

Research Funding Guide



Arts & Humanities
Research Council

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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/research/casestudies/>.

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.

Section 1: Funding Opportunities – Research Grants

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/funding/>

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

Section 1: Funding Opportunities – Research Grants

- to enable arts and humanities researchers to establish or enhance effective working relationships with fellow researchers - both within and beyond the arts and humanities and within and beyond the UK - practitioners and the wide range of individuals and organisations who may benefit from their research
- to provide opportunities for less experienced researchers to develop their expertise and their careers by working collaboratively with senior researchers on well-defined projects and by leading projects themselves
- to maximise the value of research outcomes by promoting their communication and dissemination with individuals and organisations outside academia 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](#).

Section 1: Funding Opportunities – Research Grants

The AHRC does allow international researchers to act as Co-Investigators on Research Grants. Further information on this policy can be found [here](#).

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

Collaboration in proposals 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 NERC Radiocarbon Facility (NRCF), which is funded by the AHRC and NERC. For further details on how to apply please click [here](#).

You may only request radiocarbon dating costs from AHRC through your grant application if NRCF 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 NRCF.

Section 1: Funding Opportunities – Research Grants

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 4.2.9.14 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. Please note if your application is successful you will be required to apply to the NCRF panel for confirmation of the dates. We would recommend that you discuss your proposed application with NCRF before you submit it.

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

Section 1: Funding Opportunities – Research Grants Scheme – Early Career

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 Co-Investigator Eligibility

The Principal Investigator must fulfil the Early Career eligibility criteria as stated in section 3.8; however any Co-Investigators named on the proposal do not have to be Early Career Researchers.

1.2.4 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 Fellows Scheme

The Leadership Fellows scheme has two routes:

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

Applicants to the route for early career researchers should read this section in conjunction with Section 1.2.

1.3.1 Aims

The Leadership Fellows Scheme is designed to develop and promote research leaders— individuals who set research agendas, lead research communities, provide intellectual leadership in their own disciplines and beyond, have a transformative impact on their subject area, and also act as advocates for the value and benefits of arts and humanities research to publics beyond academia. The Scheme offers opportunities for researchers and their research organisations to work in partnership with the AHRC in strengthening leadership capacity and capabilities in the arts and humanities.

The aims of the Leadership Fellows Scheme are to provide time and support for researchers:

- to develop their capabilities as research leaders.
- to carry out excellent individual research which has the potential to generate a transformative impact on their discipline, and which is of exceptional intellectual scope and importance;
- to develop and undertake innovative and collaborative leadership activities which are connected to their research and which will result in benefits for their own discipline(s) and beyond; and

Funding Opportunities - The Leadership Fellows Scheme

- It should be noted that the Leadership Fellows Scheme is intended to support projects of research and leadership which cannot effectively be supported through routine provision of sabbaticals or other forms of research leave commonly funded through QR.

Where a highlight notice is issued, the Leadership Fellows scheme also seeks:

- to sustain and enhance research capacity in areas which may currently be under-supported for a variety of reasons;
- to support the AHRC in delivering its strategic priorities and national capability needs.

1.3.2 Scheme limit, duration and level of commitment

The Leadership Fellows Scheme accepts proposals with a full economic cost of between £50,000 and £250,000.

For applicants on a full-time contract, the minimum duration of a Fellowship is **six months** and the maximum duration is **18 months** for Standard applications and **24 months** the maximum duration for early career proposals. The limits for applicants on part-time contracts are pro-rata, for example, for someone employed on a 0.5 FTE contract the minimum duration is 12 months and maximum duration is 36 months (48 months for early career proposals). [Applicants on part-time contracts should indicate their current FTE contract within the Justification of Resources. See the Justification of Resources section 4.2.9.6 for more information on what to include in this document.]

You are able to commit 100 per cent of your normal contracted working time to a Fellowship for a maximum of 12 months (FTE), again this maximum for applicants on part-time contracts is pro-rata, for example, someone employed on a 0.5 FTE contract can commit 100% of their contracted time for 24 months. Fellowships over 12 months FTE in duration must include a part-time element to the proposal. During part-time periods of the Fellowship, the non-AHRC funded part of your time should include active engagement with the research culture of your Research Organisation (for example, teaching, administrative duties or other research activities).

Funding Opportunities - The Leadership Fellows Scheme

Your time commitment may vary over the duration of the Fellowship but the minimum average over the life of the Fellowship must be at least 50 per cent of your normal contracted hours (based on a standard working week of 37.5 hours per week (100 per cent time) or pro-rata for individuals who work part-time).

Where you are committing 100 per cent of your time to the Fellowship, no other activities (for example, teaching or administration) are permitted during the period of full time commitment, with the exception of PhD supervision which may be included as an existing commitment.

Where you are committing less than 100 per cent of your normal contracted working time to the Fellowship, teaching, administrative, management, other professional and/or research duties (including on AHRC-funded grants) can be carried out in conjunction with the award.

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

1.3.3 Applying for other funding

If you will be dedicating 100 per cent of your normal contracted working time to the Fellowship, you will not be eligible to be a Principal Investigator or Co-Investigator on any other AHRC award or to have commitments to undertake research with other award-making bodies during the Fellowship period.

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

Funding Opportunities - The Leadership Fellows Scheme

1.3.4 Research and leadership activities

A proposal submitted to the Fellowships scheme must outline both the activities that will enable you to develop and take forward research leadership and the individual research that will be undertaken. Your proposal will be assessed on *both* the leadership and research activities which you propose for the Fellowship.

The following are examples of possible ways of formulating a proposal; they are for illustrative purposes only:

- You could request 6-12 months at 100% time with all leadership activities integrated for the duration of the funded time.
- You could request funding for 12 months for concentrated research activities at 100% FTE, followed by 6 months at 20% time to conduct leadership activities building on this research.
- You could request 6 months at 100% time for concentrated research activities followed by 12 months at 40% time continuing the research alongside leadership activities.

Developing research leadership in the arts and humanities is a core element of the Leadership Fellows scheme. In framing your proposal you will need to clearly articulate a set of research leadership activities which demonstrate how you will develop or enhance your leadership role, and make clear how these activities enhance the transformational potential of your research and its broader influence and importance.

You are encouraged to think creatively about what leadership means in your field, and consider carefully how best to exercise leadership. The types of activity that individuals may wish to pursue will vary greatly from field to field, but might include aspects of the following:

- provide intellectual leadership
- shape research agendas
- foster wider impact from your research

Funding Opportunities - The Leadership Fellows Scheme

- develop emerging research areas, methods or approaches
- foster interdisciplinary research in your field
- encourage new research collaborations and partnerships, international collaboration
- be creative and inspire creativity in other researchers

The leadership activities outlined should be commensurate with your current career stage and trajectory, but should also reflect the enhancement and development opportunity provided by Fellowship funding. In addition, the leadership activities proposed should go beyond the kinds of activities that researchers generally undertake in establishing themselves in their disciplines, or in the ordinary course of their duties.

The Fellowship scheme enables you to include the time and costs for the activities you propose. Exercising research leadership or developing your leadership role involves working with other groups, bodies, organisations, etc. The proposal should include a substantial programme of collaborative activities which will enable you to exercise leadership in your field – and you should think creatively about what is needed to support these activities.

The following list is merely illustrative, and you are encouraged to be innovative in your proposal, whilst also providing a clear rationale as for why the proposed activities are appropriate.

Examples include:

- research networking or other activities aimed at inspiring or supporting the development of other researchers;
- knowledge exchange activities, and engagement with non-academic partners or wider publics / communities;
- international collaborations;
- public engagement activities;
- interdisciplinary engagement;
- shadowing, placements or visiting roles;
- engagement with policy makers or public policy bodies.
- working with others to produce innovative collaborative outputs.

The extended duration of Fellowships and flexibility in time commitment is intended to facilitate such activities in addition to the provision for concentrated time for individual research activities.

