Grants for Research and Innovation
Guide for grant-holders

Contents

1 Introduction

This guide is for those who have been awarded a research and innovation grant from the Nuffield Foundation. It does not apply to grants made under capacity building programmes such as Q-Step and Nuffield Research Placements, which have their own guidance.

The guide sets out our typical approach to managing grants, including procedures for invoicing and payment, our expectations for the production and communication of grant outputs, the correct way to acknowledge the Foundation, and requirements for reporting to the Foundation.

If you have any questions about your grant then this guide should be your first port of call. However, if after consulting the guide you are unclear about how to proceed then please contact your grant administrator (see section 5).

As you will know from the application process, all grants have a 'principal investigator' (PI) who has overall responsibility for the project and who is the main point of contact with the Foundation throughout the grant period. The PI must be based at the institution which is awarded the grant (the 'host institution'). This guide uses the term 'grant-holder' as a general term to include both the PI and the host institution.

All grant-holders are bound by our *Terms and conditions*, which are appended to this guide (Appendix B).

2 Starting your grant

2.1 Confirmation of award

The *Confirmation of award* letter marks the date the grant is formally awarded, even though the start date for your project may be several weeks or months later.

If you have not yet received your *Confirmation of award* letter then you should refer to the *Guide for applicants*, which provides information on all prior stages of the application process.

2.2 Publicising the award of your grant

Once a grant has been formally awarded we will create a project page on our website setting out the basic details of the grant, based on the *Front page summary* in your *Full application*. As the grant progresses, we will update the page to include links to your own project website (where relevant), publications and other outputs from your grant, and links to any relevant news and media coverage.

We may also include details of your grant in a list of new grants sent to Times Higher Education (THE), and in our e-newsletter.

You may want to publicise the award of your grant, for example by issuing a press release, publishing details on your personal or host institution's website, on social media, or blogs. We welcome and encourage such publicity, but if you are issuing a press release, you must ensure that **a)** the Foundation is correctly acknowledged and **b)** you send it to our Communications Manager at least two working days in advance of it being distributed so that we can ensure the Foundation is correctly acknowledged (see section 3.6.3).

If you are setting up a project page on your institution's website, or a new website or microsite solely for your project then you must acknowledge the Foundation. This means at least one written reference to the fact that your project is funded by the Foundation and, where possible, using our logo alongside this acknowledgement with a hyperlink to our website (see section 3.6.1) for guidance on wording and Appendix A).

For details on the appropriate form of acknowledgement and process for publicising the outputs from your project, please refer to sections 3.5 and 3.6.

3 Managing your grant

3.1 Submitting invoices

Invoices should be submitted quarterly in arrears, and must be accompanied by a table setting out actual expenditure against the agreed budget categories. All invoices should be sent by email to your grant administrator (see section 5 for contact details).

All invoices should use the same budget categories as those set out in the spreadsheet sent out with the *Confirmation of award* letter. Common reasons we reject or query invoices are:

- No breakdown has been included.
- The breakdown uses different budget categories to the ones agreed.
- It is unclear which budget category a cost should come from.
- Spending in a category is significantly faster or slower than anticipated (e.g. in the original budget) without a satisfactory explanation.
- The costs on the invoice do not add up.
- Expenditure has been incurred outside the period of the grant.

We will not make final payment for projects until your main report has been published (see section 3.5.4), and we reserve the right to withhold up to 10% of the grant amount for this purpose.

3.2 Changes to your project and applying for amendments

The PI must seek permission from the Foundation in advance of making any changes to the project, such the project design and delivery (e.g. changes to recruitment procedures, sampling strategy, sample size/coverage, analysis plan, availability of data, desired amendments in response to early findings), personnel, timetable, budget (including budget categories), proposed outputs, and project start and end dates. This applies even where there are no budgetary implications. You must also notify us as soon as possible if you fail to gain access to research facilities or samples, or to gain ethical approval.

When requesting permission to make changes to your project you must include the reasons for the change(s) and details of any implications for other aspects of the project such as timetable or outputs. Changes to your project may require revised proposals, and we reserve the right to revise, retain or terminate grants in light of changes made.

