income for the rest of the year

- Where a co-investigator is required to secure external funding in order to conduct research
Section 2: Costs

- Where the co-investigator’s university agrees to free up teaching time for him/her, provided s/he can secure funding for replacement teaching

Infrastructure costs (estates, indirect costs, etc) for the international co-investigator’s organisation are not eligible; however, you may apply for all costs associated with supporting the international co-investigator in conducting the research.

Research Assistants can be employed and supervised by the international co-investigator if this is deemed necessary to the success of the research project; however, justification for why this is necessary should be articulated in the Justification of Resources attachment.

Non UK organisations who are contributing their own resources (in cash or in kind) can be ‘project partners’ on grant proposals. This contribution could include supporting the time of researchers to be involved in the grant. A letter of support from the project partner would need to accompany the proposal. No costs can be requested from AHRC for project partners.

2.3 Cost headings

All costs should fall under one of the following headings:

2.3.1 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:

2.3.1.1 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.

2.3.1.2 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.

2.3.1.3 Equipment

Individual items of equipment that cost more than £10,000 (including VAT) are categorised by the Research Council as ‘Capital Expenditure’ and falls under the “Equipment” fund heading. However, the AHRC cannot support the funding of individual items of equipment costing more than £10,000. Therefore, if your project
Section 2: Costs

requires the use of equipment at this value, this will need to be provided from other sources.

Individual items of equipment up to £10,000 (including VAT) are permissible to be included in the fEC of the proposal and should be included in the 'Directly Incurred – Other’ fund heading.

2.3.1.4 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 £10,000 should also be included under this heading.

2.3.2 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:

2.3.2.1 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.

2.3.2.2 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. International co-investigators are not eligible for Estate Costs.

2.3.2.3 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.

2.3.2.4 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
Section 2: Costs

departmental services. International co-investigators are not eligible for Indirect Costs.

2.3.3 Exceptions
These are Directly Incurred costs that Research Councils will fund in full (that is at 100 per cent), subject to actual expenditure incurred, or items that are outside fEC. Use this heading to add Project Students and costs incurred by the international co-investigator, including salary, where applicable. If you are working with an international co-investigator and want to apply for Project Student costs, note that the student must be registered with a UK HEI (registration in other countries is not permitted).

2.3.4 Indexation
All costings should be at current prices, inclusive of VAT and other taxes where applicable, with no allowance for inflation. The AHRC will calculate inflation if a grant is awarded.

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

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

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

- Estates costs
- Indirect costs
- Investigator salary costs
- Other directly allocated
- Shared lab equipment.
Section 2: Costs

Although Investigators’ precise salary level need not be justified, the balance of staffing - between investigators, research assistants and any eligible project students of different levels of experience and seniority - and the amount of time that Investigators will devote to the project, must be justified fully within the Case for Support. If your proposal includes international co-investigators and you are applying to cover their salary or replacement teaching costs, you must state the reasons why you are applying for those costs as well as the amount of time the co-investigator is committed to the project (although you are not required to justify the level of salary the co-investigator is being paid).

If you wish to include costs associated with dissemination and knowledge exchange activities within your research proposal, you should ensure that the end-date for your project is timed to accommodate these activities. Any such costs must be directly related to the research. Costs may only be claimed for activities undertaken during the period of an AHRC award.

2.3.7 Items expected to be found in a department

Any proposals requesting items that would ordinarily be found in a department, for example non-specialist computers, should include justification both for why they are required for the project and why they cannot be provided from the Research Organisation’s own resources (including funding from indirect costs from grants).

2.3.8 Scheme limits

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

<table>
<thead>
<tr>
<th>Name of Scheme</th>
<th>Minimum scheme limit (fEC)</th>
<th>Maximum scheme limit (fEC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Grants</td>
<td>50,000</td>
<td>1,000,000&lt;sup&gt;1&lt;/sup&gt;</td>
</tr>
<tr>
<td>Research Grants – Early Career</td>
<td>50,000</td>
<td>250,000&lt;sup&gt;1&lt;/sup&gt;</td>
</tr>
<tr>
<td>Research Networking</td>
<td>None</td>
<td>30,000</td>
</tr>
</tbody>
</table>

<sup>1</sup> The scheme maximum includes the cost of any project students requested.
Section 2: Costs

<table>
<thead>
<tr>
<th>Name of Scheme</th>
<th>Minimum scheme limit (fEC)</th>
<th>Maximum scheme limit (fEC)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Networking that includes international participation</td>
<td>None</td>
<td>45,000</td>
</tr>
<tr>
<td>Follow-on Funding for Impact and Engagement</td>
<td>None</td>
<td>100,000</td>
</tr>
</tbody>
</table>

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

If you include an international co-investigator in your proposal, you may request up to 30% fEC of the overall project budget (up to the scheme maximum) to include costs incurred by the co-investigator. Salary costs for the international co-investigator will be eligible in certain circumstances (see Section 2.2 above for more information). These costs will be paid at 100% fEC directly to the PI’s institution and it is the institution’s responsibility to transfer these costs to the international organisation.

Within any particular scheme, with the exception of FoF (See Assessment and Peer Review for the FoF Scheme Section 1.6.10 above, there is no differentiation in the assessment procedures between shorter projects and those of longer duration. Thorough consideration is always given to lower value bids. You should be aware that value for money is an important criterion in the assessment of applications and that, as the level of funding sought increases, so too does the challenge of meeting this criterion. Reviewers will particularly scrutinise the balance of staffing and the amount of time devoted by Investigators to the project.
3 Eligibility

3.1 Institutional
All UK Higher Education Institutions that receive grant funding from one of the UK higher education funding bodies are eligible to receive funds for research, postgraduate training and associated activities.

These bodies consist of Higher Education Funding Council for England (HEFCE), Higher Education Funding Council for Wales (HEFCW), Scottish Funding Council (SFC) and Department for Employment and Learning Northern Ireland (DEL).

Research institutes for which the Research Councils have established a long-term involvement as major funder are also eligible to receive research funding, from any Council. A list of these institutes can be found on the RCUK website (opens in a new window).

Other independent research organisations (IROs) may also be eligible if they possess an existing in-house capacity to carry out research that materially extends and enhances the national research base and are able to demonstrate an independent capability to undertake and lead research programmes. They must also satisfy other criteria related to their financial and legal status: these are set out in full in the Research Councils' joint statement on eligibility. The statement itself can be found on the RCUK website (opens in a new window).

The current list of eligible IROs can be found on the RCUK website (opens in a new window).

3.2 Principal Investigator
The Principal Investigator takes responsibility for the intellectual leadership of the research project and for the overall management of the research or other activities. S/he will be the person to whom we shall address all correspondence and must be based at the organisation at which the grant will be held.

3.2.1 Academic standing
To be eligible, you must be actively engaged in postdoctoral research and be of postdoctoral standing. This means that you either have a doctorate or can demonstrate in the application that you have equivalent research experience and/or training.
Section 3: Eligibility

You must have a level of skills, knowledge and experience appropriate to the nature of the proposed project.

3.2.2 Contractual eligibility for investigators

3.2.2.1 Contractual arrangement - nature

You must either:

a) be employed by the Research Organisation submitting the proposal;

Or

b) if not employed by the submitting organisation\(^2\), have an existing written formal arrangement with the organisation confirming that the research will be conducted as if you were an employee, that is, enables you to carry out research there and receive from the organisation all necessary management and infrastructural support and that commits the organisation to take full responsibility for the research and its proper governance;

Or

c) be scheduled to move to the submitting organisation before the proposed start date of the grant, whether or not the proposal is successful, in such a way that would ensure that criterion a) or b) is met by the time the grant starts\(^3\).

Please note that you must provide evidence of the contractual arrangement with the host Research Organisation, and the host Research Organisation must support and endorse your application. The contractual arrangement must outline the nature of your relationship with the Research Organisation, state the contact that you are expected to maintain with its staff and students, and you must be able to demonstrate that your research proposal is consistent with its research culture and strategies.

3.2.2.2 Contractual arrangement – duration

The Research Organisation must confirm that you have:

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\(^2\) That is, employed elsewhere and seconded to the submitting organisation; or not employed at all (for example, retired investigators, honorary or visiting fellow (see section on additional individual eligibility criteria))

\(^3\) In this case, the affiliation shown for the investigator should be the organisation that would hold the grant.
Section 3: Eligibility

a) an existing contract of employment that extends to beyond the duration of the proposed grant (or, if not employed by the submitting organisation, a formal arrangement as described in Section 3.2.2.1 (b));

Or

b) an assurance from the submitting organisation that, if the proposal is successful, the existing contract of employment, or formal commitment to provide support if not employed at the organisation, will extend to beyond the end date of the grant.

For Co-investigators, where there is mention of "submitting organisation", this should be replaced by "an eligible organisation".

### 3.2.3 Individual eligibility criteria

- The Principal Investigator must be resident in the UK

- It is not permissible for someone to be both a Principal Investigator or Co-Investigator and a research assistant on the same project.

- 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 if you meet the requirement outlined in 3.2.2.1 (b)). It is possible for the RO to propose that any contract put in place if the proposal was successful would be stipendiary even if the current arrangement is not.

### 3.2.4 Co-Investigators

#### 3.2.4.1 The role of Co-Investigator

A Co-Investigator assists the Principal Investigator in the management and leadership of the research project. The Co-Investigator can also undertake research activity themselves; there is no limit to the amount of time that the Co-Investigator can contribute although it needs to allow time for the management and leadership duties on the project. The AHRC assumes that there will normally be no more than two Co-Investigators in addition to the Principal for Research Grants and Follow-on Funding.

#### 3.2.4.2 Eligibility of Co-Investigator

The same eligibility criteria apply to Co-Investigators as Principal Investigators except that, in addition to the organisations listed as eligible to submit proposals, the AHRC permits a Co-Investigator to be employed by any IRO that is recognised by any Research Council (opens in a new window).
Section 3: Eligibility

### 3.2.4.3 International Co-Investigators

The AHRC will be piloting a policy to allow international researchers to act as Co-Investigators on some of its schemes. Subject to eligibility requirements of the researcher being met, this policy will apply to proposals received until 31 December 2014, when it will be reviewed.

In order to be considered eligible, an international co-investigator needs to have suitable academic experience (ie, someone holding a PhD or equivalent qualification or experience) and be based at an established research organisation with significant research capacity. This organisation should be of comparable status and standing to a UK organisation which is eligible for UK Research Council funding, for example, a publicly funded university or a ‘not-for-profit’ research institution with a track record and distinctive research capacity and capability and distinctive research capacity in areas relevant to the proposed research.

International research organisations must have the necessary research capacity and capability to support the conduct of the specified research. It is the PI’s responsibility to articulate in the proposal the added value that an international co-investigator will bring to the overall leadership of the research and their role in the management of the project, as well as the relevant research experience and expertise that they will bring to the project team. It is the responsibility of the UK RO to check that the international co-investigator’s organisation is an appropriate organisation to receive and has systems in place to manage the funding provided. The RO will also need assurance that appropriate agreements are put in place for the delivery of the overseas activities funded under the grant. The AHRC will not be able to provide any additional assurance to ROs about overseas partners, but may by exception undertake additional checks or seek further information from ROs.

International co-investigators will not be permitted to take over as lead researcher (ie Principle Investigator) should the UK principle investigator step down for any reason.

### 3.2.5 Eligibility of Research Council institute staff

A list of eligible Research Council Institutes can be found on RCUK website (opens in a new window).

Research Council Institute staff need to ensure that they meet the relevant criteria for each particular scheme in relation to their academic experience and to the nature of their contract.
Section 3: Eligibility

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.

3.2.6 Research assistants

Research Assistants 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).

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, 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.

It is expected that the RA will be based at the same institution as an investigator on the research project.