Funding Opportunities - The Leadership Fellows Scheme

You and your Research Organisations should ensure that the flexibility afforded by the Leadership Fellows scheme is used innovatively and appropriately in support of your research leadership. It is your responsibility to justify the value and appropriateness of the proposed leadership activities in the Case for Support.

Proposals that are exclusively or largely focused only on a period of research time without planned leadership activities will not be considered to have met the requirements of the scheme.

1.3.5 Research project

The proposed leadership activity must be integrated within a research proposal that is world-leading in terms of its scholarship, originality, quality, scope and importance, and demonstrate that it has transformative potential in the subject area and beyond.

The research can be at any point of development, but the proposal must demonstrate that it will lead to substantial research outputs and outline what the planned outputs and outcomes of the Fellowship will be. The nature of these outputs can vary, according to the research, but should be connected with the leadership and transformational aims of the Leadership Fellows scheme. It is your responsibility to justify the value and appropriateness of the output(s) in the Case for Support. See the Case for Support Section 4.2.7.12 for more information regarding what to include in the document.

1.3.6 Research Organisation commitment

The provision of strong, active institutional support is an important criterion under the scheme and the Research Organisation should outline as clearly as possible the specific support that it has provided, and will provide, in supporting your individual career and leadership development. This information should be provided in the Head of Department statement attachment (see section 4.2.7.8 for more information), and should distinguish between generic support available for leadership development available in the institution, and specific support that has been, and will be provided.

This statement also needs to include details of how you will be relieved from existing duties in

Funding Opportunities - The Leadership Fellows Scheme

order to fulfil the time commitment of the Fellowship, and how any teaching duties related to sustaining your research area (e.g. specialist subject modules) will be delivered while your time is allocated to the Fellowship.

The Research Organisation will need to demonstrate that it has been highly selective in the proposals submitted and provide evidence of commitment to your career and leadership development before, during and after the proposed Fellowship.

In the event that you move institution, transfer of the award would be subject to provision of an institutional support statement by the new Research Organisation outlining at least equivalent support for the Fellowship and your subsequent career development.

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

1.3.7 **Co-Investigator eligibility**

Co-Investigators are not permitted under this scheme.

1.3.8 **Research Assistance**

The Fellowship project can also include a small period of research assistance or technical assistance (no more than **twelve** months FTE in total) to support specific activities in support of your research project. However, the Fellow must be doing the majority of the proposed research activity.

1.3.9 **Submitting more than one application to the same scheme**

You are only permitted to have only one application under consideration in the Leadership Fellows scheme at any one time.

Section 1: Funding Opportunities – Leadership Fellows Scheme – Early Career

1.4 Leadership Fellows Scheme – Early Career

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

The scheme is designed to build the capabilities of the research leaders of the future and equip individuals who have outstanding potential to develop the range of qualities they require to lead research agendas in the 21st century.

1.4.1 Aims

The route for early careers also has these additional aims:

- to develop the leadership experience and capabilities of early career researchers in a crucial phase of their careers as they establish themselves and develop beyond doctoral and immediate post-doctoral work;
- to enable the production of high quality innovative research that moves significantly beyond doctoral projects; Research Organisation commitment.

This route is intended to support the development of emerging research leaders. Proposals will need to demonstrate the commitment and support of the Research Organisation not only through the Head of Department statement, but also through the completion of the Mentor statement.

1.4.2 Mentors

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

Section 1: Funding Opportunities – Research Networking Scheme

1.5 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 allows international researchers to act as Co-Investigators on Research Networking proposals. Detailed information about eligibility, costs and application guidance can be found within the relevant sections of this guide.

1.5.1 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
- to foster (where appropriate) international collaboration and the development of strong academic links with overseas researchers, in order to develop understanding through

Section 1: Funding Opportunities – Research Networking Scheme

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.

1.5.2 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 full economic cost (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 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.

1.5.3 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. If the start date is not at least six months from the date of submission if the proposal is successful you may be asked to change the start date.

1.5.4 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, although Indirect and Estates costs will not be eligible for any

Section 1: Funding Opportunities – Research Networking Scheme

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

Section 1: Funding Opportunities – Research Networking Scheme

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 4.2.9.6 below for more information regarding what to include in this document.

1.5.5 Principal Investigator (PI) eligibility

The PI must be the person who will be responsible for co-ordinating the activities. They must justify why the research and approaches proposed are majority situated within the arts and humanities subject domain.

1.5.6 Co-Investigator eligibility

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

1.5.7 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

Section 1: Funding Opportunities – Research Networking Scheme

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 encouraged. 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 4.2.9.14 below, you should use the following:

1.5.7.1 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?

1.5.7.2 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?

1.5.7.3 Timetable of activities

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

1.5.7.4 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.

1.5.7.5 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?

Section 1: Funding Opportunities – Research Networking Scheme

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

1.5.7.6 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'. See Section 4.2.9.7 below for more information regarding what to include in this document.

1.5.8 Justification of Resources Attachment

In addition to the general requirements for the Justification of Resources listed in section 4.2.8.6 the breakdown of costs should also 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.

1.5.9 Technical Plan Attachment

A Technical Plan is not required for this scheme

1.5.10 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

Section 1: Funding Opportunities – Research Networking Scheme

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

- 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.
- The contribution and added value of the proposed international collaboration to the Research Networking Peer Review Process

1.5.11 Assessment and 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.

There is no PI Response stage for Research Networking.

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

1.6 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.

1.6.1 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.

1.6.2 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.

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

1.6.3 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 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.

1.6.3.1 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. If the start date is not as adhered to as above if the proposal is successful you may be asked to change the start date.

1.6.3.2 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. If the start date is not as adhered to as above if the proposal is successful you may be asked to change the start date.

1.6.4 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

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

1.6.5 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.
- 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.

1.6.6 Definitions

The AHRC has specific interpretations for knowledge exchange, dissemination, public engagement and impact. Further information can be found at:

<http://www.ahrc.ac.uk/innovation/knowledgeexchange/>

1.6.7 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.

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

- 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
- 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 4.2.9.14 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 allows international researchers to act as Co-Investigators on Follow-on Funding for Impact and Engagement proposals. Detailed information about eligibility, costs and application guidance can be found within the relevant sections of this guide.

1.6.8 Non-Academic partners

In addition to the guidance in *Non Academic Partners*, Section 4.2.8 below, the following also applies:

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

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

- 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.

1.6.9 Case for Support attachment

Instead of the headings in *Case for Support*, Section 4.2.9.14 below, you should use the following:

1.6.9.1 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.

1.6.9.2 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.

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

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.

1.6.9.3 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.

1.6.9.4 Timetable

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

1.6.9.5 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.

1.6.9.6 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

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

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.

1.6.9.7 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?

1.6.9.8 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 4.2.9.14f below for more information.

1.6.10 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:

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

1.6.10.1 **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

1.6.10.2 **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.

1.6.10.3 **Value for money**

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

1.6.10.4 **Output, dissemination and impact**

- 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

1.6.11 **Principal Investigator response**

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

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 here:

<http://www.rcuk.ac.uk/documents/documents/fecfaq-pdf/>

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 4.2.9.14 below) or *Justification of Resources* (See Section 4.2.9.6 below) attachments.

2.2 Proposals with an international element

For some of our schemes the AHRC allows international elements to proposals. Costs are permitted to be included for some international elements and full details are listed in this section. This section is broken into two parts, International co-Investigators and other international elements to proposals. For details of the eligibility required for international co-Investigators please see section 3.3.3, International Co-investigators.

Section 2: Costs

2.2.1 International co-Investigators

The AHRC has a policy to allow international researchers to act as Co-Investigators on some of its schemes. Please note that co-Investigators are not eligible in the Leadership Fellows Scheme and as such no costs can be claimed for these.

All costs incurred by the international co-investigator, including salary costs will need to be listed as 'Exceptions' under the Other Directly Incurred Costs heading (see Section 2.3.4 below for more information) and the reason for requesting costs articulated in the Justification of Resources attachment (Section 4.2.9.6 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
- 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.

