

Higher Education Innovation Fund (HEIF)
Social Sciences Knowledge Exchange Fellowships – Call for Proposals
Additional information for departmental administrators (Call Doc B)
2017/18

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Associated documents:

- Call specification and guidance for applicants (Call doc A)
- Application Form

Enquiries:

Institutional IAA support contacts | Academics are encouraged to approach their local support team in the first instance. The lead contacts for the IAA are follows:

- **University of Oxford** | Research & Impact Team, Social Sciences Division
 - o *First line enquiries* | Francesca Richards, Research Impact Officer
T: 01865 614873 | E: esrciaa@socsci.ox.ac.uk
 - o *IAA operational lead* | Aileen Marshall-Brown, Research Impact Facilitator
T:01865 614881 | E: aileen.marshall-brown@socsci.ox.ac.uk

B.1 Introduction

This document outlines information that may be helpful to administrators involved in processing and submitting applications. It also outlines the responsibilities delegated to departments when projects are awarded. This document is designed to be read in conjunction with the Call specification and guidance for applicants (Call Document A). References such as [see A.x] refer to the sections in this document. Please contact your institutional IAA support with any queries about applications.

The KE Fellowships call is being funded via our divisional HEIF allocation. This means that all Social Sciences Division departments are eligible to apply, unlike the ESRC IAA where applicants must meet the ESRC remit. This call is not open to regional partner universities, unlike the ESRC IAA call.

Briefing session | A briefing session will be held on 05 July 2017 to introduce the schemes, and allow potential applicants to hear from existing award holders and ask questions. For more information on the session, please visit our website at <http://www.socsci.ox.ac.uk/esrciaa/call>. Register for a place at <https://kefundingbriefing.eventbrite.co.uk>.

B.2 Submission process

It is requested that all applications are submitted to esrciaa@socsci.ox.ac.uk by the appropriate departmental or university administrator by the deadline of **5.00pm on 06 October 2017**. Any applications received directly from the academic will not be considered until we have checked that the department is happy for them to be put forward.

Please follow the checklist in section B.9 before submitting applications.

Applicants will be notified of the outcome of their application in **early November 2017**

Results will be issued by email to the PI with the associated administrator copied in.

B.3 Application form [see A.5]

Please check that all relevant sections of the application form are completed (*see summary checklist at B.9*) with the correct Academic Lead and PI details, and double-check that all listed Academic Leads meet the eligibility criteria [see A.3 and A.4].

Non-academic partners should be included in the relevant section rather than in the Academic Lead section.

The total amount requested on the application form should match the figure given in the X5 (Oxford).

B.4 Additional documents [see A.5]

A number of additional documents should be attached with the application form (*summary checklist provided at B.9*). Applications will only be considered if all the requisite documentation is supplied prior to the deadline.

- Please adhere to the page limits.
- Include the PI's name and project title on all attachments.
- Send attachments as Word documents or PDFs. Please scan hardcopy letters to PDF.

The following **additional documents** should be sent with the application. We would appreciate if you could check the documentation before submission for the following:

- **Project proposal** (2 sides max, Arial 11pt or similar, 2cm margins, single spacing)
 - Check the project meets the aims of the funding [see A.2].
 - Check the project meets the selection criteria [see A.7].

- Check that the proposal uses the correct subheadings and formatting guidelines [see A.5].
- **Letter(s) of support from the non-academic partner organisation(s)**
 - Check that the letter refers to the proposal not a previous project.
 - If no letter is provided, check that an explanation for its absence is provided in the proposal.
- **Statement(s) of support from the Head(s) of Department or equivalent** (1 side, maximum)
 - One letter of support should be provided **for each Academic Lead**. In cases with multiple Academic Leads from the same department, a single collective support statement from their Head of Department is adequate.
 - For Institutes/Centres which sit within a department or faculty, support is needed from the **Head of that Department or Faculty**, rather than the Institute/Centre.
 - Where the Head of Department is one of the Academic Leads, the proposal should be approved by either a Deputy Head or Research Director. If you are unsure about this, please contact impact@socsci.ox.ac.uk.
- **Summary CV** (1 side, max) for Early Career KE Fellowship applicants.
 - Check that early career researchers meet the eligibility criteria [see A.3].
- **X5 admin output(s)** showing the FEC project costing. (Please see below for more detailed guidance on completing the costing.)