3.2.7 Early career

At the point of application you are either

- within eight years4 of the award of your PhD or equivalent professional training or
- within six years5 of your first academic appointment

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

3.2.8 Project Partners and Collaborating Organisations

In Research Council proposals, the term ‘Project Partner’ has a specific meaning and cannot be used for all organisations with whom you are collaborating.

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4 These durations should exclude any period of career break, eg for family care or health reasons.
5 By ‘first academic appointment’, this is a paid contract of employment, either full-time or part-time, which lists research and/or teaching as the primary function.
Section 3: Eligibility

An organisation can only be identified as a ‘Project Partner’ if it is providing a specific contribution (cash or in-kind) without charge to the research project. Resources to be provided by project partners, whether cash or in-kind contributions, should be clearly identified in the ‘Project Partner’ section of the proposal. These contributions are not considered to be part of the fEC of the project.

If you include an organisation as a ‘Project Partner’, you must also include a Letter of Support from that organisation.

If all the cost of collaborating organisation’s involvement is being charged to the project as part of the fEC, then this organisation is not a ‘Project Partner’ and their role as a collaborating organisation should be outlined in the Case for Support.

If some of the cost of collaborating organisation’s involvement is being charged to the project but other parts are being provided without charge, or at a heavily discounted rate then the organisation can be listed as a Project Partner. In this case, the application should make it very clear which costs are being charged and which are being provided.

Please note that project partners can be based in the UK or abroad.

3.2.9 Research projects

AHRC awards are not intended to enable researchers who have recently completed their PhD to write up their doctoral thesis for publication or other dissemination. Rather, they are designed to support you to take forward new avenues of research which you have developed since completion of your doctorate or to pursue new research directions which have evolved from your doctoral research.

Where applicable you will be expected to lead to substantive new research outputs and to explain in your proposal how your proposal differs, or takes a new direction from, your original doctoral research in the Case for Support.
4 Application guidance

4.1 Deadlines
The schemes listed in this guide operate without formal deadlines and you are able to submit proposals at any time of the year. Unless otherwise stated, the assessment process for a proposal will take approximately 30 weeks. The start date entered on the proposal should be no earlier than 9 months after submission and should be no later than 18 months after submission. You should note that, on occasions, where there is a delay in obtaining the peer reviews for a proposal then the assessment process may take longer. In such circumstances the AHRC will contact you regarding any delay.

4.2 Completing the proposal

4.2.1 Joint Electronic Submission System (JeS)
All proposals must be completed and submitted via the Research Councils’ Joint Electronic Submission System (JeS) (opens in a new window). To submit proposals using JeS, both individual applicants and the submitting Research Organisation (the one that will hold the award) must be registered on the system.

Please ensure that the correct contact details are in your JeS record, as we will use this to notify you of the outcome of your application.

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

4.2.2 Creating a proposal
To prepare a proposal form in JeS, log into your account and choose ‘New Document’, then select AHRC as the Council, choose your Document Type and Scheme to which you are applying and ‘Create Document’. JeS will then create a proposal form, displaying section headings appropriate to the Scheme you have chosen. Using the ‘Help’ link at the top of each page will provide guidance relevant to that section of the JeS form.

Once complete, you should upload a Case for Support and other supporting information as attachments, and submit your proposal. JeS will forward your proposal.
Section 4: Application Guidance

to your Research Organisation, who in turn will submit your proposal to AHRC. Please therefore, ensure you allow sufficient time prior to AHRC deadlines for your Research Organisation to be able to do this (note that some Research Organisations will have their own internal deadlines). The published scheme deadline is for submission of the completed application to the AHRC by the Research Organisation.

Late proposals will not be accepted.

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

4.2.3 Subjects
For all schemes you are asked to classify your proposal in terms of subject area and keywords. This information will be used to assist in selecting Peer Review College reviewers and identify the panel to which your application will be submitted. Further details can be found in AHRC subject remit and proposal classification, Section 7.3.1 below.

You are advised to keep in mind that while your proposal will be considered by panellists who have a broad knowledge and understanding of the subject areas and disciplines with which their panel is concerned, they might not necessarily have detailed knowledge of your particular specialism. Specialist advice is made available to the peer review panel via the reviews provided by Peer Review College members (See Assessment Criteria and Peer Review, Section 5 below).

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

4.2.4 Academic beneficiaries
The Academic Beneficiaries section 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.
Section 4: Application Guidance

4.2.5 Impact summary
The Impact Summary asks you to address two questions: who might benefit from the research and how might 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.

4.2.6 Non Academic partners
If appropriate, the project may be delivered in collaboration with one or more non-academic partner organisations. Both UK and International organisations are eligible and must be existing organisations, although there is no minimum period stipulated for which they must have been operating. When collaborating with international partners you must demonstrate that the UK research is at the international leading edge.

4.2.7 Attachments
The following table explains which attachments are required for which scheme.
## Section 4: Application Guidance

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4.2.7.1 Naming Conventions

It is recommended that you use naming conventions for all attachments, as this will make it easier for peer reviewers and staff to identify documents. The recommended standard is listed below under each attachment type.

4.2.7.2 Curriculum Vitae

A summary curriculum vitae should be attached as separate documents for each Principal Investigator and any Co-Investigators, named postdoctoral researchers or named project students. These should be no more than two sides of A4 and in an Arial font no smaller than size 11. CVs should include basic information about education, employment history, and academic responsibilities.

Naming convention: Surname_Initials_CV

4.2.7.3 Publication lists

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

Brief articles, conference papers, etc. need not be included. You should asterisk those of particular relevance to your current research proposal.

Naming convention: Surname_Initials_Pubs

4.2.7.4 Visual evidence

Applications may include no more than two sides of A4 non-textual, visual evidence in support of the proposal, to illustrate the proposed aims and objectives and/or research methods. It is not permitted to include this material to supplement or replace your CV or publications list or to illustrate previous work in any way nor should it be used to circumvent the page limit for the case for support.

Naming convention: [PI Surname]_VisEv

4.2.7.5 Technical Plan

Naming Convention: [PI Surname]_TechPl

Before reading this section, please see the Case for Support guidance, Section 4.2.7.10 f below regarding a Technical Summary.
Section 4: Application Guidance

A Technical Plan should be no more than four pages long and provided for all applications where digital outputs or digital technologies are an essential part to the planned research outcomes. A digital output or digital technology is defined as an activity which involves the creation, gathering, collecting and/or processing of digital information. For present purposes digital technologies do not include conventional software such as word processing packages and ICT activities such as email.

Please read this guidance carefully and consider its definitions within the context of your own research proposal.

The purpose of the Technical Plan is to demonstrate to the AHRC that technical provisions within a research proposal have been adequately addressed in terms of:

(a) Delivering the planned digital output or the digital technology from a practical and methodological perspective;

(b) Doing so in a way which satisfies the AHRC’s requirements for preservation and sustainability. The AHRC has a responsibility to ensure that the research which it funds is achievable and high-quality, and that the outputs of the research will wherever appropriate be accessible to the community over the longer term.

If your project involves the development of a digital output or digital technology as an essential part of the planned research outcomes, but which cannot or need not be preserved beyond the period of funding, you must still complete a Technical Plan, explaining the reasons for not preserving the object(s) in question. In general, as a matter of good practice, the AHRC expects the digital outputs or technologies produced by projects to be preserved for an appropriate period after the end of project funding (noting the different definitions of preservation and sustainability in this context).

You do not need to complete a Technical Plan if your only proposed digital output or technology consists of web-pages containing information about the project (as opposed to data produced by the project).

The Technical Plan must be written as a single document and has a limit of four pages. The level of detail provided should be proportionate to the envisaged value and importance of the proposed digital output or technology and to the cost of developing it.

The Technical Plan must use the following headings:
Section 4: Application Guidance

Section 1: Summary of Digital Outputs and Digital Technologies

Section 2: Technical Methodology

2a: Standards and Formats

2b: Hardware and Software

2c: Data Acquisition, Processing, Analysis and Use

Section 3: Technical Support and Relevant Experience

Section 4: Preservation, Sustainability and Use

4a: Preserving Your Data

4b: Ensuring Continued Access and Use of Your Digital Outputs

Each of these headings is described below.

The Technical Plan must be closely integrated with the rest of the proposal, especially with the Case for Support and the Impact Plan. The section on project management in the Case for Support must take into consideration the technical aspects of the project if a Technical Plan is required, and should provide an assessment of risk. Copyright, intellectual property and ethical issues relating to digital outputs and technologies should also be dealt with in the Case for Support. Note that details of the process and timetabling of technical development should be provided under Section 2.c of the Technical Plan.

The Technical Plan will be reviewed in the context of the proposal as a whole.

a. Technical Plan, Section 1. Summary of Digital Outputs and Digital Technologies

You should provide a brief and clear description of the digital output or digital technology being proposed, considering the following aspects: purpose, source data, content, functionality, use and its relationship to the research questions. You should identify the type of access envisaged, if applicable, such as ‘freely available online’.

The summary should provide clear overview of what you intend to achieve technically, to enable reviewers to assess whether the plans for achieving this are appropriate. You should provide a level of detail which is appropriate to the digital output or digital technology being proposed and its cost and status within the project.
Section 4: Application Guidance

b. Technical Plan, Section 2.a. Technical Methodology: Standards and Formats
You should provide information about your choice of data and file formats. You must provide any relevant vital statistics relating to the data, such as size, quantity and duration. Although such statistics might need to rely on estimation, you should provide the reasoning behind your calculations. You should give your reasons for using the standards or formats chosen.

c. Technical Plan, Section 2.b. Technical Methodology: Hardware and Software
You should provide information about and the rationale for any hardware or software which will be used to support the project’s research methodology, which is additional or exceptional to conventional desk-based research and institutional provision. They should be included in the Justification of Resources and cross-referenced if there is an associated budget line. Where necessary you should produce additional justification of the use of such items.

You must write ‘Not applicable’ if this section is not relevant to the type of digital output or digital technology proposed.

d. Technical Plan, Section 2.c. Technical Methodology: Data Acquisition, Processing, Analysis and Use
You should provide information about the process of technical development, showing how the standards and formats described in section 2.a and the hardware and software described in section 2.b relate to each other. You must show that you have considered how you will achieve your digital output or digital technology in practice, including issues of timetabling.

You should consider the technical development process from the point of data capture or data creation through to final delivery (in the case of a digital output) or analysis (in the case of a digital process). You should consider issues such as backup, monitoring, quality control and internal documentation where relevant, identifying procedures which are appropriate to the research environment. For example Technical Reviewers acknowledge that the backup procedures which are possible during fieldwork might be very different to those which are possible within an office environment.

This section needs to relate to the timetable and milestones given in the Case for Support as well as the project’s overall research methodology. The Technical
Reviewer will be assessing the alignment of the technical development process with other project activities for logic and timeliness.

e. Technical Plan, Section 3. Technical Support and Relevant Experience

You should provide information about the relevant expertise, including examples, of all individuals, facilities, organisations or services that will be responsible for the technical components of your project.

You should identify which aspects of the technical work will be undertaken by these project participants, identifying key individuals where possible. It should be clear to a reviewer that you have access to the appropriate skills and expertise that will deliver a successful project.

In your assessment of risk, under 'Project Management' in the Case for Support, you should consider the risks to the project if a key individual becomes unavailable, including the contingency plan for acquiring these skills from elsewhere.

You are encouraged, wherever appropriate, to seek partners from outside your institution to cover the technical elements of the project, and/or to seek relevant external advice. The key consideration is that your project should be informed by the right level of technical expertise in conception, development and execution. You should provide information about any external advice which you have sought.

You must identify the need for any additional training or expertise and give information as to how this will be provided.

In order to reduce risk to project development and sustainability, and unless there are good reasons not to do so, it is generally wise to ensure that the technical expertise employed by your project is supported by expertise in your institution or one that is a partner to the project. You should show how far this is the case.