2.2.2 Other international elements to proposals

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. These will be paid at the usual 80% FEC (as opposed to the 100% FEC for international co-Investigators – only elements associated with the international co-Investigator costs can be paid at 100% FEC). There is no limit to how much of the proposal can be spent on other international elements but the requested funds should be appropriate to the needs of the proposal:

Section 2: Costs

- 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:
 - Is the expertise available within the UK?
 - Proportion of the overall costs that the consultancy constitutes (i.e. the majority of the research must still be undertaken by UK based researchers)
 - 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 'Other Directly Incurred Costs' on the proposal form and applicants must demonstrate clear value for money and justification.

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. For further information please see section 3.9 – Project Partners and Collaborating Organisations.

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:

Section 2: Costs

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.

For Leadership Fellows as the amount of time to be dedicated to the Fellowship is a known amount, your salary costs should be recorded as a Directly Incurred cost.

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 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. Items should not be added under the 'Equipment' heading.

AHRC cannot support the funding of individual items of equipment costing more than £10,000 (including VAT). Therefore, if your project requires the use of equipment at this value, this will need to be provided from other sources.

2.3.1.4 Other Directly Incurred 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. Salary costs for international Co-Investigators, when eligible, should be included here using the 'Exception' option.

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.

Section 2: 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.

2.3.3 Indirect Costs

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

2.3.4 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 e.g. 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).

2.3.5 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.

2.3.6 Project Partners

Please see section 3.9 for more detailed information on Project Partners

2.3.7 Justification of costs

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

Section 2: Costs

- Estates costs
- Indirect costs
- Investigator salary costs
- Other directly allocated
- Shared lab equipment.

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.

2.3.8 Items expected to be found in a department

The AHRC will not fund items that would ordinarily be found in a department, such as non-specialist computers. Any proposals requesting these items 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).

Section 2: Costs

2.3.9 Scheme limits

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

Name of Scheme	Minimum scheme limit (£) (FEC)	Maximum scheme limit (£) (FEC)
Research Grants	50,000	1,000,000 ¹
Research Grants – Early Career	50,000	250,000 ¹
Leadership Fellows	50,000	250,000
Leadership Fellows – Early Career	50,000	250,000
Research Networking	None	30,000
Research Networking that includes international participation	None	45,000
Follow-on Funding for Impact and Engagement	None	100,000

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 international co-investigators are eligible in the scheme and 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

¹ The scheme maximum includes the cost of any project students requested.

Section 2: Costs

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.

Section 3: Eligibility

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 at: <http://www.rcuk.ac.uk/funding/noparentrcs/>

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 at:

<http://www.rcuk.ac.uk/documents/documents/eligibilitystatement-pdf/>

The current list of eligible IROs can be found at:

<http://www.rcuk.ac.uk/documents/documents/eligibilityiros-pdf/>

Further information on eligibility can be found on the [RCUK website](#).

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.

Section 3: Eligibility

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.

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

3.2.1.1 Academic Standing for the Leadership Fellows Scheme

In addition to the points in 3.2.1, for the Leadership Fellows scheme the Research Organisation will need to confirm that it has identified you as a research leader, or potential future research leader, and that it will provide specific support for the Fellowship.

You must have **at least two years** of post-doctoral experience in an academic/research environment or have an equivalent level of professional/practice experience of direct relevance to the proposed research. You must also have a track record of research publications and/or other research outputs as appropriate.

3.2.2 Contractual eligibility for investigators

3.2.2.1 Contractual arrangement – nature (NOT for Leadership Fellows)

You must either:

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

Or

b) if not employed by the submitting organisation², 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;

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))

Section 3: Eligibility

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 starts³.

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 – nature (Leadership Fellows Scheme ONLY)

You must be a salaried member of staff at the Research Organisation submitting the proposal and have been employed by the Research Organisation for **at least one year** before the date of submission of the proposal.

3.2.2.3 Contractual arrangement – duration (NOT for Leadership Fellows)

The Research Organisation must confirm that you have:

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.

³ In this case, the affiliation shown for the investigator should be the organisation that would hold the grant.

Section 3: Eligibility

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

3.2.2.4 Contractual arrangement – duration (Leadership Fellows Scheme ONLY)

The Research Organisation must confirm that you have a contract of employment that extends beyond the duration of the proposed Fellowship that allows you to complete the work outlined in the proposal and is consistent with the Research Organisation's commitments to support your longer term career development beyond the end of the Fellowship

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 to some AHRC schemes. 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.

3.3 Co-Investigators

3.3.1 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. There is no maximum number of Co-Investigators that can be included on a Research Grant or Follow-on Funding application. However, the inclusion of each Co-Investigator needs to be fully justified in the proposal. For Research Networking only one Co-Investigator is permitted. Please note co-Investigators are not permitted for the Leadership Fellows Scheme.

Section 3: Eligibility

3.3.2 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:

<http://www.rcuk.ac.uk/documents/documents/eligibilitystatement-pdf/>

3.3.3 International Co-Investigators

The AHRC has a policy to allow international researchers to act as Co-Investigators on some of its schemes. Please note that as Co-Investigators are not permitted for the Leadership Fellows Scheme and as such International Co-Investigators are not allowed for this scheme.

In order to be considered eligible, an international co-investigator needs to have suitable academic experience (i.e. 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. If an international co-Investigator is on the proposal an International Co-Investigator Head of Department Statement from the international co-I's Head of Department must be attached to the proposal. If this is not attached the proposal will be rejected at sift stage 1. Further information about what to add in the International Co-Investigator Head of Department Statement can be found below in section 4.2.9.11 International Co-Investigator Head of Department Statement.

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

Section 3: Eligibility

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 (i.e. Principle Investigator) should the UK principle investigator step down for any reason.

Please note that before applying an international co-Investigator must have an active Je-S account, and it is the UK Research Organisation's responsibility to ensure that this is the case.

3.4 Eligibility of Research Council institute staff

A list of eligible Research Council Institutes can be found on RCUK website at:

<http://www.rcuk.ac.uk/funding/noparentrcs/>

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

Institutes that are considering submitting a proposal to a Council to which they will be newly eligible are encouraged to discuss the proposal with the relevant Council staff in the first instance.

3.5 Previous or current award holders (Leadership Fellows only)

If you are a previous or current holder of an AHRC Fellowship, you are not permitted to submit a proposal to this scheme until at least one year after the end of the Fellowship.

3.6 Previous applicants (Leadership Fellows only)

If you are unsuccessful, you are not permitted to submit a new (different) application under the scheme within one year of the announcement of the outcome of your previous application.

3.7 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:

Section 3: Eligibility

- 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. If this is not to be the case thorough justification as to how the Research Assistant will be supported must be provided.

3.8 Early career

At the point of application you are either:

- within eight years⁴ of the award of your PhD or equivalent professional training. This period is measured from the date of successful PhD viva to the point of submission.

or

- within six years⁵ of your first academic appointment

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

3.9 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.

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. Failure to do this will lead to the application being rejected. These contributions are not considered to be part of the FEC of the project.

⁴ These durations should exclude any period of career break, e.g. 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.

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If you include an organisation as a 'Project Partner', you must also include a Letter of Support from that organisation. Failure to do this will lead to the application being rejected.

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.

An organisation that is merely interested in the research and not providing anything to the project are not considered as a project partner and are not permitted to be listed as such, or to submit letters of support. If you have any queries about what constitutes a project partner please contact AHRC by email via enquiries@ahrc.ac.uk.

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

3.10 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.

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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. If the start date is not adhered to as above if the proposal is successful you may be asked to change the start date. 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 (Je-S)

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

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

There is detailed Helptext within the Je-S system that provides information on how to complete each section of the proposal form. There is also a dedicated Je-S 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 44 4164.

4.2.2 Creating a proposal

To prepare a proposal form in Je-S, 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'. Je-S 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 Je-S form.

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Once complete, you should upload all documents required for the scheme (and if applicable, any documents listed as optional for the scheme), and submit your proposal. Je-S will forward your proposal to your Research Organisation, who in turn will submit your proposal to AHRC. You must 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 and late proposals will not be considered.