3.2.1 Budget transfers (virements)

You cannot move expenditure between the approved budget categories without permission from the Foundation, even if to do so would be cost neutral. To request permission for a budget transfer (virement), you (the PI) must email your grant administrator, stating the reasons for the transfer request, the exact amount(s) you want to vire, and the category/ies you want to vire these amounts from. It is often easiest to set out virement requests in a table like the example below, which shows a request to transfer funds *from* the Research Assistant staff budget, equipment budget and the photocopying and postage budget *into* the PI staff costs budget and the travel budget:

Budget category	**Total budget**	**Virement request**
Staff cost – PI	£9,212	£850
Staff cost – Research Assistant	£65,771	- £800
Travel	£1,600	£500
Photocopying and postage	£400	- £100
Equipment	£1,200	- £450
Total	**£78,183**	**£0**

3.2.2 Appointment of staff and changes to named staff

You (as PI) must consult us in advance of any changes to named staff working on the project. If new staff join the project you must submit their CV(s) to the Foundation.

We will not normally pay for staff to be appointed at, or promoted to, a higher level than that approved by Trustees. If staff are appointed at lower levels, we reserve the right to retain the balance. Our agreement must be sought in advance before anyone whose time is funded by the grant is registered for a higher degree.

3.2.3 PI or other project staff moving institutions

As PI, you must inform us immediately if you intend to move to another institution during the course of the grant. We will then discuss with you whether a new PI should be identified or whether the award should be transferred to your new host institution. If we permit the transfer, you must arrange for the original host institution to send a closing financial statement to the Foundation, and for the new host institution to provide a statement agreeing to the Foundation's *Terms and conditions* and to administer the remaining grant. Only then will we send a new *Confirmation of award* to the new host institution for the balance remaining on the grant. Please bear in mind that the new award may be subject to different conditions to the original award.

If other project staff move institution then the PI must inform the relevant grant administrator, even if that staff member's contribution to the project is unchanged and there are no cost implications. You must also notify us if a member of the team leaves the institution *and* the project, even if another named member of staff takes on their work.

3.2.4 Costs of absent project staff (including parental leave)

It is generally the responsibility of the host institution to bear the costs of project staff who are absent from the project as a result of parental leave, caring responsibilities, or long-term sickness. If any of these situations arise, please contact your grant administrator as soon as possible to discuss any potential implications for your grant.

3.2.5 No-cost extensions

It is important that all the work to be undertaken under your grant - including the publication of your main report and implementation of the bulk of your communications plan – are completed by the end date of your grant. If your timetable has slipped and the end date is no longer accurate, you should request a **no-cost extension**, with your grant administrator, as soon as you are clear about what would be realistic.

Requests for no-cost extensions must be submitted well in advance of the existing end date, in writing (i.e. by email), detailing the reasons and implications, as well as the proposed revised end date. We are not liable for any costs incurred after the agreed end date, so it is to the grant-holder's advantage to ensure any extensions are agreed in advance. Where an end date is extended, the deadline for the *End-of-project assessment* (see section 4.2) is extended by the same amount of time.

3.2.6 Unforeseen costs and supplementary grants

Our expectation is that grant-holders will keep within the agreed budget, and if necessary request virements between budget categories to make adjustments (see section 3.2.1). If it is not possible for the additional costs to be met by a virement, we will consider requests for supplementary funding. In the first instance, you should submit a rough budget, timescale, reasons for the supplementary request, and any additional work that the funding would cover. If we think you have a potential case for additional funds, we will ask you to submit a formal request, usually in the form of a letter, setting out the detailed case for the additional funding requested, and a budget table. We may also ask you to submit your request as a *full application*.

Requests for supplementary funding usually need to be approved by Trustees and there is no guarantee that they will be granted. However, we recognise that unexpected costs are not necessarily the result of poor planning and may arise due to unforeseeable circumstances, or represent an opportunity to enhance a project. The key thing is to discuss it with us at the earliest opportunity.

3.3 Interim reports to the Foundation

Depending on the nature and length of the grant we will require interim reports during the course of the project. The number and timing of interim reports will be set out in your *Confirmation of award* letter.