The expertise and experience of the participants responsible for the project’s technical components - whether internal or external to your institution - must be evident from the quality of the Technical Plan as a whole. Applicants who claim to be able to draw upon considerable expertise, but are unable to show that they have worked closely with the relevant project participants in completing the Technical Plan, will not be viewed favourably by Technical Reviewers. Similarly, it is unacceptable to state that these participants will address technical issues during the course of the project and then fail to provide sufficient technical detail in the Technical Plan.
Section 4: Application Guidance

f. Technical Plan, Section 4: Preservation, Sustainability and Use

This section contains two separate sub-sections, on preservation and sustainability. The AHRC’s definitions of these terms are distinct and not interchangeable.

**Preservation** means the storage of a project’s digital outputs for a period beyond the end of funding.

**Sustainability** refers to your plans for ensuring that digital outputs remain publicly accessible and usable for a period beyond the end of funding. In the case of on-line resources this means keeping the full on-line system working.

Preservation of outputs means that they are potentially re-usable, but not necessarily immediately accessible or easy to use. For present purposes digital outputs include all primary research data (derived or ‘born digital’), programming code and related documentation produced by the project and essential to the project’s research outcomes.

You should clearly indicate in this section which digital outputs of your project will be preserved and which sustained and for what length of time. It is essential to appreciate that there is a cost for preservation and an even greater one for sustainability that will go on beyond the lifetime of the grant. You should note that AHRC awards cannot cover any direct costs relating to the expenditure occurring after the end date of the grant, though they can cover appropriate costs of preparation and ingest of digital outputs that are incurred within the funding period. It is important therefore to consider and outline how the costs incurred after the end of the grant will be funded.

If your project will produce digital outputs that you do not consider worth preserving or sustaining, you should explain and justify this in this section. As a matter of good practice, however, projects are normally expected at least to preserve digital outputs essential to their research outcomes, with a view to supporting these outcomes if necessary, and to the potential value of the outputs for other researchers.

The AHRC requires a minimum of three years after the end of project funding for both preservation and sustainability, but in many, if not most cases a longer period will be appropriate. This should be decided on the basis of the significance of the outputs in the context of your project, their potential value to the larger research community, and the cost of developing them within the project award. Reviewers will need to be assured that the proposed period of preservation or sustainability represents value for money.
Section 4: Application Guidance

The AHRC normally expects digital outputs that are preserved and/or sustained to be freely available to the research community. Where sustainability plans are made, you must provide justification if you do not envisage open public access for data and open-source status for software that you create or develop; you may make a case for charging for or otherwise limiting access and it will be considered on its merits, but the default expectation is that access will be open. Where digital outputs are preserved but not sustained, the expectation is that they should be freely available on request, but again a case may be put forward to the contrary and will be considered on its merits.

Finally, when completing this section you should consider the opportunities for re-use of your outputs, if appropriate, by other resources and web services with a view to increasing their overall impact within the academic and non-academic communities. Examples of opportunities for re-use might include linked datasets for integrated searching across multiple research resources or ingestion into systems and services which are able to add further value and reach new audiences.

\[\text{g. } \text{Technical Plan, Section 4.a. Preserving Your Data}\]

Preservation of digital outputs is necessary in order for them to endure changes in the technological environment and remain potentially re-usable in the future. In this section you must state what, if any, digital outputs of your project you intend to preserve beyond the period of funding.

The length and cost of preservation should be proportionate to the value and significance of the digital outputs. If you believe that none of these should be preserved this must be justified, and if the case is a good one the application will not be prejudiced.

You must consider preservation in four ways: what, where, how and for how long. You must also consider any institutional support needed in order to carry out these plans, whether from an individual, facility, organisation or service.

You should think about the possibilities for re-use of your data in other contexts and by other users, and connect this as appropriate with your plans for dissemination and Pathways to Impact. Where there is potential for re-usability, you should use standards and formats that facilitate this.

The Technical Reviewer will be looking for evidence that you understand the reasons for the choice of technical standards and formats described in Section 2.a Technical Methodology: Standards and Formats.
Section 4: Application Guidance

You should describe the types of documentation which will accompany the data. Documentation in this sense means technical documentation as well as user documentation. It includes, for instance, technical description, code commenting, project-build guidelines, the documentation of technical decisions and resource metadata which is additional to the standards which you have described in Section 2.a. Not all types of documentation will be relevant to a project and the quantity of documentation proposed should be proportionate to the envisaged value of the data.

h. Technical Plan, Section 4.b: Ensuring Continued Accessibility and Use of Your Digital Outputs

In this section you must provide information about any plans for ensuring that digital outputs remain sustainable in the sense of immediately accessible and usable beyond the period of funding. There are costs to ensuring sustainability in this sense over and above the costs of preservation. The project’s sustainability plan should therefore be proportionate to the envisaged longer-term value of the data for the research community and should be closely related to your plans for dissemination and Pathways to Impact.

If you believe that digital outputs should not be sustained beyond the period of funding then this should be justified. It is not mandatory to sustain all digital outputs. While you should consider the long-term value of the digital outputs to the research community, where they are purely ancillary to a project’s research outputs there may not be a case for sustaining them (though there would usually be a case for preservation).

You must consider the sustainability of your digital outputs in five ways: what, where, how, for how long, and how the cost will be covered. You must make appropriate provision for user consultation and user testing in this connection, and plan the development of suitable user documentation.

You should provide justification if you do not envisage open, public access. A case can be made for charging for or otherwise limiting access, but the default expectation is that access will be open. The Technical Reviewer will be looking for realistic commitments to sustaining public access in line with affordability and the longer-term value of the digital output.

You must consider any institutional support needed in order to carry out these plans, if not covered under Institutional Eligibility, Section 3.1 above, as well as the cost of keeping the digital output publicly available in the future, including issues relating to maintenance, infrastructure and upgrade (such as the need to modify aspects of a
web interface or software application in order to account for changes in the technological environment). In order to minimise sustainability costs, it is generally useful that the expertise involved in the development of your project is supported by expertise in your own or a partner institution.

A sustainability plan does not necessarily mean a requirement to generate income or prevent resources from being freely available. Rather it is a requirement to consider the direct costs and expertise of maintaining digital outputs for continued access. Some applicants might be able to demonstrate that there will be no significant sustainability problems with their digital output; in some cases the university’s computing services or library might provide a firm commitment to sustaining the resource for a specified period; others might see the benefit of Open Source community development models. You should provide reassurances of sustainability which are proportionate to the envisaged longer-term value of the digital outputs for the research community.

When completing this section, you should consider the potential impact of the data on research in your field (if research in the discipline will be improved through the creation of the digital output, how will it be affected if the resource then disappears?), and make the necessary connections with your Impact Plan. You must factor in the effects of any IP, copyright and ethical issues during the period in which the digital output will be publicly accessible, connecting what you say with the relevant part of your Case for Support.

You must identify whether or not you envisage the academic content (as distinct from the technology) of the digital output being extended or updated beyond the period of funding, addressing the following issues: how this will be done, by who and at what cost. You will need to show how the cost of this will be sustained after the period of funding ends.

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

You should also note the AHRC’s requirement, as a condition of award, relating to the availability of significant electronic resources. Please refer to the Research Councils’ Terms and Conditions of awards for further details (see RCUK Terms and Conditions, Section 8 below).
Section 4: Application Guidance

4.2.7.6 Justification for resources

This statement should be used to justify the resources required to undertake the research project.

You should:

- explain why the indicated resources are needed, taking account of the nature and complexity of the research proposed. Note that it is not sufficient merely to list what is required

- have regard for the breakdown of resources into the summary fund headings Directly Incurred, Directly Allocated and (where appropriate) Exceptions

- where costs incurred by international co-investigators are sought, a breakdown of these costs should be fully justified under a subheading of ‘International Co-Investigator Exceptions’

- in some cases, such as investigator time, use of internal facilities and shared staff costs (all likely to be Directly Allocated costs), the basis of the costing need not be justified, but the need for the resources does need justification

- try to be explicit about the need for the level of investigator time sought, bearing in mind the complexity of the research, the need to manage the project and supervise staff and any wider considerations such as collaboration, research communication or facilities usage

- not justify estates and indirect costs

- include a justification for both why items expected to be found in a department (if sought) are required for the project and why they cannot be provided from the RO’s own resources (including funding from Indirect costs).

In drafting the Justification of Resources, you should ensure you identify which headings in the Summary of Resources the costs relate to, in order to make cross-referencing more transparent.

The attachment should be up to 2 sides of A4 in Arial font no smaller than size 11.

Naming convention: [PI Surname]_JoR

4.2.7.7 Pathways to impact
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The Pathways to Impact attachment 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 activities 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 attachment should be up to 2 sides of A4 in Arial font no smaller than size 11.

_Naming convention: [PI Surname]_Pathways_

### 4.2.7.8 International Co-Investigator Head of Department Statement

If your proposal includes an international co-investigator, their institution must submit a Head of Department Statement. This statement must include the following information:

- What the international co-investigator is bringing to the project and why they are best placed to conduct the research
- How they will deliver the project’s objectives
- How their institution will support them during the lifetime of the project
- Assurances that their contract will be in place for the duration of the project

_Naming convention: [PI Surname]_CoI_HoD_

### 4.2.7.9 Letter(s) of Support
Section 4: Application Guidance

The letter of support is intended provide reassurance to the AHRC and to its reviewers that the appropriate authorisation has been given to the proposed contribution or commitment from a collaborating organisation.

A Letter of Support from the project partner 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. A letter of support is required from each Project Partner.

A Letter of Support should normally only come from a project partner but can be included for other collaborating organisations. However, this should only be where that organisation will play a significant role in the project and where their involvement is critical to the completion of the project. Letters of support that merely indicate that an organisation is interested in the research are not permitted and your proposal will be returned for amendment if attached.

For AHRC-FAPESP MoU Research Grants the UK applicant will need to attach a Letter of Support from the Brazilian Institution agreeing to the Brazilian Partner’s involvement. The document should be attached to the application using the attachment type: Project Partner Letter of Support.

The letter should be signed, dated and on headed paper.

Naming convention: [PI Surname]_LoS

4.2.7.10 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.

Naming convention: [PI Surname]_CfS

If you choose to include footnotes or a bibliography (you are not required to do so) these must be included within the page limit. Page limits for each scheme are listed in the table below:
Section 4: Application Guidance

<table>
<thead>
<tr>
<th>Research Grants (standard and early career route)(^6)</th>
<th>7 pages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Networking</td>
<td>4 pages</td>
</tr>
<tr>
<td>Follow-on Funding for Impact and Engagement</td>
<td>7 pages</td>
</tr>
</tbody>
</table>

Your Case for Support should be in a standard 'Arial' or 'Times New Roman' font and size 11 or higher. Scheme-specific guidance on what should be included in the Case for Support is contained in *Funding Opportunities*, Section 1 above.

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

While you should aim to make the Case for Support as concise, specific and clear as possible, the work to be undertaken should nonetheless be fully explained, as failure to provide adequate detail on any aspects may seriously prejudice your application.

In short, you are advised to focus your application and to provide sufficient evidence to enable members of the Peer Review College and panellists to reach a considered judgement as to the quality of your proposal, its significance, its feasibility and value for money.

You should describe your proposed project/programme of research using the required headings for your scheme (see table below).

If your application is a resubmission, you should ensure that any changes you make are integrated into the revised Case for Support, so that it can be reviewed on its own merits either by a reviewer who considered the previous proposal or by a reviewer looking at the proposal for the first time.

\(^6\) The Statement of Eligibility for the early career route does not count as part of the page limit and should be written on a separate page.
These headings do not apply to the **Research Networking or Follow-on Funding for Impact and Engagement schemes**. Guidance for these schemes appears in the Scheme Specific Guidance in Section One.