4.2.3 Submission Rules

If a proposal breaks any of the scheme submission rules (listed either in the appropriate Funding Guide or Call Document) in any way it may be rejected. Further information about common errors to avoid with proposals that may lead to a proposal being rejected can be found on our [website](#).

Late proposals will not be accepted.

Proposals containing attachments exceeding the stated limits, or not adhering to the specified format, will not be considered. If the proposal or any attachments on the proposal are missing required information (as detailed in the relevant Funding Guide or Call Document) the proposal will be rejected. Proposals submitted to any scheme must only contain permitted attachments; if any unpermitted attachments are added this will result in the document being removed or the proposal being rejected. Please see section 4.2.8 for details of permitted attachments. If a proposal has been rejected following initial checks and before it has been to reviewers it will be eligible for resubmission; please see section 6.3 Resubmission Policy for full details. If there are any restricted eligibility criteria for the scheme to which you are applying (E.g. Early career researchers), at the point of resubmission you must still be eligible to apply to this scheme.

4.2.4 Highlight Notices

Highlight notices are applied to existing AHRC Schemes in order to encourage proposals in specified areas of strategic interest to AHRC and to engage the arts and humanities research community in the development of these initiatives. Highlight notices are applied for a set period of time, and the descriptions are usually intended to guide inquiry rather than prescribe individual research topics.

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It is hoped, that successful proposals addressing the highlight notice will help to build capacity in the specified area. For example, activities funded under a highlight notice for the AHRC theme 'Care for the Future' could inform the future development of the theme by feeding back progress to the relevant subject team at the AHRC and representatives attending events related to the award or through coordinated activities organised by the AHRC.

4.2.4.1 How to apply under highlight notices

There is no separate route for highlight notices, applicants must explicitly address why their proposal is relevant to the highlight notice as part of their standard application to a particular scheme. No additional attachments are required and you must adhere to the standard limits for the scheme. Information about how to apply to the AHRC in general can be found on our Application Guidance page.

Proposals relevant to the highlight notice can be submitted at any time while the highlight notice is in effect, and will be assessed alongside standard proposals using the same criteria. All proposals will be assessed on their quality and individual merits. Although, proposals addressing the highlight notice will not be given priority in the assessment or ranking of applications, supplementary funding may be made available to support additional highly rated applications addressing the highlight notices that may not have otherwise been funded under the existing scheme budgets. As a result, applications addressing highlight notices may have an increased chance of funding, but only if they fully meet the excellence criteria for the scheme and high international standards of scholarship, originality, quality and significance as judged through peer review.

Applicants wishing to submit a proposal in response to the highlight notice should include a paragraph at the beginning of their Case for Support outlining which theme (or themes) they are addressing and how they envisage their research could contribute towards it. Within the Case for Support, full details should be given of who will be involved in the project, including any collaborative partners, how the theme will be addressed and the fellow envisages playing a leadership role in support of the development of the theme (or themes).

4.2.5 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. Further details can be found in *AHRC subject remit and proposal classification*, Section 7.3.1 below.

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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.

4.2.6 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. Academic Beneficiaries is a section to complete within the proposal form.

4.2.7 Impact summary

Please note that the Impact Summary will be published on publicly available websites to demonstrate potential impact of Research Council funded research and so should not include any confidential information. The impact summary is a section to complete in the proposal form.

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

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- 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.

4.2.8 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.

4.2.9 Attachments

The following table explains which attachments are required for which scheme. The table should be read in conjunction to the description of each heading, all of which can be found in the sections below the table. If any attachment which is required (and which is not listed as optional) in the table below is not attached to a proposal the proposal will be rejected at sift stage 1.

Attachment	Research Grants (Standard and Early Career)	Research Networking	Follow- on Funding	Leadership Fellows	Leadership Fellows (Early Career)
Case for Support	X	X	X	X	X
Curriculum Vitae	X	X	X	X	X
Publication Lists	X	X	X	X	X

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Visual Evidence (optional for all schemes)#	X	X	X	X	X
Technical Plan (if applicable)*	X		X	X	X
Justification of Resources	X	X	X	X	X
Pathways to Impact	X	X		X	X
Workplan				X	X
Head of Department Statement				X	X
Mentor Statement					X
International Co-Investigator Head of Dept Statement (only if applicable)**	X	X	X		
Project Partner Letter of Support (only if applicable)***	X	X	X	X	X

*Technical Plans should only be submitted if you have identified that there will be technical outputs (these should be identified in the technical summary section – please see section 4.2.9.5 below)

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**International Co-Investigator Head of Department Statements should only be submitted if an International Co-Investigator has been named on the proposal.

***Project Partners Letters of Support should only be submitted if you have named Project Partners – please see section 2.3.5 for further details of what constitutes a project partner.

#The need for visual evidence is optional across all schemes listed in this Guide

4.2.9.1 Naming Conventions

It is recommended that you should 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.

4.2.9.2 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. Normal margin sizes of 2cm must be used. CVs should include basic information about education, employment history, and academic responsibilities.

Naming convention: Surname_Initials_CV

4.2.9.3 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 an Arial font no smaller than size 11. Normal margin sizes of 2cm must be used.

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

4.2.9.4 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.

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Naming convention: [PI Surname]_VisEv

4.2.9.5 Technical Plan

Naming Convention: [PI Surname]_TechPI

Before reading this section, please see the Case for Support guidance, Section 4.2.9.14f below regarding a Technical Summary.

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).

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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 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.

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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.

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

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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.

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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.

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,

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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.

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.

g. 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.

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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.

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).

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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.

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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, which can be found on the [RCUK website here](#) (please also see Section 8 below for additional AHRC Terms and Conditions).

4.2.9.6 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

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- 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 clear and detailed 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. Normal margin sizes of 2cm must be used.

Naming convention: [PI Surname]_JoR

4.2.9.7 Pathways to impact

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 and normal margin sizes of 2cm must be used.

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Naming convention: [PI Surname]_Pathways

4.2.9.8 Workplan (only for Leadership Fellows)

A Workplan attachment is required for all Leadership Fellows applications. It must be used to outline your timetable for the project (both research and leadership activities) and to indicate the work to be undertaken in each month of the award. The Work plan should clearly outline your time commitment for each phase of the Fellowship. The Work plan must not exceed one A4 page.

Naming Convention: [PI Surname]_WorkPlan

4.2.9.9 Head of Department Statement (only for Leadership Fellows)

A statement is required from the Head of Department or other relevant Senior Manager for Leadership Fellows applications (if you are the Head of Department, then the statement should be completed by your line manager).

The Head of Department should briefly outline the process by which they have identified you to be a research leader, or potential future research leader, suitable to apply for a Fellowship. It should outline previous institutional support for you and detail the programme of leadership support that will be undertaken during and after the Fellowship period. The support should be appropriate to your career stage and nature of your research but could include, for example, various combinations of:

- allocation of a place on a leadership development programme or other training and development support aimed at developing leadership capabilities;
- significant additional support for research time/sabbaticals to enable the Fellow to enhance their research leadership;
- awarding of institutional research development funding to support development of the applicant's research profile;
- creation of research groups or development of departmental/institutional research strategies in relation to the applicant's research area;
- supporting knowledge exchange or partnership activities involving the applicant, or providing a platform for the Fellow to take part in high profile public engagement activities;
- support for networking activities, inter-disciplinary or international collaborations
- provision of specialist technical support for the Fellow's research and/or to sustain its legacy

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- nominations for high profile prizes, awards or positions in the field.

The statement should indicate how the individual's needs have been identified and supported, and should distinguish between generic support available for leadership development available in the institution, and specific support for you that has been, and will be provided.

The provision of institutional support is an important assessment criterion under this scheme. Poorly supported applications may not be accepted and any that are assessed as merely meeting minimum requirements are unlikely to be funded.