Interim reports should be no longer than three pages and should give an account of progress to date, problems and successes, and any circumstances that have led to a departure from the work specified in the original proposal (even though you will already have sought our permission for these). Your final interim report should also include an updated communications plan (see section 3.5.1 for more guidance on communications planning). Interim reports are for internal use by the Foundation and will not be made public.

3.4 Intellectual property and copyright

The host institution is responsible for the identification, protection and exploitation of any intellectual property rights arising from the grant. The PI must notify the Foundation immediately if intellectual property rights of more than £10,000 are expected or likely, or arise unexpectedly. The host institution or PI must not dispose of intellectual property rights of £10,000 or more without the written permission of the Foundation. In exceptional circumstances, the Foundation may seek to recoup more than the cost of the original grant.

Where the Foundation makes a grant for the writing of a book or other scholarly work, copyright is retained by the author unless agreed otherwise in advance. In the case of joint funding the assignment of copyright should be agreed before a grant commences. The Foundation must be consulted about royalties totalling more than £10,000, and separate arrangements will apply.

3.5 Communications about your project and its findings

The best way to communicate about your project and its findings will vary from project to project according to its specific objectives and audience. The guidance in this section is designed to help you plan the communication activities most appropriate for your project for your project, as well as to make it clear what our requirements are.

There are a number of common requirements that all grant-holders must adhere to when communicating findings. These are summarised in the list below and then discussed in more detail:

- An updated communications plan **must be submitted as part of your final (or only) interim report** (see section 3.3). If your project is under 12 months and does not require an interim report then you must submit an updated communications plan when you submit your main report.
- Communications **should be an integral part of your project throughout**, not just at the end (see section 3.5).
- All grant-holders **must communicate their findings via the most appropriate means** such as publications, seminars, conferences, media, and social media (see section 3.5.2).

- All research and evaluation projects **must produce at least one report which is freely and publicly available** (referred to in this guide as the ‘main report’). The report must be submitted to the Foundation prior to its publication (see section 3.5.4).
- The Foundation’s funding **must be acknowledged in all outputs from the project**, including reports, journal articles, press releases, presentations, project websites, and blogs. This includes using the Nuffield Foundation logo where appropriate (see section 3.6 and Appendix A).
- If you are issuing a press release you must give the Nuffield Foundation advance notice and sight of it **at least two working days** before it is distributed and, where possible, advance notice of likely media articles or appearances (see section 3.6.3).

If at any point you want to discuss communications, including ways we can help, then please contact the Communications Manager (see section 5).

3.5.1 Your communications plan

Effective communication, including extensive dissemination of your findings, is essential if you want to maximise the impact of your project. We often receive questions from grant-holders about communications, and the information provided in this section is intended to address those common questions with the aim of helping grant-holders draft and implement an appropriate communications plan. However, the suggestions and techniques here are by no means the only way of doing things and will not be appropriate for every single project.

You will have already set out a broad communications plan in your *Full application*, although we recognise that this may change over the course of the grant. When you start to have a clear idea of your project’s findings and implications for policy and practice, you will need to review and flesh out this communications plan. Your updated plan must be submitted to the Foundation as an integral part of your final interim report (see section 3.3). If your project is less than 12 months duration and does not require an interim report then you must submit an updated communications plan when you submit your main report. You should set out clearly how you will communicate the findings from your project, including details of your objectives, your key outputs, messages, audiences and timeframes. You should also highlight any changes to your communications approach that we have agreed since the *Full application.*

When planning your communications activity there are a number of key things to consider:

- What are your **communications objectives** (as distinct from your research objectives)? The fundamental objective will usually be to communicate your findings to your target audience(s), but there may be others beyond that. For example it is unlikely that you just want people to *know* about your findings – you want them to *act*. Is there a specific policy or practice area you are trying to influence? If so what needs to happen next? Do you need to make a clear call to action for that group? This may be different according to the audience, for example you may be trying to convince a policy-making audience of the need for policy change as well as making a convincing case to research funders for the need for greater investment in this area.
- What are your **key messages**? These need to be set out in a simple, concise way using non-technical language as far as possible.