<table>
<thead>
<tr>
<th>Heading</th>
<th>Research Grants</th>
<th>Research Grants Early Career</th>
</tr>
</thead>
<tbody>
<tr>
<td>Highlight notice (if applicable)⁷</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Research questions or problems</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Research context</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Research methods</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Leadership development plans</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Technical Summary</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Project management</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Dissemination</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>Statement of eligibility</td>
<td></td>
<td>X</td>
</tr>
</tbody>
</table>

**Case for Support - Headings to be used**

a. **Highlight notice (if applicable)**

If you are applying for funding under a highlight notice, please specify which one you are addressing and how you envisage your research contributing towards it. Full

---

⁷ Highlight notices only apply to schemes listed here (opens in a new window).
Section 4: Application Guidance

details should also be given regarding who will be involved in the project, including any collaborative partners.

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

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

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

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

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

Under the Research Methods heading you should also outline how any copyright or intellectual property issues relating to the project and the production of any technical outputs will be addressed.
Section 4: Application Guidance

e. Technical Summary

All proposals must complete this section.

If digital outputs or digital technologies are essential to the planned research outcomes of your proposal, then you should:

a) use this section to provide a brief description of the project’s proposed digital outputs and/or digital technologies.

AND

b) complete a Technical Plan and add this as an attachment to your proposal (for more information see Technical Plan, Section 4.2.7.5 above)

If your application does involve digital outputs or digital technologies, but you believe that the inclusion of a Technical Plan is not warranted, you should use this section to explain and justify this, for instance on the grounds that the digital output or technologies are not essential to the planned research outcomes. If your only proposed digital output or technology consists in web-pages containing information about the project, you should say so in this section. In this last case you do not need to complete a Technical Plan.

If your application does not involve digital outputs or digital technologies you should use this section to state that this is the case. You should note that for present purposes digital technologies do not include conventional software such as word processing packages and ICT activities such as email, which do not require any explanation or justification in this context.

f. 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)? What is the timetable for the project? Does it include appropriate milestones and is it realistic? When will the outputs of the project be completed? How will you ensure that they meet the needs of your audience? Can the costs be justified? How will you ensure good value for money?

The project management section should also include the management of the technical aspects of the projects, if applicable, and should be coordinated with the information in the Technical Plan (Section 4.2.7.5 above). It should be clear what the milestones for the completion of this element and the work should be incorporated
Section 4: Application Guidance

into the timetable for the whole project. The project management of the technical aspects of the project should include an assessment of risk in relation to the complexity and delivery of the project.

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. If the researcher is unknown 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.

The AHRC is one of the signatories of the RCUK Concordat to Support the Career Development of Researchers. More information about the Concordat and what it entails can be found here on the RCUK website (opens in a new window).

g. Dissemination

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

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

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

4.2.8 Applying for other funding

You can apply for further funds for a related or continuation project at a later stage, provided that you have submitted (a) satisfactory report(s) (where applicable) and output details in relation to the previous award through the Research Outcomes System. The AHRC will not, however, provide further funding to enable you to complete work that you were unable to deliver in a previously funded project.

You can also apply for funding through other AHRC schemes. You should bear in mind that all such proposals will be assessed in open competition, with no guarantee of funding, and the reviewers will give careful consideration to your ability to complete the project given your existing commitments.
Section 4: Application Guidance

All proposals 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. Proposals therefore ask you to provide information about any funding for the same work, or for work related to the proposal, that you are receiving or for which you have applied. You must keep the AHRC informed of the progress of any such proposals. Failure to do so could have an adverse effect on your application. If you are successful in securing funding from any other bodies, you may need to choose which source of funding you wish to pursue.

4.2.9 Submitting more than one application to the same scheme (with the exception of Leadership Fellows scheme)

The AHRC considers that you should be responsible for determining your own research priorities, and you should normally only submit one proposal at any one time to the same scheme. 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.

4.2.10 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.

4.2.11 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 personal data.

4.2.12 Proposal deadlines

All responsive mode schemes operate without deadlines. The time needed to assess a proposal can vary depending on the scheme, please see scheme specific information in Funding Opportunities, Section 1 above.
Section 4: Application Guidance

Awards cannot be made for work that has already been done. Your proposed start date should allow enough time to make the necessary preparations and to recruit staff (if applicable) once you have been notified of the award.
Section 5: Assessment Criteria and Peer Review

5 Assessment Criteria and Peer Review

Unless otherwise stated in the scheme specific guidance in Funding Opportunities Section 1 above, the following criteria will be taken into account by the peer reviewers in assessing your proposal.

5.1 Quality and importance

- the extent to which the proposal meets the specific aims of the scheme to which you are applying

- the significance and importance of the project, and of the contribution it will make, if successful, to enhancing or developing creativity, insights, knowledge or understanding of the area to be studied in a national or international context

- the extent to which the research questions, issues or problems that will be addressed in the course of the research are defined and their importance and appropriateness specified

- The appropriateness of the research context and specification of why it is important that these particular questions, issues or problems are addressed. The extent to which other current research conducted in this area has been considered, and the range of audiences that might be targeted

- the appropriateness, effectiveness and feasibility of the proposed research methods and/or approach.

5.2 People

- the quality and importance of your work to date

- your ability to monitor the project and bring it to completion as demonstrated in the application

- the appropriateness of the level and balance (in terms of time and seniority) of the proposed staffing on the project, and the extent to which opportunities will be made available for less experienced researchers

- whether the other named participants have the appropriate experience and expertise to deliver the project
Section 5: Assessment Criteria and Peer Review

5.3 Management of the project
- whether the lines of responsibility and accountability are clearly articulated.
- whether a realistic timetable, incorporating milestones, is presented which will achieve the project’s aims and objectives within the proposed timescale.
- the extent to which you have understood the amount of work to be involved, allocated sufficient time and resources to achieving each aspect.

5.4 Value for money
- the extent to which the likely outcome of the research will represent value for money, and in particular the relationship between the funds that are sought and the significance and quality of the projected outcomes of the research.
- whether the resources requested are reasonable in the context of the proposed research.

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

You 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.
Section 5: Assessment Criteria and Peer Review

Although nothing debars an AHRC-supported project from aiming to charge for access to its results whether in electronic or other format peer reviewers 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.

5.6 Assessment process

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

At the point of submission, each proposal will be assessed on the following criteria:

- 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.
- All application documents must be eligible under the scheme requirements.

Proposals which do not meet these criteria will be rejected with feedback on why it could not proceed.

5.7 The Peer Review College

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

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

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

5.7.1 Confidentiality

The Research Councils operate an open peer review process, while at the same time preserving reviewer anonymity. Reviewers are required to treat proposals in confidence and keep any personally retained documentation (paper or electronic) secure. Reviewers should review all materials in accordance with instructions given in...
Section 5: Assessment Criteria and Peer Review

the JeS Helptext and should refer any questions relating to reviewing the application to the Council, and must not contact applicants. Applicants may be given the opportunity to respond to any completed reviews, the applicants’ research organisation will also be given access to the anonymised review to support transparency of decision making. The Councils expect all parties to respect the roles of all involved in the peer review process.

5.8 Peer Reviewer grading scale

Unless otherwise indicated grades awarded to proposals and their definitions are contained in the tables below:

<table>
<thead>
<tr>
<th>Grade</th>
<th>Descriptor</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>An outstanding proposal that is world-leading in all of the following: scholarship, originality, quality, and significance. It fully meets all the assessment criteria for the scheme and excels in many or all of these. It provides full and consistent evidence and justification for the proposal and management arrangements are clear and convincing. It should be funded as a matter of the very highest priority.</td>
</tr>
<tr>
<td>5</td>
<td>A proposal that is internationally excellent in all of the following: scholarship, originality quality and significance. It fully meets or surpasses all the assessment criteria for the scheme. It provides full and consistent evidence and justification for the proposal and management arrangements are clear and convincing. It should be funded as a matter of priority, but does not merit the very highest priority rating.</td>
</tr>
<tr>
<td>4</td>
<td>A very good proposal demonstrating high international standards of scholarship, originality, quality and significance. It meets all the assessment criteria for the scheme. It provides good evidence and justification for the proposal and management arrangements are clear and sound. It is worthy of consideration for funding.</td>
</tr>
</tbody>
</table>
## Grade 3
A satisfactory proposal in terms of the overall standard of scholarship and quality but which is not internationally competitive and/or which is more limited in terms of originality/innovation, significance and/or its contribution to the research field. It satisfies at least minimum requirements in relation to the assessment criteria for the scheme, provides reasonable evidence and justification for the proposal and management arrangements are adequate overall.

In a competitive context, the proposal is not considered of sufficient priority to recommend for funding.

## Grade 2
A proposal of inconsistent quality which has some strengths, innovative ideas and/or good components or dimensions, but also has significant weaknesses or flaws in one or more of the following: conceptualisation, design, methodology, and/or management. As a result of the flaws or weaknesses identified the proposal is not considered to be of fundable quality. A proposal would also be graded 2 if it does not meet all the assessment criteria for the scheme.

It is not recommended for funding.

## Grade 1
A proposal which falls into one or more of the following categories:

- has unsatisfactory levels of originality, quality and/or significance
- falls significantly short of meeting the assessment criteria for the scheme
- contains insufficient evidence and justification for the proposal
- displays limited potential to advance the research field
- has potential outcomes or outputs do not merit the levels of funding sought
- is unconvincing in terms of its management arrangements or capacity to deliver the proposed activities.
Section 5: Assessment Criteria and Peer Review

<table>
<thead>
<tr>
<th>Grade</th>
<th>Descriptor</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>It is not suitable for funding.</td>
</tr>
</tbody>
</table>

### 5.8.2 Fellowship (For information only)

Please note that proposals to the Leadership Fellows scheme are assessed using a slightly revised grading scale.

<table>
<thead>
<tr>
<th>Grade</th>
<th>Descriptor</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>An outstanding proposal that is world-leading in all of the following: scholarship, originality, quality, and significance. It fully meets all the assessment criteria for the scheme and excels in many or all of these. A convincing case is made that the proposed Fellowship has outstanding leadership and transformational potential, commensurate with the applicant’s career stage. It provides full and consistent evidence and justification for the proposal, demonstrates very strong institutional support, and management arrangements are clear and convincing. It should be funded as a matter of the very highest priority.</td>
</tr>
<tr>
<td>5</td>
<td>A proposal that is internationally excellent in all of the following: scholarship, originality, quality and significance. It fully meets or surpasses all the assessment criteria for the scheme. A convincing case is made that the proposed Fellowship has excellent leadership and transformational potential, commensurate with the applicant’s career stage. It provides full and consistent evidence and justification for the proposal, demonstrates strong institutional support, and management arrangements are clear and convincing. It should be funded as a matter of priority, but does not merit the very highest priority rating.</td>
</tr>
<tr>
<td>4</td>
<td>A very good proposal demonstrating high international standards of scholarship, originality, quality and significance. It meets all the assessment criteria for the scheme. A convincing case is made</td>
</tr>
</tbody>
</table>
### Section 5: Assessment Criteria and Peer Review

<table>
<thead>
<tr>
<th>Grade</th>
<th>Descriptor</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>That the proposed Fellowship has leadership and transformational potential, commensurate with the applicant’s career stage. It provides good evidence and justification for the proposal, demonstrates good institutional support, and management arrangements are clear and sound. It is worthy of consideration for funding.</td>
</tr>
<tr>
<td>2</td>
<td>A proposal of inconsistent quality which has some strengths, innovative ideas and/or good components or dimensions, but also has significant weaknesses or flaws in one or more of the following: conceptualisation, design, methodology, management, leadership and transformational potential, collaborative activities, and/or institutional support. As a result of the flaws or weaknesses identified the proposal is not considered to be of fundable quality. A proposal would also be graded 2 if it does not meet all the assessment criteria for the scheme. It is not recommended for funding.</td>
</tr>
<tr>
<td>1</td>
<td>A proposal which falls into one or more of the following</td>
</tr>
</tbody>
</table>
Section 5: Assessment Criteria and Peer Review

<table>
<thead>
<tr>
<th>Grade</th>
<th>Descriptor</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>categories:</td>
</tr>
<tr>
<td></td>
<td>• has unsatisfactory levels of originality, quality and/or significance</td>
</tr>
<tr>
<td></td>
<td>• falls significantly short of meeting the assessment criteria for the scheme</td>
</tr>
<tr>
<td></td>
<td>• contains insufficient evidence and justification for the proposal</td>
</tr>
<tr>
<td></td>
<td>• displays limited potential to advance the research field</td>
</tr>
<tr>
<td></td>
<td>• potential outcomes or outputs do not merit the levels of funding sought</td>
</tr>
<tr>
<td></td>
<td>• is unconvincing in terms of its management arrangements or capacity to deliver the proposed activities.</td>
</tr>
<tr>
<td></td>
<td>• displays inadequate institutional support</td>
</tr>
<tr>
<td></td>
<td>• does not make a convincing case that the proposed Fellowship has leadership and transformational potential commensurate with the applicant’s career stage</td>
</tr>
<tr>
<td></td>
<td>• contains insufficient proposals for relevant collaborative activities</td>
</tr>
</tbody>
</table>

It is not suitable for funding.