B.5 Eligible costs [see A.4]

Funding is **not provided on a full economic cost (FEC) basis. Estates and indirect costs are not eligible costs. However, we do require an FEC costing to be provided via your costing and pricing software so that we can report on how much the universities are contributing to the full costs of these projects.**

In addition to the costing output, a breakdown of costs should be included on the application form. The breakdown should be sufficiently detailed for the panel to assess the efficiency, cost-effectiveness and value for money of the proposal without the addition of a separate justification of resources.

1. 'Travel £5000' is not adequate detail whereas '2 X £250 flights to Brussels' is more appropriate.
2. 'Partner costs £10K' is not adequate detail. '10 days event administration @ £250 per day, room hire for 5 events, travel costs for 10 delegates from London and website development costs totalling £10K' is more appropriate level of detail.

Funding for these schemes is <u>not</u> provided on a full economic cost (FEC) basis. Estates and indirect costs are not eligible. <i>Cost type (X indicates eligible cost)</i>	<i>Outgoing KE Fellowships</i>
Maximum budget	£25,000
KE Fellow salary costs, salary buy-out/teaching replacement (<i>DA staff costs</i>)	X (up to £20K)
Project staff costs for admin/RA support (<i>DI staff costs</i>)	X
Travel and subsistence (for researchers, external partners or delegates) (<i>DI other</i>)	X
Project costs (publishing, venue hire, transcription, IT) (<i>DI other</i>)	X
Consultancy/professional fees e.g. for technical experts (<i>DI other</i>)	X
Equipment (<i>DI other</i>)	X

Indirect costs	
Estate costs	

B.6 Completing the X5 Costing (University of Oxford Only)

You should create a **Trial Costing** in X5 ([X5Helpdesk](#)) and produce an **Admin Output (in Excel format)** which should be submitted as an attachment with the application. This costing does **not** have to go through Research Services, so please do **not** submit it electronically via X5.

Your X5 'Project Title' should include the name of the PI. The funder should be listed as '**Generic Funder**' with Scheme name '**Generic – with inflation**'.

- Indirect costs and estates should **not** be included in the final price. On the 'Price' tab and under the 'Actual %' column, set the Indirect, Estates, Facilities and all other ineligible costs to **0.00**.
- If your department or a partner organisation is covering a certain cost (i.e., it is not being requested from the IAA) this should also be set to **0.00**.
- Eligible costs should be set to **100.00**. If the percent defaults to 80, check that you have not selected the ESRC as the funder, and if so, return to the Project Setup and set the funder to 'Generic Funder'.
- Please check that the FEC and FAC are the same – if not then double check that you selected 'Generic – with inflation' at the costing set-up stage.

The total figure in the 'Total Price' column is the amount you are requesting; this should be the figure quoted on the application form.