If you are committing less than 100 per cent of your normal contracted working time to the Fellowship, the Head of Department should outline any teaching, examining and administrative commitments that will continue alongside the award. Fellows must be released from duties for the time specified and must not be expected to take on additional work within the institution once an award has started.

The Head of Department Statement should be a maximum of two sides of A4 in length and in an Arial font no smaller than size 11. It should be attached to the Je-S proposal by the approver/submitter at the Research Organisation rather than by the applicant.

Naming convention: [PI Surname]_HoD

4.2.9.10 **Mentor Statement (Leadership Fellows Early Career only)**

For the Leadership Fellows Early Career route a Mentor Statement must be provided. Research Organisations are required to provide mentoring support for early career researchers for the duration of the Fellowship. An appropriate mentor is regarded as a key component in the development of an early career researcher's leadership role in their field, helping them to understand the dynamics and sensitivities of research leadership.

This single attachment should include both:

- details of the named mentor, a specified time commitment to mentoring, a clear programme of meetings and statement of contact time with the Fellow, and commitment

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to a training and development plan

- a summary curriculum vitae for the proposed mentor. The CV should include basic information about education, employment history and academic responsibilities.
- The statement should also demonstrate how the mentor activity fits in with the institutional support outlined in the Head of Department statement.
- The Mentor Statement, including the summary CV, should be a maximum of two sides of A4 in length and in an Arial font no smaller than size 11. It should be attached to the Je-S proposal by the approver/submitter at the Research Organisation rather than by the applicant.

Naming Convention: [PI Surname]_Mentor Stmt

4.2.9.11 **International Co-Investigator Head of Department Statement**

If your proposal includes an international co-investigator, their institution must submit a Head of Department Statement (please note co-investigators are not permitted for the Leadership Fellows Scheme). 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

4.2.9.12 **Project Partner Letter(s) of Support**

Each Project Partner must provide a Project Partner letter of support, of no more than 2 sides of A4 or equivalent on headed paper or by email. The letter must be in Arial font and no smaller than size

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11 font with normal margin sizes. Emails must be included as an attachment to the grant on submission via Je-S. The letter should be written when the proposal is being prepared and should be targeted specifically to the project, it must therefore be dated within 6 months of the date of submission of the proposal. 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. To provide assurance that the project partner has authorised the proposed contribution or commitment the letter or email should be signed by the named contact, stating the capacity in which they are providing the sign off. Project Partner letters of support that merely indicate that an organisation is interested in the research are not permitted. The individual named as contact for the Project Partner organisation cannot also be named as staff, for example Co-Investigator on a grant proposal.

A well written project partner letter of support will confirm the organisation's commitment to the proposed project by articulating the benefits of the collaboration, its relevance and potential impact. The Project Partner letter should also identify the value, relevance and possible benefits of the proposed work to the partner, the period of support, the full nature of the collaboration/support and how the partner will provide added value. Where relevant to the project, details should be provided of the projected market size, customers and sales and how the organisation will commercialise the technology beyond the project. Project Partner contributions, whether in cash or in kind, should be explained in detail in the project partner letter of support. Detail of how this support relates to the proposal as a whole should be included in the case for support and in the Pathways to Impact attachment.

The project partners should not submit any other ordinary letters of support unless in exceptional cases and where this has been agreed to with the research council. The Research councils reserve the right to remove all other letters of support from the proposal. Applicants should refer to the research council or call guidance for additional information regarding acceptable letters of support.

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.

All letters should be signed, dated and on headed paper. Project Partner Letters of Support must be sent directly to the Research Organisation who should submit the letter to AHRC via Je-S at the same

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time as the rest of the application. The project partner must also be listed on the application form along with their costs, please see section 3.9 for further details.

Naming convention: [PI Surname]_PPLoS

4.2.9.13 Letters of Support

A Letter of Support should normally only come from a project partner but could be included for other collaborating organisations on occasion. 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. The idea of this Letter of Support is to provide reassurance to the AHRC and to its reviewers that the appropriate authorisation has been sought and gained from any organisation whose involvement is essential to the project. Letters of support that merely indicate that an organisation is interested in the research are not permitted and these will be removed from your proposal if attached. If you have any queries about what might be an appropriate Letter of Support please contact AHRC by email via enquiries@ahrc.ac.uk.

Naming convention: [PI Surname]_LoS

4.2.9.14 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:

Research Grants (Standard and Early Career route) ⁶	7 pages
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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.

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Leadership Fellows (Standard and Early Career Route) ⁶	7 pages
Research Networking	4 pages
Follow-on Funding for Impact and Engagement	7 pages

Your Case for Support should be in a standard 'Arial' or 'Times New Roman' font and size 11 or higher and normal margin sizes of 2cm must be used. Scheme-specific guidance on what should be included in the Case for Support is contained in *Funding Opportunities*, Section 1 above.

If the Case for Support has been submitted to us incorrectly or breaks the rules in some way the proposal will be rejected AHRC. This will be rejected prior to peer review and/or the panel meeting and as such will be eligible to be resubmitted to us with changes made; please see section 6.3 of this guide for full details of our resubmission policy.

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 an invited resubmission (one that has been assessed via the peer review/meetings process and following peer review has been invited to resubmit to the scheme), 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.

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. The below table should be read in conjunction to the description of each heading, all of which can be found in the sections below the table.

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Heading	Research Grants	Research Grants Early Career	Leadership Fellows	Leadership Fellows Early Career
Highlight notice (if applicable) ⁷	X	X	X	X
Research questions or problems	X	X	X	X
Research context	X	X	X	X
Research methods	X	X	X	X
Leadership development plan			X	X
Technical Summary	X	X	X	X
Project management	X	X	X	X
Dissemination	X	X	X	X
Statement of eligibility		X		X

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

⁷ Highlight notices only apply to schemes listed on the following page:

<http://www.ahrc.ac.uk/funding/opportunities/current/highlightnotices/>

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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 of 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.

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e. Leadership Development Plan (for Leadership Fellows Schemes only)

This section of the Case for Support should include details of your proposed leadership activities, and an explanation of why these activities are appropriate to exercising research leadership in your field. You should make clear how these activities enhance the transformational potential of the research and its broader influence and importance. Please refer to section 1.1.4 Research and Leadership Activities for further details on what is requirement for this section.

f. Technical Summary

All proposals must complete this section, regardless of whether there will be digital outputs.

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 4.2.9.5 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.

g. 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

Section 4: Application Guidance

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 4.2.9.5 above). It should be clear what the milestones for the completion of this element and the work should be incorporated 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.

In terms of supporting the research staff funded on the project, you should clearly outline the development opportunities which the project will make available. These should include opportunities both in relation to research expertise, and wider opportunities, for example, in connection with the activities proposed in the Pathways to Impact statement.

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:

<http://www.rcuk.ac.uk/research/efficiency/concordats/>

h. 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'.

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i. Statement of eligibility (Early Career route only)

You should briefly explain how you meet the eligibility criteria for the early career route and should be included within the Case for Support.

4.2.10 Applying for other funding

You can apply to the same scheme again 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 in Researchfish. 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.

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.

4.2.11 Submitting more than one application to the same scheme (with the exception of the 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.

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4.2.12 **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.

4.2.13 **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.

The AHRC will publish on publicly available websites the details of funded projects such as the project title, project summary, impact summary, names of all investigators, project dates, amount awarded, names of project partner organisations etc.

4.2.14 **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.

Awards cannot be made for work that has already been done. Your proposed start date must 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.

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

- The suitability of the opportunities which the project will make available to support the development of the research staff on the project.

For Leadership Fellows schemes only

- Your ability or potential to set research agendas, lead research communities, provide intellectual leadership in your own discipline and beyond
- Your ability or potential to act as an advocate for the value and benefit of the arts and humanities to publics beyond academia
- The extent to which the proposed Fellowship would fit within relevant institutional/departmental research, career development and knowledge exchange strategies, as appropriate.