5.8.3 Follow-on Fund for Impact and Engagement

<table>
<thead>
<tr>
<th>Grade</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>6</td>
<td>An outstanding and innovative proposal meeting the highest quality and standards of knowledge exchange, active dissemination and/or public engagement which targets new audiences and is likely to lead to significant impact. It fully meets all the assessment criteria for the scheme and provides full and consistent evidence and justification for the proposal in</td>
</tr>
</tbody>
</table>
### Section 5: Assessment Criteria and Peer Review

<table>
<thead>
<tr>
<th>Grade</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>terms of concept, design, methodology and management. It should be funded as a matter of the very highest priority.</td>
</tr>
<tr>
<td>5</td>
<td>An excellent and innovative proposal meeting the highest quality and standards of knowledge exchange, active dissemination and/or public engagement which targets new audiences and is likely to lead to significant impact. It fully meets all the assessment criteria for the scheme and provides full and consistent evidence and justification for the proposal in terms of concept, design, methodology and management. It should be funded as a matter of priority, but does not merit the very highest priority rating.</td>
</tr>
<tr>
<td>4</td>
<td>A good proposal meeting a high quality and standard of knowledge exchange, active dissemination and/or public engagement and is likely to lead to impact. It meets all the assessment criteria for the scheme, and provides good evidence and justification for the proposal in terms of concept, design, methodology and management. It is suitable for funding.</td>
</tr>
<tr>
<td>3</td>
<td>A satisfactory proposal in terms of the overall quality and standard of knowledge exchange, active dissemination and/or public engagement and likely to lead to some impact, which meets the assessment criteria for the scheme and provides reasonable evidence and justification for the proposal in terms of concept, design, methodology and management but which in a competitive context is not a priority. It is not recommended for funding.</td>
</tr>
<tr>
<td>2</td>
<td>A proposal of an inconsistent quality and standard of knowledge exchange, active dissemination and/or public engagement which is unlikely to lead to any significant impact,</td>
</tr>
</tbody>
</table>
### Grade 1 Definition

which has some strengths, but also contains a number of major weaknesses or flaws in its concept, design, methodology and/or management. It does not meet all the assessment criteria for the scheme.

It is not suitable for funding.

### 5.9 Sifting of proposals

Proposals will be sifted before going to moderating panel based on the following principles:

- The AHRC 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 will sift proposals against quality criteria, solely on the basis of information supplied by an AHRC peer review process.

### 5.10 The sifting process

The sifting process occurs in two stages:

#### 5.10.1 Sift stage 1

Each proposal is assessed on the following criteria, in reference to eligibility and assessment requirements:

- All application documents must be eligible under the scheme requirements
Section 5: Assessment Criteria and Peer Review

- 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.

5.10.2 Sift stage 2

A sifting decision is made based on the overall confidence levels and grades given by the peer review process. A proposal is 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).

5.11 Technical review

Where the proposal requires completion of the Technical Plan attachment (see Technical Plan, Section 4.2.7.5 above) then the proposal will be forwarded to a Technical Reviewer from the Peer Review College to assess the technical feasibility of the proposal. This Technical Review will be included in the PI Response process detailed below. Technical Reviews will also be forwarded to the peer review panels, or other decision making body as appropriate, to assist them in making their grading decisions. Please note that Technical Reviews will not be taken into account when assessing eligibility, or during the sifting of proposals.

5.12 Principal Investigator response

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

For schemes which operate with open deadlines, we will not be able to provide you with exact dates of when we will contact you for the PI response. You will be contacted once the reviews have been obtained and you will be sent an e-mail which will detail the size limit and deadline that apply to your PI response. These vary according to the scheme and the number of reviews you have received so it is vital to read the email carefully. If your response is not received within the period stated, then your application will proceed without it.
5.13 Peer review panels

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

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

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

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

Peer review panel members are not permitted to discuss with applicants the content of any proposals they have reviewed, either during or after the assessment process.
Section 6: Award Decisions

6 Award decisions

6.1 Notification of the outcome

The AHRC is not able to notify you of the outcome of your proposal by telephone. All outcome notifications are sent electronically to the email address shown on your JeS record.

If you are unsuccessful, you will receive an email advising that you have not been offered an award, and indicating the final outcome your proposal received. The AHRC is unable to provide information on why your proposal was unsuccessful.

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

6.2 Offer acceptance and payment

If you are successful, you will receive a notification email and the RO will receive Offer Documentation which will detail the overall cash limit of the award. This will also include the Terms and Conditions of the Award, a Budget Summary and the details of the Acceptance Form Process. The RO is required to complete The Start Confirmation process only after the grant has started. The Start Confirmation, which will be sent out on completion of the Acceptance Form, needs to be completed before the Research Council will release funds for an award. Payments will be made direct to the institution and will be individually identified. The AHRC will make payments four times a year to each lead Research Organisation.

The AHRC, on advice from peer reviewers or panels, may remove items if they are not justified.

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

The amount awarded may be different from the sum you sought as it may include an element for indexation. The sum may also differ if the Council considers that a lower
Section 6: Award Decisions

level of funding to the one you sought is more appropriate. You will be notified of any amendments made for this reason.

6.3 Resubmission policy
In line with the AHRC’s approach to demand management, unsuccessful applicants will no longer be automatically permitted to resubmit the same, or substantively similar, proposal to the same scheme. A resubmission is only permissible if you have been explicitly invited to do so in the outcome notification of your original proposal. Such invitations will only be given in very particular circumstances. Invited resubmissions will be assessed in the usual way in competition with all other proposals.

6.4 Monitoring
If successful, you will be required to submit outputs, outcomes and impacts linked to your award through the Research Outcomes System (ROS). Information can be added to ROS at any point once the grant has been made and beyond its conclusion. This allows for a deeper and longer-term record of the results of AHRC funding. ROS is available at https://logon.rcuk.ac.uk and you can access the system using your JeS log-in credentials. More details on ROS are available on the RCUK website (opens in a new window).

Please also note that the monitoring of existing or past awards may be taken into account in the assessment of future applications, particularly if this monitoring is found to be less than satisfactory.

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 three months after the end of the award period. For awards lasting longer than 42 months, an interim expenditure statement may also be required 24 months after the start of the award. Requests for expenditure statements will be sent by email and your Research Organisation will need to complete and submit the statement using JeS.

6.5 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 (opens in a new window).
7 Additional information

7.1 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 Impact Summary and Pathways to Impact requirements on the standard grants application form. These 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.

7.1.1 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.
Section 7: Additional Information

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
Section 7: Additional Information

- take responsibility for the duration, 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.

The AHRC recognises that not all research will have direct impacts, but aims to encourage researchers to maximise potential impacts where they occur. We have introduced the Impact Summary and Pathways to Impact attachment 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 Pathways to Impact 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 sections to applications.

7.2 Access to Research Outputs

If one of the proposed outputs is a journal article then the applicant must ensure that he/she complies with RCUK policy on Access to Research Outputs (opens in a new window).

7.3 AHRC subject remit and proposal classification

In order for a proposal to be eligible to be submitted to the AHRC, the majority of the research, i.e. the main focus of its Research Questions/Problems, must lie within the Arts and Humanities.
Section 7: Additional Information

For proposals that cross Research Council boundaries the Research Councils have put in place an agreement (opens in a new window).

7.3.1 Proposal classification
You are required to classify your proposal as part of the JeS application. This activity serves partly as a confirmation that the proposal sits within the remit but more importantly as tool to both help identify the most appropriate peer reviewers to assess the proposal and to determine the panel to which the proposal is directed. It is therefore very important to complete this section accurately.

In submitting the proposal you are asked to consider all three elements of classification and select the attributes appropriate to their proposal:

- Research Areas
- Qualifiers
- Free-Text Keywords

7.3.1.1 Research areas
This provides you the opportunity to identify between one and five Research Area(s) that reflect the subject focus of the research and research questions of your proposal.

You will be required to identify one of these as the proposal’s Primary Research Area. The Research Areas used will be a combination of Level 1 and Level 2 classifications, with Level 1 being a broader definition of the area and Level 2 adding a more specific level definition.

7.3.1.2 Qualifiers
This provides the opportunity to provide further specific detail on nature of the proposal, such as time period, approach or geographical focus.

7.3.1.3 Free-text keywords
This provides the opportunity for you to provide more specific details of the focus of the research question and should be additional and complementary to the selection of Research Area(s).
Section 7: Additional Information

7.3.2 AHRC subject based panels

The Council has four subject based peer review panels, each of which covers a broad thematic area within the AHRC’s remit. The four panels are as follows:

Panel A – History, Thought, Systems of Belief

Panel B – Creative and Performing Arts

Panel C – Culture and Heritage

Panel D – Languages and Literature

In order for a proposal to be eligible, the choice of Primary Research Area must come from the list below.

<table>
<thead>
<tr>
<th>Level 1 - Archaeology</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 2</td>
<td></td>
</tr>
<tr>
<td>Prehistoric Archaeology</td>
<td>C</td>
</tr>
<tr>
<td>Archaeology of Literate Societies</td>
<td>C</td>
</tr>
<tr>
<td>Archaeology of Human Origins</td>
<td>C</td>
</tr>
<tr>
<td>Archaeological Theory</td>
<td>C</td>
</tr>
<tr>
<td>Maritime Archaeology</td>
<td>C</td>
</tr>
<tr>
<td>Landscape and Environmental Archaeology</td>
<td>C</td>
</tr>
<tr>
<td>Industrial Archaeology</td>
<td>C</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Level 1 - Classics</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 2</td>
<td></td>
</tr>
<tr>
<td>Classical Literature</td>
<td>C</td>
</tr>
<tr>
<td>Classical Reception</td>
<td>C</td>
</tr>
<tr>
<td>Philosophy, Thought and Religion</td>
<td>C</td>
</tr>
<tr>
<td>Epigraphy and Papyrology</td>
<td>C</td>
</tr>
<tr>
<td>Languages and Linguistics</td>
<td>C</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Level 1 – Cultural and Museum Studies*</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 2</td>
<td></td>
</tr>
<tr>
<td>Gender and Sexuality Studies</td>
<td>C</td>
</tr>
<tr>
<td>Museum and Gallery Studies</td>
<td>C</td>
</tr>
<tr>
<td>Cultural Studies and Pop Culture</td>
<td>D</td>
</tr>
<tr>
<td>Policy, Arts Management and Creative Industries</td>
<td>B</td>
</tr>
<tr>
<td>Cultural Geography</td>
<td>C</td>
</tr>
<tr>
<td>Heritage Management</td>
<td>C</td>
</tr>
<tr>
<td>Conservation of Art and Textiles</td>
<td>C</td>
</tr>
</tbody>
</table>

* These Research Areas contain elements that could fall within the remit of the ESRC. You should check the AHRC/ESRC remit statement to ensure that your proposal is appropriate to be submitted to the AHRC.
### Section 7: Additional Information