Category	FEC	FAC	Actual %	Total price	Surplus	Set amount?	Excess to over
DI staff	19,173.32	19,173.32	100.00	19,173.32	0.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>
DI non-staff	3,600.00	3,600.00	100.00	3,600.00	0.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>
DI facilities	0.00	0.00	0.00	0.00	0.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Exceptional items	0.00	0.00	0.00	0.00	0.00	<input type="checkbox"/>	<input checked="" type="checkbox"/>
DI total	22,773.32	22,773.32		22,773.32	0.00		
DA investigators	8,049.70	8,049.70	0.00	0.00	-8,049.70	<input type="checkbox"/>	<input type="checkbox"/>
DA technicians	0.00	0.00	0.00	0.00	0.00	<input type="checkbox"/>	<input type="checkbox"/>
DA facilities	0.00	0.00	0.00	0.00	0.00	<input type="checkbox"/>	<input type="checkbox"/>
DA estates	6,298.24	6,298.24	0.00	0.00	-6,298.24	<input type="checkbox"/>	<input type="checkbox"/>
DA infrastructure technician	0.00	0.00	0.00	0.00	0.00	<input type="checkbox"/>	<input type="checkbox"/>
DA total	14,347.94	14,347.94		0.00	-14,347.94		
Indirect	32,711.06	32,711.06	0.00	0.00	-32,711.06	<input type="checkbox"/>	<input type="checkbox"/>
Overheads				0.00	0.00		
Total	69,832.32	69,832.32	32.61	22,773.32	-47,059.00		

B.7 Departmental Post-Award Responsibilities

The department of the PI will be responsible for providing administrative, financial and HR support throughout the project application, delivery and reporting phases. This may include the financial

management of the grant, negotiating contracts, hiring new support staff or Academic Leads (in the case of new ECRs) and providing desk space as required.

Reporting requirements [see A.9]

The PI(s) are required to submit interim and final reports to the University of Oxford's Divisional Research & Impact Team (impact@socsci.ox.ac.uk). The Research Impact Officer will contact award holders and administrators with reminders closer to the dates that reports are due. We would appreciate your support in ensuring timely submission of reports from award holders in your department/faculty.

Publicising the project [see A.8]

Short summaries of the awarded projects will be prepared in consultation with the Academic Lead(s). These summaries are intended for a lay audience and will be shared via the University of Oxford's Social Sciences Division website. We will provide these materials to administrators in departments and at other partner universities in case they would be useful for publicising projects via your own websites.

Collaboration agreements

It is the responsibility of the department/faculty to ensure that any other necessary collaboration or partnership agreements are drawn up to mitigate any risks associated with collaboration with external partners, confidentiality disclosure, intellectual property rights, etc. The University of Oxford's Divisional Research & Impact Team can offer advice on what might be appropriate for award holders on a case by case basis.

Research Integrity and Ethics [see A.5]

All awards must meet the University of Oxford's current requirements and policy concerning research integrity and ethics. Please ensure that award holders follow the appropriate procedures to meet these requirements.

B.8 Legal and accounting arrangements

In all cases spend should be monitored by the lead department. Any changes to the budgeted breakdown of costs must be authorised by the Social Sciences Division Research & Impact Team. PIs should request a no-cost extension if they require extra time to complete the project or spend the budget, although there can be no extensions beyond 31 July 2018 and any funds unspent at this date will be returned to the funder. Please contact impact@socsci.ox.ac.uk to request any virements between itemised budget headings or to request a no-cost extension.

B.9 Summary Checklist

Please could you check applications for the following pieces of information prior to submission:

Application Form

- All relevant sections completed
- PI and the KE Fellow are eligible and details present
- Non-academic partners are listed in the appropriate section
- Sufficient level of detail has been supplied for requested resources
- Total amount requested equals price on costing
- Ethical review and Code of Practice and Procedure for Academic Integrity in Research box ticked

Project Proposal

- Page limit is not exceeded
- Project meets aims of the funding and selection criteria
- Proposal uses the correct subheadings

Head of Department Statement(s)

- One letter for each Academic Lead (Leads from same department need only provide one letter)
- From correct person (i.e., is NOT from institute/centre head)
- Signed and dated
- Gives support for current activity

Non-Academic Partner Statement(s)

- One letter for each non-academic partner (if not included, must be justified in project proposal)
- Is from contact named on application form
- Gives support for current activity

Costing(s)

- Total price matches amount requested on application form
- No indirect, estates, miscellaneous or otherwise ineligible costs are included
- The rate is set at 100%
- The FEC is equal to the FAC