5.2 Proposed Leadership Activities (for Leadership Fellows only)

- The appropriateness of the plans for leadership development activity and their transformational potential, considering the applicant's career stage. The extent to which the proposed activities are proactive and innovative.
- The extent to which the institution has already demonstrated support for the leadership development of the proposed fellow and has outlined a clear programme of appropriate support both during the fellowship and beyond.

For Early Career Researcher Route only:

- The relevance of the research project and leadership development activities to your career development.

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.

Section 5: Assessment Criteria and Peer Review

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.

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.

Section 5: Assessment Criteria and 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 the Je-S 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.

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5.8 Peer Reviewer grading scale

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

5.8.1 Generic

Score	Description	Definition
6	Exceptional Should be funded as a matter of the very highest priority	Work that is at the leading edge internationally, in all of the assessment criteria – scholarship, originality, quality and significance, and meets the majority of them to an exceptional level. Likely to have a significant impact on the field. The proposal's evidence and justification are fully and consistently provided and management arrangements are clear and convincing.
5	Excellent Should be funded as a matter of priority, but doesn't merit the very highest priority rating.	Work that is internationally excellent in all of the assessment criteria – scholarship, originality, quality and significance, and meets them to an excellent level. Will answer important questions in the field. The proposal's evidence and justification are fully and consistently provided and management arrangements are clear and convincing.
4	Very Good Worthy of consideration for funding	Work that demonstrates high international standards of scholarship, originality, quality and significance. Will advance the field of research. It meets all assessment criteria. The proposal's evidence and justification are good and management arrangements are clear and sound.
3	Satisfactory In a competitive context, the proposal is not considered of sufficient priority to recommend for funding	Work that is satisfactory in terms of scholarship and quality but lacking in international competitiveness. It is limited in terms of originality, innovation and significance and its contribution to the research field. It meets minimum requirements in terms of the assessment criteria and the proposal's evidence and justification are adequate overall.
2	Not Competitive Not recommended for funding	Work that is of inconsistent quality with some strengths, innovative ideas and good components, but has significant weaknesses or flaws in its conceptualisation, design, methodology and management. Unlikely to advance the field significantly. It does not meet all scheme assessment criteria.
1	Unfundable Not suitable for funding	A proposal that has an unsatisfactory level of originality, quality and significance. Has limited potential to advance research within the field and may be unconvincing in terms of its management arrangements or capacity to deliver proposed activities, especially for the amount of funding being sought. Unlikely to advance the field. It falls short of meeting the assessment criteria for the scheme

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5.8.2 Leadership Fellows

Grade	Description	Definition
6	Exceptional Should be funded as a matter of the very highest priority	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. A convincing case is made that the proposed Fellowship has outstanding leadership and transformational potential, commensurate with the applicant's career stage. A proposal will only be scored at this level if both the research and leadership elements of the proposal are considered to be at this level.
5	Excellent Should be funded as a matter of priority, but doesn't merit the very highest priority rating	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, demonstrates strong institutional support and management arrangements are clear and convincing. A convincing case is made that the proposed Fellowship has excellent leadership and transformational potential, commensurate with the applicant's career stage. A proposal will only be scored at this level if both the research and leadership elements of the proposal are considered to be at this level.
4	Very Good Worthy of consideration for funding	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. A convincing case is made that the proposed Fellowship has leadership and transformational potential, commensurate with the applicant's career stage. A proposal will only be scored at this level if both the research and leadership elements of the proposal are considered to be at this level.
3	Satisfactory In a competitive context, the proposal is not considered of sufficient priority to recommend for funding	A satisfactory proposal in terms of the overall standard of scholarship and quality, but which is not internationally competitive and/or does not make a fully convincing case that the proposed Fellowship has significant leadership and/or transformational potential, commensurate with the applicant's career stage 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

Section 5: Assessment Criteria and Peer Review

		and justification for the proposal and management arrangements are adequate overall.
2	Not Competitive Not recommended for funding	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.
1	Unfundable Not suitable for funding	A proposal which falls into one or more of the following categories: <ul style="list-style-type: none"> • 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 field of research • potential outcomes or outputs that do not merit the levels of funding sought • is unconvincing in terms of its management arrangements or capacity to deliver the proposed activities. • displays inadequate institutional support • does not make a convincing case that the proposed Fellowship has leadership and transformational potential commensurate with the applicant's career stage • contains insufficient proposals for relevant collaborative activities

5.8.3 Follow-on Fund for Impact and Engagement

Score	Description	Definition
6	Exceptional Should be funded as a matter of the very highest priority	An exceptional and innovative proposal meeting the highest quality and standards of knowledge exchange, active dissemination and/or public engagement, which targets new audiences, leading to significant impact. All assessment criteria are fully met with full and consistent evidence and justification provided for the proposal in terms of concept, design, methodology and management.
5	Excellent Should be funded as a matter of priority, but does not merit the	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.

Section 5: Assessment Criteria and Peer Review

	very highest priority rating	All assessment criteria are fully met with full and consistent evidence and justification provided for the proposal in terms of concept, design, methodology and management.
4	Very Good Suitable for funding	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. All assessment criteria are fully met with full and consistent evidence and justification provided for the proposal in terms of concept, design, methodology and management.
3	Satisfactory Not recommended for funding	A satisfactory proposal in terms of the overall quality and standard knowledge exchange, active dissemination and/or public engagement and likely to lead to some impact. Assessment criteria for the scheme are met and reasonable evidence and justification for the proposal are provided in terms of concept, design, methodology and management, but which in a competitive context is not a priority.
2	Not Competitive Not suitable for funding	A proposal of inconsistent quality and standard of knowledge exchange, active dissemination and/or public engagement which is unlikely to lead to any significant impact. Has some strengths, but also contains a number of major weaknesses or flaws in its concept, design, methodology and/or management. Does not meet all the assessment criteria for the scheme.
1	Unsatisfactory Not suitable for funding	A proposal of an unsatisfactory quality and standard of knowledge exchange, active dissemination and/or public engagement with no significant impact. Does not meet the assessment criteria for the scheme and offers no satisfactory evidence and justification for the proposal.

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:

Section 5: Assessment Criteria and Peer Review

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
- 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). If a proposal is rejected at sift stage 2 it will not be made available for PI Response. A few weeks after the sift decision the reviews will however be made available to the PI and RO via Je-S for information purposes.

5.11 Technical review

Where the proposal requires completion of the Technical Plan attachment (see *Technical Plan*, Section 4.2.9.5 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 our open schemes the applicant will be given the right of reply to the reviews received, with the exception of the Research Networking scheme and Follow-on Funding proposals under £30,000. The Principal Investigator (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.

Section 5: Assessment Criteria and Peer Review

The PI Response should be submitted by the Principal Investigator (PI) wherever possible. However, if the PI is unavailable and the proposal contains Co-Investigators (Co-Is) the PI can delegate the response submission to one of one of the Co-Is, who will need to be given access in order to view the proposal. In order to delegate submitting the response, the PI should contact the Je-S Helpdesk on 01793 44 4164 for further advice.

All PI Responses should be submitted through Je-S; please see the Je-S System Help - Peer Review (Applicant Response) for further information. The PI response for Research Grants, Leadership Fellows and Follow-on Funding must be no more than of three pages of A4, in Arial font no smaller than size 11. Normal margin sizes of 2cm must be used. There is no PI response for the Research Networking scheme or Follow-on Funding proposals under £30,000.

For schemes that 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 you need to submit your PI response by. These details vary according to the scheme and the number of reviews you have received so it is important to read the email carefully. Please note that the AHRC will not chase for overdue PI responses and it is the PI's responsibility to ensure they submit their Response within the period allowed. If your response is not received within the period stated, then your application will proceed without it.

When you have submitted your PI response you will receive an email from Je-S (JeSHelp@rcuk.ac.uk) confirming it has been submitted; the text of the email sent can be found here. This will be sent to your email address registered with Je-S. If the email does not arrive within an hour you should check your spam, and if you have not received it you should contact the Je-S Helpdesk on 01793 44 4164 (staffed Monday to Friday, 9am to 5pm) who will be able to check if the response has been submitted.