#### Level 1 – Dance

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>History of Dance</td>
<td>B</td>
</tr>
<tr>
<td>Dance Performance</td>
<td>B</td>
</tr>
<tr>
<td>Dance Notation</td>
<td>B</td>
</tr>
<tr>
<td>Social Dance</td>
<td>B</td>
</tr>
<tr>
<td>Choreography</td>
<td>B</td>
</tr>
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</table>

#### Level 1 – Design

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Architecture History, Theory and Practice</td>
<td>B</td>
</tr>
<tr>
<td>Design History, Theory and Practice</td>
<td>B</td>
</tr>
<tr>
<td>Digital Art and Design</td>
<td>B</td>
</tr>
<tr>
<td>Product Design</td>
<td>B</td>
</tr>
</tbody>
</table>

#### Level 1 – Development Studies

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Area and Development Studies</td>
<td>Dependent on the focus of the research</td>
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</table>

#### Level 1 – Drama and Theatre Studies

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theatre and Society</td>
<td>B</td>
</tr>
<tr>
<td>Dramaturgy</td>
<td>B</td>
</tr>
<tr>
<td>Scenography</td>
<td>B</td>
</tr>
<tr>
<td>Performance and Live Art</td>
<td>B</td>
</tr>
<tr>
<td>Theatre and History</td>
<td>B</td>
</tr>
<tr>
<td>Theories of Theatre</td>
<td>B</td>
</tr>
<tr>
<td>Drama and Theatre - Other</td>
<td>B</td>
</tr>
</tbody>
</table>

#### Level 1 – History\(^9\)

<table>
<thead>
<tr>
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<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cultural History</td>
<td>A</td>
</tr>
<tr>
<td>Political History</td>
<td>A</td>
</tr>
<tr>
<td>Imperial/Colonial History</td>
<td>A</td>
</tr>
<tr>
<td>History of Science/Medicine/Technology</td>
<td>A</td>
</tr>
<tr>
<td>War Studies</td>
<td>A</td>
</tr>
<tr>
<td>Religious History</td>
<td>A</td>
</tr>
<tr>
<td>Economic and Social History</td>
<td>A</td>
</tr>
<tr>
<td>American Studies</td>
<td>A</td>
</tr>
<tr>
<td>Post-Colonial Studies</td>
<td>A</td>
</tr>
</tbody>
</table>

#### Level 1 – Information and Communication Technologies\(^10\)

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### Level 2 – Panel

<table>
<thead>
<tr>
<th>Level 1 – Languages and Literature</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information and Knowledge Management</td>
<td>C</td>
</tr>
</tbody>
</table>

#### Level 2

- American Studies
- Interpreting and Translation
- Lifewriting
- History and Development of the English Language
- Literary and Cultural Theory
- Post-Colonial Studies
- Scandinavian Studies
- Asiatic and Oriental Studies
- Middle Eastern and African
- Italian Studies
- Hispanic, Portuguese and Latin Studies
- English Language and Literature
- Creative Writing
- Comparative Literature
- French Studies
- Celtic Studies
- Medieval Literature
- Ethnography and Anthropology
- Australasian Studies
- Comparative Studies
- German, including Dutch and Yiddish
- Russian, Slavonic and East European Languages and Literature
- Gender and Sexuality

#### Level 1 – Law and Legal Studies

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
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</thead>
<tbody>
<tr>
<td>Jurisprudence/Philosophy of Law</td>
<td>A</td>
</tr>
<tr>
<td>Human Rights</td>
<td>A</td>
</tr>
<tr>
<td>Criminal Law and Criminology</td>
<td>A</td>
</tr>
<tr>
<td>International Law</td>
<td>A</td>
</tr>
<tr>
<td>EU Law</td>
<td>A</td>
</tr>
<tr>
<td>Public Law</td>
<td>A</td>
</tr>
<tr>
<td>Comparative Law</td>
<td>A</td>
</tr>
<tr>
<td>Common Law, including Commercial Law</td>
<td>A</td>
</tr>
<tr>
<td>Law Regulated by Statute</td>
<td>A</td>
</tr>
<tr>
<td>Law Relating to Property</td>
<td>A</td>
</tr>
<tr>
<td>Legal History</td>
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</tbody>
</table>

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10 These Research Areas contain elements that could fall within the remit of the ESRC. You should check the AHRC/ESRC remit statement to ensure that your proposal is appropriate to be submitted to the AHRC.
### Level 1 – Library and Information Studies 11

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
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</thead>
<tbody>
<tr>
<td>Archives</td>
<td>C</td>
</tr>
<tr>
<td>Records Management</td>
<td>C</td>
</tr>
<tr>
<td>Information Science and Retrieval</td>
<td>C</td>
</tr>
<tr>
<td>Library Studies</td>
<td>C</td>
</tr>
<tr>
<td>Information and Knowledge Management</td>
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</tr>
<tr>
<td>Computational Studies</td>
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</table>

### Level 1 – Linguistics 11

<table>
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</thead>
<tbody>
<tr>
<td>Textual Editing and Bibliography</td>
<td>D</td>
</tr>
<tr>
<td>Syntax</td>
<td>D</td>
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<tr>
<td>Semantics and Pragmatics</td>
<td>D</td>
</tr>
<tr>
<td>Phonetics</td>
<td>D</td>
</tr>
<tr>
<td>Language Variation and Change</td>
<td>D</td>
</tr>
<tr>
<td>Lexicon</td>
<td>D</td>
</tr>
<tr>
<td>Linguistic Theory</td>
<td>D</td>
</tr>
<tr>
<td>Morphology and Phonology</td>
<td>D</td>
</tr>
<tr>
<td>Applied Linguistics</td>
<td>D</td>
</tr>
<tr>
<td>Linguistics (General)</td>
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</table>

### Level 1 – Media

<table>
<thead>
<tr>
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<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Media and Communication Studies</td>
<td>D</td>
</tr>
<tr>
<td>Journalism</td>
<td>D</td>
</tr>
<tr>
<td>Publishing</td>
<td>D</td>
</tr>
<tr>
<td>Television History, Theory and Criticism</td>
<td>B</td>
</tr>
<tr>
<td>New Media/Web-Based Studies</td>
<td>B</td>
</tr>
<tr>
<td>Film History, Theory and Criticism</td>
<td>B</td>
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### Level 1 – Music

<table>
<thead>
<tr>
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<th>Panel</th>
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<tbody>
<tr>
<td>Traditional Music</td>
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</tr>
<tr>
<td>History of Music</td>
<td>B</td>
</tr>
<tr>
<td>Music and Society</td>
<td>B</td>
</tr>
<tr>
<td>Popular Music</td>
<td>B</td>
</tr>
<tr>
<td>Composition</td>
<td>B</td>
</tr>
<tr>
<td>Classical Music</td>
<td>B</td>
</tr>
<tr>
<td>Musical Performance</td>
<td>B</td>
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<tr>
<td>Musicology</td>
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</table>

### Level 1 – Philosophy 11

<table>
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<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Political Philosophy</td>
<td>A</td>
</tr>
</tbody>
</table>

11 These Research Areas contain elements that could fall within the remit of the ESRC. You should check the AHRC/ESRC remit statement to ensure that your proposal is appropriate to be submitted to the AHRC.
### Section 7: Additional Information

<table>
<thead>
<tr>
<th>Philosophy of Mind</th>
<th>A</th>
</tr>
</thead>
<tbody>
<tr>
<td>Aesthetics</td>
<td>A</td>
</tr>
<tr>
<td>Metaphysics</td>
<td>A</td>
</tr>
<tr>
<td>History of Ideas</td>
<td>A</td>
</tr>
<tr>
<td>Language and Philosophical Logic</td>
<td>A</td>
</tr>
<tr>
<td>Epistemology</td>
<td>A</td>
</tr>
<tr>
<td>Ethics</td>
<td>A</td>
</tr>
<tr>
<td>History of Philosophy</td>
<td>A</td>
</tr>
<tr>
<td>Philosophy of Science and Mathematics and Mathematical Logic</td>
<td>A</td>
</tr>
<tr>
<td>Philosophy of Religion</td>
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</table>

#### Level 1 - Political Science and International Studies

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
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</thead>
<tbody>
<tr>
<td>Diplomacy and International Relations</td>
<td>A</td>
</tr>
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</table>

#### Level 1 - Theology, Divinity and Religion

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
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<tbody>
<tr>
<td>Old Testament</td>
<td>A</td>
</tr>
<tr>
<td>Modern Theology</td>
<td>A</td>
</tr>
<tr>
<td>Judaism</td>
<td>A</td>
</tr>
<tr>
<td>Islam</td>
<td>A</td>
</tr>
<tr>
<td>Liturgy</td>
<td>A</td>
</tr>
<tr>
<td>Systematic Theology</td>
<td>A</td>
</tr>
<tr>
<td>Church History and History of Theology</td>
<td>A</td>
</tr>
<tr>
<td>New Testament</td>
<td>A</td>
</tr>
<tr>
<td>East Asian Religions</td>
<td>A</td>
</tr>
<tr>
<td>Buddhism</td>
<td>A</td>
</tr>
<tr>
<td>Hinduism</td>
<td>A</td>
</tr>
<tr>
<td>Jainism</td>
<td>A</td>
</tr>
<tr>
<td>Sikhism</td>
<td>A</td>
</tr>
<tr>
<td>Alternative Spiritualities/New Religious Movements</td>
<td>A</td>
</tr>
<tr>
<td>Atheism/Secularism</td>
<td>A</td>
</tr>
<tr>
<td>Inter-faith Relations</td>
<td>A</td>
</tr>
<tr>
<td>Contemporary Religion</td>
<td>A</td>
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#### Level 1 - Visual Arts

<table>
<thead>
<tr>
<th>Level 2</th>
<th>Panel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fine Art History, Theory and Practice</td>
<td>B</td>
</tr>
<tr>
<td>Photography History, Theory and Practice</td>
<td>B</td>
</tr>
<tr>
<td>Art Theory and Aesthetics</td>
<td>B</td>
</tr>
<tr>
<td>Community Art including Art and Health</td>
<td>B</td>
</tr>
<tr>
<td>Installation and Sound Art History, Theory and Practice</td>
<td>B</td>
</tr>
<tr>
<td>Ethnography and Anthropology</td>
<td>B</td>
</tr>
<tr>
<td>Digital Arts History, Theory and Practice</td>
<td>B</td>
</tr>
<tr>
<td>Applied Arts History, Theory and Practice</td>
<td>B</td>
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<tr>
<td>Art History</td>
<td>C</td>
</tr>
<tr>
<td>Design History, Theory and Practice</td>
<td>B</td>
</tr>
<tr>
<td>Film-based media (History, Theory and Practice)</td>
<td>B</td>
</tr>
</tbody>
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12 These Research Areas contain elements that could fall within the remit of the ESRC. You should check the AHRC/ESRC remit statement to ensure that your proposal is appropriate to be submitted to the AHRC.
7.4 **Subjects where the AHRC and the ESRC share interests and responsibilities**

The following is a list of some of the main areas of study where the AHRC and the ESRC share interests.

7.4.1 **Area studies**

AHRC supports research that is concerned with the culture, history, language and religion of specific regions. ESRC supports research that is concerned with the society, economy, politics and human geography of specific regions.

7.4.2 **Communications, cultural and media studies**

AHRC supports research that seeks to understand communications, culture and media through the study of phenomena such as the visual arts, film and television, history, language, literature and performance. ESRC supports research that approaches communications, culture and media through the study of sociology, social theory, social anthropology, politics and economics. Note that there is also an important interface between AHRC, ESRC and EPSRC in this area where proposed research projects include a significant engagement with, or advancement of, communication technologies. In the case of relevant research applications, the AHRC and/or ESRC will liaise with EPSRC when consulting reviewers and making funding decisions.

