

Impact Acceleration Account

Knowledge Exchange funding for the Social Sciences – Call for Proposals Additional information for departmental administrators (Call Doc B) 2017/18

Contents

B.1 Introduction.....	2
B.2 Submission process	2
B.3 Regional KE Partnership	2
B.4 Application form [see A.9].....	2
B.5 Additional documents [see A.9]	3
B.6 Eligible costs [see A.7]	4
B.7 Completing the X5 Costing (University of Oxford Only).....	4
B.8 Departmental Post-Award Responsibilities.....	5
B.9 Legal and accounting arrangements	6
B.10 Summary Checklist	7

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
- **The Open University** | Rebecca Coatswith, Research Impact Manager
T: +44 (0)1908 858277 | E: rebecca.coatswith@open.ac.uk
- **Oxford Brookes University** | Dana Vilistere, Research Impact Officer
T: +44(0)1865 484197 | E: dvilistere@brookes.ac.uk
- **University of Reading** | Charlotte Johnson, Research & Enterprise Development Manager
T: +44 (0)118 378 4495 | E: c.d.johnson@reading.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.

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.10](#) 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 Principal Investigator (PI) with the associated administrator copied in.

B.3 Regional KE Partnership

The University of Oxford has formed a **Regional KE Partnership** for the ESRC IAA with the Open University, Oxford Brookes University and the University of Reading. This partnership aims to encourage regional collaboration and development of closer connections with regional stakeholders. The Panel enthusiastically welcomes applications with a Regional KE Partnership component.

Researchers from any of the four Regional KE Partnership universities are eligible to apply for funding under the IAA as Academic Leads and PIs, but all projects must have at least one Academic Lead from the University of Oxford. It is not required that the PI comes from the University of Oxford. See below for more details on contracting and accounting procedures for projects involving regional partners [\[B.9\]](#).

If you have an academic who is interested in finding a partner but isn't sure of the right person to partner with, please ask them to complete the [Expression of Interest form](#) and submit it to esrciaa@socsci.ox.ac.uk by **28th July 2017**. The Oxford IAA team will then try to find a suitable match and will contact the academic with suggestions.

For projects involving the Regional KE Partnership, the institution and department of the PI is responsible for coordinating the proposal submission and for gathering the necessary information and documentation from project partners.

SSD acknowledges that departments have their own internal processes and deadlines for IAA applications. Departments should not feel obliged to support applications that do not abide by these processes or do not meet internal deadlines. For collaborative proposals, please inform other collaborators of your internal requirements in good time. If you have any questions or concerns, please contact us via esrciaa@socsci.ox.ac.uk and we will do our best to assist.

B.4 Application form [see A.9]

Please check that all relevant sections of the application form are completed (*see summary checklist at [B.10](#)*) with the correct Academic Lead and PI details, and double-check that all listed Academic Leads meet the eligibility criteria [\[see A.5\]](#). 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), pFACT (Oxford Brookes, Reading) or AMS/WorkTribe (Open) costing outputs.

Please ensure the correct scheme has been selected on the application form. If a second, related application is also being made, please check the box to indicate this. There are three schemes [see A.3]:

- *Kick-starting Impact Awards – up to £7.5K*
- *Impact Acceleration Awards – Up to £50K*
- *Visiting Practitioner Fellowships - Up to £25K.*

In addition, there is an open call for small grants (up to £2.5K) to fund social sciences-focused knowledge exchange dialogue events (**KE Dialogues Scheme**). These are intended to bring together academic researchers with non-academic stakeholders (policymakers, practitioners, professionals and users) to share knowledge, experiences and perspectives on a topic of common interest and to develop ongoing plans for collaboration. For more information (including the separate guidance document and application form) please see our [website](#).

B.5 Additional documents [see A.9]

A number of additional documents should be attached with the application form (*summary checklist provided at B.10*). 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 that the project fits into the ESRC remit [see A.8].
 - Check the project meets the aims of the funding [see A.2].
 - Check the project meets the selection criteria [see A.4].
 - Check that the proposal uses the correct subheadings and formatting guidelines [see A.8.2].
- **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 HoD 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 your institutional IAA support.
- **Summary CV** (1 side, max) for proposed incoming Visiting Practitioners.
 - There is no need to include CV when the practitioners have not yet been recruited.
- **X5, pFACT or AMS/WorkTribe admin output(s)** showing the FEC project costing. For Regional KE Partnership projects, please provide an FEC costing output from each partner university, even where funding is not flowing directly to a particular department. (Please see below for more detailed guidance on completing the costing.)