Although as mentioned above we recommend that you respond to the reviews, however if you do not wish to submit a response you should log into Je-S to advise us that you do not wish to submit. You should follow the guidance on the Je-S System Help - Peer Review (Applicant Response) – Edit Response.

5.13 Peer review panels

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

Section 5: Assessment Criteria and Peer Review

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 Je-S 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 or not permitted under the scheme rules.

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 level of funding to

Section 6: Award Decisions

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

6.3 Resubmission policy

The AHRC has clarified its rules on resubmissions. An application will normally be rejected prior to review stage (termed 'Office Reject' in Je-S Status Reporting), because of a failure to adhere to AHRC's scheme or call rules. Applicants rejected in this way will be informed of the reasons why their application was rejected and that they are permitted to submit the application again. The notification used in such rejections can be found on our website [here](#).

If the application is rejected at any further point in the peer review process (either following the review stage or the meeting stage) applicants will not be allowed to resubmit the same, or substantively similar, proposal to the same scheme unless explicitly invited to do so in the outcome notification of the proposal. Such invitations will only be given in very particular circumstances. For information, the notifications used in our rejection notification emails are listed on our website [here](#).

Invited resubmissions will be assessed in the usual way in competition with all other proposals. The original notification will advise clearly that the application has been rejected following review or meeting stage and any issues the applicant may need to consider in submitting the proposal again. If the same or similar application to one which was previously rejected following the review stage or the meeting stage is received but which was not an invited resubmission, it will be rejected.

6.4 Monitoring

6.4.1 Research outputs, outcomes and impact

If successful, you will be required to submit outputs, outcomes and impacts linked to your award through the Researchfish system. Information can be added to Researchfish at any point once the grant has been made and beyond its conclusion. Although you can add information to Researchfish at any time you will be required to submit this information to AHRC at a point during the year which will be communicated in advance to all Research Organisations. This allows for a deeper and longer-term record of the results of AHRC funding. Researchfish is available at <https://www.researchfish.com/>; researchers will need to create an account in order

Section 6: Award Decisions

to sign in and start submitting outcomes. More details on Researchfish are available on the RCUK website: <http://www.rcuk.ac.uk/research/researchoutcomes/>.

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.

6.4.2 Financial Reporting

As part of the terms and conditions of an AHRC award, your Research Organisation will be required to submit a final expenditure statement (FES) no later than three months after the end of the award period. Final expenditure statements are made available in the Research Organisation's Je-S account as soon as the end date of the grant has been reached. The Research Organisation will need to complete and submit the statement using Je-S. Further information on submitting final expenditure statements through Je-S can be found [here](#) and clicking on 'Expenditure Statements', either for FEC or non-FEC grants. For further help with submitting final expenditure statements please contact the Je-S Helpdesk on 01793 44 4164 or email JeSHelp@rcuk.ac.uk.

Please note that it is the responsibility of the Research Organisation to monitor when the FES is due and to submit on time accordingly. The Je-S system will automatically provide reminders of FES due dates but the AHRC will not notify grant holders or Research Organisations directly.

If a final expenditure statement has not been received within 3 months of the end date of the grant AHRC will recover 20% of the funds paid to the grant. The AHRC's grants system will automatically remove this from future pay runs to the Research Organisation or will raise an invoice for the Research Organisation to pay. If the FES has still not been received within 6 months AHRC will recover all funds paid to the grant. This is a policy in place across all Research Councils; please see the [RCUK Terms and Conditions](#) for more information. Research Organisations may appeal against sanctions but appeals must be received within 60 days of the pay run in which the sanction was imposed at the latest.

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 [here](#).

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

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- ensure that research staff and students develop research, vocational and entrepreneurial skills that are matched to the demands of their future career paths
- take responsibility for the 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 position on Access to Research Outputs

<http://www.rcuk.ac.uk/documents/documents/rcukopenaccesspolicy-pdf/>

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.

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For proposals that cross Research Council boundaries the Research Councils have put in place the following agreement: <http://www.rcuk.ac.uk/funding/fundingagreement/>

7.3.1 **Proposal classification**

You are required to classify your proposal as part of the Je-S application. This activity serves partly as a confirmation that the proposal sits within the remit but more importantly as tool to help identify the most appropriate peer reviewers to assess the proposal. 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).

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7.3.2 AHRC disciplines

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

Histories, Cultures and Heritage

Level 1 - Archaeology
Level 2
Prehistoric Archaeology
Archaeology of Literate Societies
Archaeology of Human Origins
Archaeological Theory
Maritime Archaeology
Landscape and Environmental Archaeology
Industrial Archaeology

Level 1 – Classics
Level 2
Classical Literature
Classical Reception
Philosophy, Thought and Religion
Epigraphy and Papyrology
Languages and Linguistics

Level 1 – Cultural and Museum Studies⁸
Level 2
Gender and Sexuality Studies
Museum and Gallery Studies
Cultural Studies and Pop Culture
Policy, Arts Management and Creative Industries
Cultural Geography
Heritage Management
Conservation of Art and Textiles

Level 1 – Development Studies
Level 2
Area and Development Studies

⁸ 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.

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Level 1 – History⁹
Level 2
Cultural History
Political History
Imperial/Colonial History
History of Science/Medicine/Technology
War Studies
Religious History
Economic and Social History
American Studies
Post-Colonial Studies

Level 1 – Information and Communication Technologies¹⁰
Level 2
Information and Knowledge Management

Level 1 – Law and Legal Studies¹⁰
Level 2
Jurisprudence/Philosophy of Law
Human Rights
Criminal Law and Criminology
International Law
EU Law
Public Law
Comparative Law
Common Law, including Commercial Law
Law Regulated by Statute
Law Relating to Property
Legal History

Level 1 – Library and Information Studies¹¹
Level 2

⁹ 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.

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.

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.

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Archives
Records Management
Information Science and Retrieval
Library Studies
Information and Knowledge Management
Computational Studies

Level 1 – Philosophy¹¹
Level 2
Political Philosophy
Philosophy of Mind
Aesthetics
Metaphysics
History of Ideas
Language and Philosophical Logic
Epistemology
Ethics
History of Philosophy
Philosophy of Science and Mathematics and Mathematical Logic
Philosophy of Religion

Level 1 – Political Science and International Studies¹²
Level 2
Diplomacy and International Relations

Level 1 – Theology, Divinity and Religion
Level 2
Old Testament
Modern Theology
Judaism
Islam
Liturgy
Systematic Theology
Church History and History of Theology
New Testament
East Asian Religions
Buddhism
Hinduism
Jainism
Sikhism
Alternative Spiritualities/New Religious Movements
Atheism/Secularism

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.

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Inter-faith Relations
Contemporary Religion

Creative and Performing Arts

Level 1 – Dance
Level 2
History of Dance
Dance Performance
Dance Notation
Social Dance
Choreography

Level 1 – Design
Level 2
Architecture History, Theory and Practice
Design History, Theory and Practice
Digital Art and Design
Product Design

Level 1 – Drama and Theatre Studies
Level 2
Theatre and Society
Dramaturgy
Scenography
Performance and Live Art
Theatre and History
Theories of Theatre
Drama and Theatre - Other

Level 1 – Media
Level 2
Media and Communication Studies
Journalism
Publishing
Television History, Theory and Criticism
New Media/Web-Based Studies
Film History, Theory and Criticism

Level 1 – Music
Level 2
Traditional Music
History of Music
Music and Society

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Popular Music
Composition
Classical Music
Musical Performance
Musicology

Level 1 – Visual Arts
Level 2
<i>Fine Art History, Theory and Practice</i>
<i>Photography History, Theory and Practice</i>
<i>Art Theory and Aesthetics</i>
<i>Community Art including Art and Health</i>
<i>Installation and Sound Art History, Theory and Practice</i>
<i>Ethnography and Anthropology</i>
<i>Digital Arts History, Theory and Practice</i>
<i>Applied Arts History, Theory and Practice</i>
<i>Art History</i>
<i>Design History, Theory and Practice</i>
<i>Film-based media (History, Theory and Practice)</i>
<i>Time-based media History, Theory and Practice</i>

Languages and Literature

Level 1 – Languages and Literature
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

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Gender and Sexuality

Level 1 – Linguistics¹¹
Level 2
Textual Editing and Bibliography
Syntax
Semantics and Pragmatics
Phonetics
Language Variation and Change
Lexicon
Linguistic Theory
Morphology and Phonology
Applied Linguistics
Linguistics (General)

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

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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.