7.4.3 **Cultural policy and management**

AHRC supports historical, comparative and empirical research that addresses questions of human value in creativity and culture, including both the individual and collective experience of creativity and culture. AHRC also supports research in museum studies. ESRC supports research into the psychological processes involved in creativity and the social and economic influences on and consequent impacts of creativity and culture, and public policy and management in this area.

7.4.4 **Education**

ESRC is the primary funding body for educational research across all subjects, including the arts and humanities. AHRC supports research where the imperative for the research questions resides in the arts and humanities, but there may be an educational element. Examples include research into the history of education, children's literature, creative art and performance in (but not for) educational
environments, religious teaching and scholarship, and the role of education in librarianship and museums practice.

**7.4.5 Gender studies**
AHRC supports research that is concerned with sex and gender as they relate to the creative and performing arts, language, law, literature, religion and history of all periods. ESRC supports research that is concerned with sex and gender as they relate to society, the economy and politics.

**7.4.6 Human geography**
ESRC is the primary funding body for human geography; but AHRC also supports research in cultural geography. This includes research into the interpretation of the cultural landscape; cultural constructions of nature and environment; creative and imaginative aspects of geographical thought and practice; and relationships between space, place and cultural identity.

**7.4.7 History**
AHRC supports historical research covering all periods of history from ancient times to modern, and in all parts of the world. AHRC takes modern history to end in the late twentieth century. Applicants whose research focuses primarily on the last two decades of that century will need to show in their proposal how and why their focus is indeed predominantly historical, for example how the study will focus on change over a defined period of time or will make predominant use of historical modes of analysis. ESRC supports historical research that seeks to understand the development of social and economic arrangements over time and applies social and economic theories. Research focusing on contemporary or near-contemporary social, political, economic or geographical themes should normally be directed to the ESRC.

**7.4.8 International relations**
ESRC is the primary funding body for international relations, but AHRC supports research that is concerned with the relationship between international relations and the culture, history, language and religion of specific countries and regions.

**7.4.9 Librarianship and information science**
AHRC supports research into the practice and techniques of information and knowledge management as they relate to librarianship, archives and records management, information science and information systems, storage and retrieval, and professional practice in journalism and the media. AHRC also supports research into information use and users in specific organisational environments. ESRC
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supports research into the broader socio-economic context of information use and policy, information flows within and between organisations, and the shaping, use and potential of information and communication technologies. The ESRC also supports research on knowledge management and on forms and structures of knowledge, as they relate to the wider socio-economic context. Note that there is also an important interface between AHRC, ESRC and EPSRC in this area where proposed research projects include a significant engagement with, or advancement of, technologies dealing with information management. In the case of relevant research applications, AHRC and/or ESRC will liaise with EPSRC when consulting reviewers and making funding decisions.

7.4.10 Linguistics
AHRC supports research into the structure, history, theory and description of language and languages. This includes the development and exploration of theories of language, the elucidation of the historical development of languages and the production of descriptions of languages or features of languages. ESRC supports research in areas of computational linguistics, psycholinguistics, sociolinguistics, and interdisciplinary social science research involving linguistics. Both Councils also fund research into phonetics and applied linguistics relating to the areas for which they are responsible.

7.4.11 Law
AHRC supports research into the content, procedures, theory, philosophy and history of the law. This includes studies of legal systems and legislation in all periods of history and in all parts of the world. ESRC supports socio-legal studies, which are concerned with the social, political and economic influences on and impact of the law and the legal system.

7.4.12 Philosophy
AHRC supports research in philosophy, covering all topics, methods and periods. This includes research into ethical theory and applied ethics, for example bio-ethics, professional ethics and environmental ethics. ESRC supports research into the social political and economic influences on and effects of ethical positions of institutions and individuals.

7.4.13 Religious Studies
AHRC supports research into religions and belief systems of all kinds, in all periods of history and in all parts of the world. This includes research into the ethics of religions and belief systems, and their application in socio-economic, scientific and
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technological contexts. ESRC supports research that is concerned with the social and economic influences on and the impacts of religious beliefs and groups.

7.4.14 Science and technology studies
ESRC is the primary funding body for research on innovation and the interdisciplinary study of science, technology and society. AHRC supports research into the history, law and philosophy of science, technology and medicine, as well as their interface with religion. AHRC also supports research into the interpretation and representation of, and engagement with, science, technology and medicine through art, literature, performance, museums, galleries, libraries and archives.

7.4.15 Social anthropology
ESRC is the primary funding body for social anthropology, but the AHRC also supports anthropological research where the research questions and methods are significantly concerned with arts and humanities phenomena and critical, historical and practice-led approaches. This includes studies of archaeology, history, language, law, literature, the creative and performing arts and religion.
8 Grant conditions GC1 – GC25

GC 1 Responsibilities of the Research Organisation

• The Research Organisation must ensure that any part of the Full Economic Cost of the project not funded by the Research Council grant is committed to the project before it starts.

• The Research Organisation must ensure that the Grant Holder and Co-Investigators are made aware of their responsibilities and that they observe the terms and conditions of grants.

• The Research Organisation must ensure that the research supported by the grant complies with all relevant legislation and Government regulation, including that introduced while work is in progress. This requirement includes approval or licence from any regulatory body that may be required before the research can commence.

• The Research Organisation is expected to adopt the principles, standards and good practice for the management of research staff set out in the 2008 Concordat to Support the Career Development of Researchers, and subsequent amendments. The Research Organisation must create an environment in which research staff are selected and treated on the basis of their merits, abilities and potential. It must ensure that reliable systems and processes are in place so that the principles of the Concordat are embedded into practice within the Research Organisation. It must ensure compliance with all relevant legislation and Government regulation, including any subsequent amendments introduced while work is in progress.

• The Research Organisation is expected to adopt the principles, standards and good practice for public engagement with research set out in the 2010 Concordat for Engaging the Public with Research (opens in a new window). The Research Organisation must create an environment in which public engagement is valued, recognised and supported. It must ensure that reliable systems and processes are in place so that the principles of the Concordat are embedded into practice within the Research Organisation.

• The Research Organisation must appoint a Research Fellow as an employee for the full duration of the award.
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- 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.

- The Research Organisation must ensure that adequate business continuity plans are in place to ensure that operational interruptions to the research are minimised.

**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 research 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.
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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, and for investigating and reporting unacceptable research conduct that meet the requirements set out in the Concordat to Support Research Integrity (2012) and the Research Councils’ Code of Conduct and Policy on the Governance of Good Research Conduct (2009) and any subsequent amendments.

The Research Organisation must ensure that potential conflicts of interest in research are declared and subsequently managed.
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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 include a provision for inflation based on the GDP Deflators published by HM Government. The value of the grant may be varied by the Research Council during the lifetime of the grant in accordance with the deflators or to take into account any other Government decisions affecting the funding available to the Research Councils. 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 othergrant or activity.

Directly Incurred and Exceptions funds cannot be used to meet the costs of an activity that will fall beyond the actual end date of the grant, e.g. when travel falls after the end of the grant, the costs cannot be charged to the grant even if the tickets, etc. can be purchased in advance.

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

GC 4 Starting Procedures

The process for activating a grant consists of two separate stages. The Research Organisation must formally accept the grant by completing and returning the Offer Acceptance within 10 working days of the offer letter being issued. Returning the Offer Acceptance will result in the Start Confirmation and the Payment Schedule being issued. The Start Confirmation must be submitted within 42 (calendar) days of the research/training starting and the start date shown on the start confirmation will be regarded as the start date of the grant. The start of the grant may be delayed by up to 3 months from the start date shown in the offer letter, the duration of the grant remaining unchanged. The grant may lapse if it is not started within this period. The start of the grant may precede the start date shown in the offer letter, but must not be earlier than the date of the offer letter itself.

The start of the grant should be defined as follows:

- For research grants with DI staff: the date on which the first DI staff supported by the grant start work;
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- For research grants with DI staff, but where it is intended that staff should not be in post at the start of the grant: the date on which expenditure on any other DI or DA (excluding estates) heading first occurs;

- For research grants without DI staff: the date on which any DI or DA (excluding estates) expenditure first occurs.

Grants may not be started in any other way without prior approval from the Research Council.

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

It is the responsibility of the Research Organisation to manage the resources on the grant, including the staff, and the Research Council need not be consulted if staffing levels on the grant are changed. However, a proportionate reduction should be made in the value of Estates, Indirect Costs and Infrastructure Technicians claimed by the Research Organisation in the following circumstances:

1. a post that attracts these costs is not filled.

2. a staff member who attracts these costs leaves more than six months before the end of the period for which the post was funded and is either not replaced, or is replaced by a category of staff that does not attract the costs e.g. project student or technician.

**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, excluding equipment. Equipment funding is ring-fenced and transfers into or out of the equipment headings, whether under Directly Incurred or Exceptions, is not permitted. Transfers will be at the rate
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applicable for the heading, as set out in the award letter. Funds can only be transferred and used to meet the cost of activity or activities that meet the agreed aims and objectives of the project. While approval does not need to be sought from the Research Council for transfer of funds, the Research Councils reserve the right to query any expenditure outlined in the Final Expenditure Statement, which has not been incurred in line with the Grant Terms and Conditions.

GC 7 Extensions

Research Grants
After a research grant has started, the duration may be extended, subject to prior written approval, to cover staff absences (excluding the principal and co-investigators unless they are also research fellows or research assistants funded by the grant). The grant may be extended by a total of up to 6 months to cover breaks or delays in the appointment of staff, parental leave, extended jury service 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 Equality Act 2010 or other exceptional circumstances with the agreement of the Research Council); or by an overall total of up to 12 months to cover periods of maternity, paternity or adoption leave. In the case of other exceptional circumstances, the duration may be extended at the discretion 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, extended jury service or paid sick leave for a Research Fellow in line with the terms and conditions of the fellow’s employment. Otherwise, the conditions for extending Fellowship grants are the same as apply to research grants.

Any request for an extension should be made via the Grant Maintenance facility in JeS as soon as the required duration 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.
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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, Adoption and Parental Leave

The research organisation will be compensated at the end of the grant to cover any additional net costs, that cannot be met within the cash limit, of paid maternity, paternity, adoption and parental 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) if they fulfil the relevant qualifying conditions of the employing Research Organisation. The net cost is the amount paid to the individual less the amount the Research Organisation can recover for Statutory Maternity Pay and Statutory Adoption Pay from HMRC.

Maternity, paternity, adoption and parental pay is payable by the Research Council only for directly incurred staff that are funded for 100% of their contracted time on the grant (apart from staff acting as principal or co-investigators unless they are also research fellows or research assistants funded by the grant).

Grant funds, within the announced cash limit, may be used to meet the costs of making a substitute appointment and/or extending the grant to cover a period of maternity, paternity, adoption or parental 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). 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 meet the costs of paid maternity, paternity, parental 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
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maternity, paternity, parental 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

The Research Organisation will be compensated at the end of the grant to cover any additional net costs, that cannot be met within the cash limit, of 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 fulfil the qualifying conditions of the Research Organisation. The net cost is the amount paid to the individual less the amount the Research Organisation can recover from HMRC.

Sick pay is payable by the Research Council only for directly incurred staff that are funded for 100% of their contracted time on the grant (apart from staff acting as principal or co-investigators unless they are also research fellows or research assistants funded by the grant).

Grant funds, within the announced cash limit, may be used to meet the approved costs of making a substitute appointment and/or extending the grant to cover a period of 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). 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.
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**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
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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 send a request via the Grant Maintenance facility in JeS 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; this will normally be triggered automatically by the initial request to JeS.

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 costs will be transferred to the receiving Research Organisation. In the case of Directly Allocated and Indirect costs, a pro rata share, based on the time elapsed on the grant at the point of transfer, will be transferred to the receiving research organisation. The receiving organisation will be required to confirm, by return of an offer acceptance, that it will provide any additional resources needed to complete the project.
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GC 14 Change of Grant Holder

Research Grants
The Research Organisation must consult the Research Council via the Grant Maintenance facility in JeS 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
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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.