B.6 Eligible costs [see A.7]

Funding is not provided on a full economic cost (FEC) basis. Estates and indirect costs are not eligible costs. Academic lead salary costs are also not eligible costs. However, we do require an FEC costing to be provided via your costing and pricing software so that we can report to the ESRC 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 costs <i>Cost type (X indicates eligible cost)</i>	<i>Kick-starting impact</i>	<i>Impact Acceleration Award</i>	<i>Incoming Visiting Practitioner</i>
Maximum budget	£7500	£50,000	£25,000
PI salary costs, salary buy-out/teaching replacement (<i>DA staff costs</i>)			
Academic Lead salary costs, salary buy-out/teaching replacement (<i>DA staff costs</i>)			
Project staff salary costs including external and regional partner staff costs (<i>DI staff costs</i>)	X	X	X
Travel and subsistence (for researchers, external partners or delegates) (<i>DI other</i>)	X	X	X
Project costs (publishing, venue hire, transcription, IT) (<i>DI other</i>)	X	X	X
Consultancy/professional fees e.g. for technical experts (<i>DI other</i>)	X	X	X
Equipment (<i>DI other</i>)	X	X	X
Indirect costs			
Estate costs			

A note on Visiting Practitioner Fellowships (see A.3). Where the buyout of time or consultancy fees for a Visiting KE Fellow is being included in an application, VAT must be included in costs where necessary, as it cannot be recovered. However, please note, value for money is one of the key criterion for this scheme. If you wish to cover their travel and subsistence costs to be in Oxford for the duration of the fellowship we advise against employing the person on an Oxford contract. Please contact esrciaa@socsci.ox.ac.uk for case by case advice on the best way of covering salary costs for incoming Fellows.

B.7 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.

For projects with Regional KE Partner Academic Leads, please provide a costing from each partner institution, even where funding is not flowing directly to a department. Academic Leads from the other Regional KE Partner institutions will need to consult their own institutional IAA support contact for more detailed advice relevant to their institutional costing and pricing system.

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'.

- Do not include costs for Regional KE Partners who will provide their own separate costing for their part of the project.
- PI and Academic Lead time/salary is **not** an eligible cost. But please indicate the time they intend to allocate to the project on the X5 output and set the 'Actual %' on the Price tab to **0.00**. We need this information for the FEC, even though it will not be included in the price.
- 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. If you have budgets from multiple institutions, then the figures on the application form should reflect the combined budget totals.

Category	FEC	FAC	Actual %	Total price	Surplus	Set amount?	Excess to overh
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	100.00	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	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.8 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.12]

The PI(s) are required to submit interim and final reports to the University of Oxford's Divisional Research & Impact Team (esrciaa@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.11]

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

In the case of projects with regional partner involvement, the University of Oxford's Divisional Research & Impact Team will liaise with Oxford's Research Services (HumSoc) Contracts team to set up collaboration agreements, which will outline the responsibilities of the regional partner institutions.

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.9]

All awards made from the IAA fund 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.9 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 University of Oxford 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, or the remaining unspent budget will be returned to the ESRC IAA fund for the benefit of future applicants. Please contact esrciaa@socsci.ox.ac.uk to request any virements between itemised budget headings or to request a no-cost extension.

	Contracts	Finances
Oxford PI OU/Brookes/Reading Academic Lead(S)	<p>If funds are flowing to other project partner institutions, the University of Oxford Social Sciences Divisional Research and Impact Team will be responsible for liaising with Research Services contracts team to set up a contract based on the Brunswick short form which outlines the responsibilities of the regional partner institution.</p> <p>Agreements will be drawn up on a case by case basis.</p>	<p>*The Social Sciences Division Finance team will set up the award as a sub-award of the University of Oxford's main IAA grant. Expenditure on these sub-awards will draw down matching ESRC income to departments at the end of each month. The budget shown on the sub-award will confirm the remaining available funds.</p> <p>Management of the sub-award is delegated to the PI's department, who should follow normal University and ESRC accounting procedures. We will let departments know when the sub-awards have been set up and which cost award and task codes should be used for the project. Project costs should be spent against this budget under the appropriate</p>

		<p>budget cost headings. The lead Oxford department will be responsible for organising payment of expenses incurred by the regional partners in accordance with the collaboration agreement (most likely quarterly in arrears on a costs incurred basis).</p> <p>If no staff costs are being claimed by the regional partner, then departments may choose to use expense claims to reimburse event/travel costs to avoid the need for the more complicated processes. This is at your discretion.</p>
OU/Brookes/Reading PI Oxford Co-PI or Academic Lead(s)	<p>The University of Oxford Social Sciences Divisional Research and Impact Team will be responsible for liaising with Research Services contracts team to set up a contract based on the Brunswick short form which outlines the responsibilities of the regional partner institution as the project lead.</p> <p>Reporting requirements will be included in the contract schedule. Agreements will be drawn up on a case by case basis in liaison with the partner institution's legal teams.</p> <p>The regional partner university will be responsible for any other contracts with external partners but must do so in accordance with the terms and conditions set out by the ESRC and the contract with Oxford.</p>	<p>Funding for the regional partner component of the project will be transferred to the regional partners on a quarterly in arrears on costs incurred basis. Regional partners will be responsible for sending a quarterly itemised invoice to the Social Sciences Division Research and Impact Team (esrciaa@socsci.ox.ac.uk) as per the contract schedule.</p> <p>Funding for the Oxford component of the project will not leave the University and will be administered internally as per the above (*) to avoid unnecessary accounting complications.</p>

B.10 Summary Checklist

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

Application Form

- All relevant sections completed
- PI and Academic Lead(s) are eligible and details present
- At least one Academic Lead is designated as the PI
- At least one Academic Lead is from University of Oxford
- Correct scheme has been selected
- 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 fits into the ESRC remit, 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)

- One costing for each Academic Lead institution
- PI time included in FEC but not price
- 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
- For Visiting Practitioner Fellowships, VAT costs have been included where appropriate.