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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 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.

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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 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.

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8 Grant conditions GC1 – GC25

The AHRC adheres to the joint RCUK Terms and Conditions, which are kept updated on the RCUK website, and can be found [here](#).

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.

Leadership Fellows 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 Fellows 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

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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 Other Directly Incurred Cost Heading (and vice versa) provided the organisation incurring those costs change and subject to AHRC approval.

GC 18 Reporting on the Conduct and results of research

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 Researchfish system with details of the outputs, outcomes and impacts of their research. Award holders will be sent information on how to access Researchfish during the first year of their award.

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:

<http://www.ahrc.ac.uk/about/resources/acknowledgingoursupport/>

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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/datapolicy/>

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.

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.

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.

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

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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 here - <http://www.ahrc.ac.uk/documents/guides/training-grant-funding-guide-2015-16/>

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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.

Version Number	Change
2.4	<ul style="list-style-type: none">• Introduction: updated Concordat to Support Research Integrity hyperlink• 1.1.6 PhD Project Students: updated text in line with policy change.• 1.1.7 Archaeology: Radio Carbon Dating: updated guidance with regard to ORADS• 1.2.3 Case for Support – Statement of eligibility: made the text clearer• Individual Scheme sections in addition to 4.2.7 Attachments: added guidance for attachment ‘naming conventions’• 1.4.6 Mentor Statement: Amended paragraph number• 1.6.3 Deadlines: amended text• 1.6.5 Ineligible Activities: amended text• 1.6.14 Outcomes: deleted the line about feedback• 2.1 Open Access: added paragraph• 2.2 International Co-Investigators: added text about RAs• 2.3 Cost Headings: updated paragraph numbers• 3.2.2 Contractual eligibility for investigators: made text clearer

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	<ul style="list-style-type: none"> • 3.2.6 Research assistants: clarified where the RA should be based • 4.2.6 Non-academic partners: amended text • 4.2.7 Attachments: corrected paragraph references • 4.2.7.5 Technical Plan: added page length guidance • 4.2.7.6 Justification of Resources: Requested that PIs cross-reference the headings in the Summary of Resources section with the JoR attachment • 5.7.1 Confidentiality: new section • 6.3 Resubmission policy: updated section • GC4 Starting Procedures: amended to include AHRC with a 3-month delay to starting date from announcement. • GC 23 Publication and Acknowledgement of Support: amended in line with RCUK policy on access to research outputs • 8.2.3 transfers between headings for international co-investigators: added clause to the T&C Annexes
2.5	<ul style="list-style-type: none"> • 1.3 Minimum and Maximum duration for Fellowships for applicants part-time contracts amended
2.6	<ul style="list-style-type: none"> • Amended minor typos • Added clickable links to cross references • Moved scheme-specific Grading Scales to Section 5.8 • Project students • Section 1.4.3 Networking Deadlines: amended text to make start date from submission clearer

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	<ul style="list-style-type: none"> • Section 2 Costs: added text to state that patent and other IPR costs are not eligible for funding • Section 3.2.8 added section for Project Partners and Collaborating Organisations • Section 4.2.7.6 Justification of Resources: added page length maximum • Section 4.2.7.10 Case for Support: clarified size and font type for attachment • Amended Section 4.2.7.9 Letters of Support • 5.8 Peer Review Grading Scale: moved call-specific grading scale for Fellowships and Follow-on Funding for Impact and Engagement to this section. • 6.3 Resubmission Policy: clarified the policy, as we are no longer in a transition period between two policies. • 6.4 Monitoring: clarified text regarding use of ROS • 8.4 Starting Procedures (RCUK T&C): amended text in line with harmonised policy of 3-month delayed start • 8.13 Transfers (RCUK T&C): guidance regarding what funds will be transferred to receiving RO • 8.19 Sanctions (RCUK T&C): clarifying time with which ROs may appeal sanctions applied to them for failure to submit FES on time. • Updated AHRC Annexes to RCUK Terms and Conditions
2.7	<ul style="list-style-type: none"> • Removal of Fellowships scheme and inclusion of reference to stand alone guide for Leadership Fellows scheme.

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2.8	<ul style="list-style-type: none">• Removed Typos• Updated broken RCUK links• 1.4.7 Clarified Research Networking intentions• Updated T&Cs• Updated Co-I information• Updated Project Partner information• Clarified sanctions guidance• Updated Research Outcomes situation information• Updated fund heading names for clarity• Updated other names of Research Council systems for clarity• Added information on Co-I EC Research Grants eligibility
2.9	<ul style="list-style-type: none">• Updated all margin sizes to 2cm
3.0	<ul style="list-style-type: none">• 1.1.3 Updated broken link for International Opportunities and International Researchers policy• 1.5.6 Updated broken link in Follow on Funding Definitions Knowledge Exchange• 4.2.1 Updated broken link to email address for Je-S Helpdesk• 4.2.8.14 Updated broken link for Highlight Notices in footer• 6.5 Updated broken link for AHRC Complaints and Appeals Procedure

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	<ul style="list-style-type: none"> • 7.2 Changed link to RCUK Access to Research Outputs from Open Access • 8 GC23 Updated broken link for Acknowledging our Support • 8 Updated broken link to Student Funding Guide
3.1	<ul style="list-style-type: none"> • 7.1 Updated and clarified section
3.2	<ul style="list-style-type: none"> • Clarified submission rules and resubmission rules • Clarified start date policy
3.3	<ul style="list-style-type: none"> • Added Leadership Fellows rules back into the Guide • 5.13 Clarified PI Response page lengths
3.4	<ul style="list-style-type: none"> • 4.2 Added general information section on highlight notices
3.5	<ul style="list-style-type: none"> • 1.5.8 Clarified section on Justification of Resources • 1.2.3/1.3.2/1.5.4 Updated section numbers • 1.1.7 Updated Radiocarbon Dating Facilities section and updated name from ORADS to NRCF • 5.10 Clarified information on PI Response and sifting
3.6	<ul style="list-style-type: none"> • 5.12 Rewrite of PI Response section to provide further clarity and provide information of the confirmation email sent on submission of the PI Response • Split 2.2 Proposals with an International element into two sections – International Co-Investigators and Other international elements to proposals to increase clarity around the costs

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	<ul style="list-style-type: none"> • 3.3 – added paragraph about making sure international co-Is have a Je-S account and reiterated that proposals will be rejected if they have an international co-I on the proposal but no HoD Statement has been submitted • 6.2 Removed reference to Wakeham following the cessation of this process
3.7	<ul style="list-style-type: none"> • Project Partners: Removed section 2.3.6 Project Partners costs section and referenced to section 3.9 • Updated section 3.9.1 to make Project Partner requirements clear • Created section 3.9.2 to outline differences between project Partners and Collaborating Organisations
3.8	<ul style="list-style-type: none"> • Updated IRO links on RCUK website following change of policy
3.9	<ul style="list-style-type: none"> • Updated sections 1.1.3, 1.5 and 1.67 to remove references to the pilot scheme of allowing International Co-Investigators to this being permanently allowed. • Added new Grading Descriptors to section 5.8
4.0	<ul style="list-style-type: none"> • Updated point 1.5.5 on page 27 to redefine PI eligibility relating to arts and humanities subject domain.
4.1	<ul style="list-style-type: none"> • Section 3.8 - clarify date of PhD award.
4.2	<ul style="list-style-type: none"> • Section 4.2.3 Submission Rules • Updated broken RCUK links