If there are exceptional reasons that will prevent submission of the expenditure statement within the period allowed, a written request may be made via the Grant Maintenance facility in JeS, before the due date passes, for the submission period to be extended.

**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 Reporting on the conduct and results of research**

Where required, 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 via the Grant Maintenance facility in JeS, before the due date passes, for the submission period to be extended.

The Research Councils have also developed online systems to collect information on the outputs and outcomes of the research, and have issued Council-specific guidance on the use of these systems and the timing and scope of reporting that is required. The Research Organisation must ensure that the appropriate system is used in accordance with the guidance provided.

**GC 19 Sanctions**

The Research Councils reserve the right to impose financial sanctions where they identify areas of noncompliance in relation to the terms and conditions of grants. If the final report or the financial expenditure statement is not received within the period allowed, the research council may recover 20% of expenditure incurred on the grant. All payments may be recovered if the report or statement is not received within 6 months of the end of the grant. Research organisations may appeal against a sanction, but must do so within 60 days of the pay run in which the sanction was imposed.

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

**GC 20 Public Engagement**

It is the responsibility of the Research Organisation and the Grant Holder and Co-Investigators to communicate the research to the public at both local and national level, and to raise awareness of the role of science and research in any related issues of public interest. Special schemes exist in some Research Councils providing additional support for these activities.
GC 21 Exploitation and Impact

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

Unless stated otherwise, the ownership of all intellectual assets, including intellectual property, and responsibility for their application, rests with the organisation that generates them.

Where the grant is associated with more than one research organisation and/or other project partners, the basis of collaboration between the organisations, including ownership of intellectual property and rights to exploitation, is expected to be set out in a formal collaboration agreement. It is the responsibility of the Research Organisation to put such an agreement in place before the research begins. The terms of collaboration agreements must not conflict with the Research Councils’ terms and conditions.

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

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

There should be suitable recognition and reward to researchers who undertake activities that deliver benefit through the application of research outcomes. The Research Organisation must ensure that all those associated with the research are aware of, and accept, these arrangements.

GC 22 Research Monitoring and Evaluation

While it is the responsibility of the Research Organisation to manage the research, the Research Council reserves the right to call for periodic information on progress or
Section 8: RCUK Grant Terms and Conditions

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 and the RCUK policy on open access (opens in a new window).

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.

Further to GC3, the Research Councils reserve the right to amend the payment profile at their discretion. The Research Organisation will be advised, in advance, of any such a change. Changes to payment profiles may affect the overall value of the grant.
Section 8: RCUK Grant Terms and Conditions

If a grant is terminated or reduced in value, 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.
Section 8: Annexes to Terms and Conditions

8.1 Additional terms and conditions

The following are additional terms and conditions should be read in conjunction with the Terms and Conditions of Research Council Grants. Where the additional term and condition only applies to one scheme this is indicated.

Fellowships Awards – additional terms and conditions

The Fellow will be expected to work with the AHRC to support the development of the UK’s research leadership in the arts and humanities and to advocate the value and benefits of arts and humanities research to broader society. The Fellow may also be expected to attend at least one annual meeting of Fellows, where appropriate to attend relevant AHRC events during the Fellowship period and/or to participate in development activities organised for Fellows during, or within six months of the end of, the Fellowship.

GC1 in addition to Responsibilities of the Research Organisation (Leadership Fellowships Scheme):

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

GC5 Changes to the Research Project - technical aspects

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

GC6 Transfers between Headings - Project Studentships (Research Grants) and international investigators

Project Studentships

In addition to the restrictions outlined in the Terms and Conditions of Research Council Grants (GC6 Transfer of funds between Headings) the following rules apply to the use of costs for Project Students. Monies in the Exceptions Fund Heading relating to project students cannot be vired to other headings to support other activity on the Research Grant.

However, it is possible to vire from Directly Incurred headings into the Exceptions heading to supplement the costs for project student travel and subsistence. Any such virement can only be done where there is a legitimate saving in another DI heading and
where the travel is in line with undertaking a study visits or conferences allowed by AHRC Studentship rules.

**International Investigators**

In addition to the restrictions outlined in the Terms and Conditions of Research Council Grants (GC6 Transfer of funds between Headings) the following rules apply to the use of costs for international co-investigators: monies in the Exceptions Fund Heading related to international co-investigators may be vired to the Indirect Cost Heading (and vice versa) provided the organisation incurring those costs change and subject to AHRC approval.

**GC 18 In addition to Final Report**

The AHRC no longer requires award holders to complete a Final Report at the end of their award. Instead, award holders are expected to update the Research Outcomes System (ROS) with details of the outputs, outcomes and impacts of their research. Award holders will be sent information about ROS during the award period and will receive annual reminders.

**GC23 In addition to Publication and Acknowledgement of Support:**

Due acknowledgement of support received from the AHRC must be made in accordance with the AHRC's acknowledgement of support guidelines which are on the AHRC’s website (opens in a new window).

**PhD project studentships (Research Grants)**

The period of the PhD project studentship must fall within the dates of the AHRC Research Grants award. The RO must contact the Research Council to request an extension to the Research Grant if any suspension (due to maternity leave or sick leave) of the studentship occurs which will result in the end date of the studentship falling after the current end date of the grant.

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

ROs must keep all information relating to included studentships updated on Je-S in a timely and accurate fashion in accordance with the Council’s Student Funding Guide.
PhD Project Students supported by the Council must be registered either as a probationary research student or for a doctoral degree. By the beginning of the final year of the award, the student must be fully registered for a doctoral degree.

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

Please note that Je-S must be updated with the details of the project student within one month of the student’s start date in accordance with the AHRC Student Funding Guide. The guide can be found on the AHRC website (opens in a new window).

Access to Data - deposit of resources or datasets

Grant Holders should abide by the RCUK Common Principles on Data Policy[http://www.rcuk.ac.uk/research/Pages/DataPolicy.aspx]

Grant Holders in all areas must make any significant electronic resources or datasets created as a result of research funded by the Council available in an accessible and appropriate depository for at least three years after the end of their grant. The choice of depository should be appropriate to the nature of the project and accessible to the targeted audiences for the material produced.

Open Access to Journal Articles:

For Grant Holders that produce journal articles or papers the AHRC requires that funded researchers comply with the Research Councils UK Policy on Access to Research Outputs (opens in a new window).

Non-academic partner (Follow-On Funding for Impact and Engagement)

Where a grant has a non-academic partner, then the Research Organisation must notify the Research Council if there are any changes to the commitments outlined in the Letter of Support. The RO must provide the Research Council with details of their plans to respond to any such changes.
Section 8: Annexes to Terms and Conditions

Terminology (Follow-On Funding for Impact and Engagement)

References to research projects and activities apply in this scheme to the programme of knowledge exchange, public engagement, dissemination or commercialisation activities.
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8.2 Changes to Published Versions of AHRC Research Funding Guide

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

<table>
<thead>
<tr>
<th>Version Number</th>
<th>Change</th>
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<tbody>
<tr>
<td>2.4</td>
<td>• <strong>Introduction</strong>: updated Concordat to Support Research Integrity hyperlink</td>
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<td></td>
<td>• <strong>1.1.6 PhD Project Students</strong>: updated text in line with policy change.</td>
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<td>• <strong>1.1.7 Archaeology</strong>: Radio Carbon Dating: updated guidance with regard to ORADS</td>
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<td></td>
<td>• <strong>1.2.3 Case for Support</strong> – Statement of eligibility: made the text clearer</td>
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<td>• Individual Scheme sections in addition to <strong>4.2.7 Attachments</strong>: added guidance for attachment ‘naming conventions’</td>
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<td></td>
<td>• <strong>1.4.6 Mentor Statement</strong>: Amended para number</td>
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<td>• <strong>1.6.3 Deadlines</strong>: amended text</td>
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<td></td>
<td>• <strong>1.6.5 Ineligible Activities</strong>: amended text</td>
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<td></td>
<td>• <strong>1.6.14 Outcomes</strong>: deleted the line about feedback</td>
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<td></td>
<td>• <strong>2.1 Open Access</strong>: added paragraph</td>
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<tr>
<td></td>
<td>• <strong>2.2 International Co-Investigators</strong>: added text about RAs</td>
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<td></td>
<td>• <strong>2.3 Cost Headings</strong>: updated para numbers</td>
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<tr>
<td></td>
<td>• <strong>3.2.2 Contractual eligibility for investigators</strong>: made text clearer</td>
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## Section 8: Annexes to Terms and Conditions

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<tr>
<td></td>
<td><strong>3.2.6 Research assistants</strong>: clarified where the RA should be based</td>
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<td><strong>4.2.6 Non-academic partners</strong>: amended text</td>
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<tr>
<td></td>
<td><strong>4.2.7 Attachments</strong>: corrected paragraph references</td>
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<td><strong>4.2.7.5 Technical Plan</strong>: added page length guidance</td>
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<td></td>
<td><strong>4.2.7.6 Justification of Resources</strong>: Requested that PIs cross-reference the headings in the Summary of Resources section with the JoR attachment</td>
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<tr>
<td></td>
<td><strong>5.7.1 Confidentiality</strong>: new section</td>
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<tr>
<td></td>
<td><strong>6.3 Resubmission policy</strong>: updated section</td>
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<td></td>
<td><strong>GC4 Starting Procedures</strong>: amended to include AHRC with a 3-month delay to starting date from announcement.</td>
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<td><strong>GC 23 Publication and Acknowledgement of Support</strong>: amended in line with RCUK policy on access to research outputs</td>
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<td></td>
<td><strong>8.2.3 transfers between headings for international co-investigators</strong>: added clause to the T&amp;C Annexes</td>
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<tr>
<td>2.5</td>
<td><strong>1.3 Minimum and Maximum duration for Fellowships</strong> for applicants part-time contracts amended</td>
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<tr>
<td>2.6</td>
<td>Amended minor typos</td>
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<tr>
<td></td>
<td>Added clickable links to cross references</td>
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<td></td>
<td>Moved scheme-specific Grading Scales to Section 5.8</td>
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<tr>
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<td>Project students???</td>
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<td></td>
<td><strong>Section 1.4.3 Networking Deadlines</strong>: amended text to</td>
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<td>2.7</td>
<td>Removal of Fellowships scheme and inclusion of reference to stand alone guide for Leadership Fellows scheme.</td>
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<td></td>
<td>• <strong>Section 2 Costs</strong>: added text to state that patent and other IPR costs are not eligible for funding</td>
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<td>• <strong>Section 3.2.8</strong> added section for Project Partners and Collaborating Organisations</td>
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<td></td>
<td>• <strong>Section 4.2.7.6 Justification of Resources</strong>: added page length maximum</td>
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<td></td>
<td>• <strong>Section 4.2.7.10 Case for Support</strong>: clarified size and font type for attachment</td>
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<td>• Amended <strong>Section 4.2.7.9 Letters of Support</strong></td>
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<td>• <strong>5.8 Peer Review Grading Scale</strong>: moved call-specific grading scale for Fellowships and Follow-on Funding for Impact and Engagement to this section.</td>
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<td>• <strong>6.3 Resubmission Policy</strong>: clarified the policy, as we are no longer in a transition period between two policies.</td>
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<td>• <strong>6.4 Monitoring</strong>: clarified text regarding use of ROS</td>
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<td>• <strong>8.4 Starting Procedures (RCUK T&amp;C)</strong>: amended text in line with harmonised policy of 3-month delayed start</td>
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<td></td>
<td>• <strong>8.13 Transfers (RCUK T&amp;C)</strong>: guidance regarding what funds will be transferred to receiving RO</td>
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<td>• <strong>8.19 Sanctions (RCUK T&amp;C)</strong>: clarifying time with which ROs may appeal sanctions applied to them for failure to submit FES on time.</td>
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<td>• Updated <strong>AHRC Annexes to RCUK Terms and Conditions</strong></td>
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