- Identify your **target audiences**. These could be diverse and will probably have different needs and priorities. They could include civil servants, parliamentarians, NGOs, think tanks, practitioners, other researchers, journalists and the general public. You may need to tailor your key messages for each audience, depending on what you want them to do.
- For each audience, identify the most appropriate **channel** for getting the message to them. This could be meetings, seminars, conferences, email, social media, press release, blog or vlog, or podcast. In deciding this, consider the needs of your audience. You need to make it as easy as possible for them to engage with your message. Using the channels they are most familiar with and responsive to will help.
- What are the measures by which you will evaluate whether or not you have met your communications objectives?

Your plan should include deadlines, responsibilities and costs. These should be in your original budget, but if your plans have changed during the course of your project then you can request a supplementary grant to cover communication costs (assuming that a virement is not feasible). However, any request for a supplementary grant for this purpose must demonstrate how the additional expenditure will increase the impact of the project. There is no guarantee of additional funding.

3.5.2 Communicating about your project while it is underway

Your communications planning should not focus solely on dissemination and engagement at the end of your project. You should also consider ways you can engage stakeholders at key points throughout the project, and identify opportunities for contributing to relevant policy and/or practice debates as and when they arise. For example:

- Make best use of your advisory group (if your project has one). Make sure you keep them informed on the progress of your project even if you are not asking them to do something specific such as review a report or paper. The more they know about the project the more likely they are to act as informal ambassadors for it in their contact with others.
- Look ahead at the policy agenda in the relevant area. Are there any select committee inquiries? Or consultations? Have you let the relevant civil servants know about your project? You do not need to wait until you have findings to engage with the policy process. Getting it on the radar of the right people as early as possible will make it easier to engage with them when your recommendations are ready. You can usually sign up for email alerts for select committees on the Parliament website (www.parliament.uk/), and for news of relevant consultations on the www.gov.uk website.
- As mentioned in section 2.2 the Foundation will set up a project page for your project. You should also make sure the project is referenced on your profile page on your institution website. Make sure that people know where the latest information about your project can be found. We are happy for that to be your page on the Foundation's website, but please help us to keep it up to date by letting us know of all developments relevant to your project.

3.5.3 Events

As part of your communications planning you may identify a need for a workshop, seminar, roundtable, or similar event(s). These events could be formative, designed to inform your project while ongoing, or events designed to disseminate and discuss findings from your project. Regardless of the purpose of your event, there are a number of key factors to consider when planning:

- **Objective:** What is the primary objective of the event, or in other words, what do you want to get out of it? For example, do you want to stress-test emerging findings? Or do you want to disseminate your findings and discuss their implications for policy and practice? Or is it an event to publicise a ‘product’ of your project such as a book or training materials? These are not always mutually exclusive, and you may have more than one objective in holding your event. The important thing is to be clear what the purpose is ***before*** you start thinking about who to invite, or when and where to hold your event.
- **Audience:** Who is your target audience for the event? How many people do you want to invite? What do you want them to *do* after attending your event (is there a call to action?) Do you have up-to-date contact details for all of them? What is the best format, duration, time of day, and location for them?
- **Format:** If it is a formative event then you may want to prioritise the discursive element. If you have a lot of complex information to present then you may need to focus on presentations, although you should always allow time for questions. Think about whether you need someone to chair the event and ask them as early on as possible. Securing an effective chair will not only enable your event to run smoothly but can also – if they are well regarded in the sector – act as a draw to attendees. Do you want a single presentation? Or several? Will you invite specific people to respond and/or have an audience Q&A? Would a panel debate be useful? Will the event be held under the Chatham House Rule? What materials will be available for attendees e.g. reports, presentation hand outs, and will these also be available online afterwards?
- **Timing:** Invitations need to be sent out at least six weeks in advance of the event. At that point you should also have the chair and most of your speakers confirmed. When scheduling your event, think about what the most convenient time of day is for your target audience. You should also be realistic about the overall length of your event i.e. how long people can take away from their workplace, how long you can hold their attention, and how much you can fit in to your scheduled slot. Events frequently overrun and it is often the discussion (which can be the most valuable part) that suffers as a result. Speakers should always do a timed rehearsal, and you should brief your chair to be strict on timekeeping. Make sure you include sufficient comfort/refreshment breaks.
- **Venue:** Again, the needs of your audience should be the key factor in deciding your venue. Where are they travelling from? Do you need disabled access? Does the venue need to provide catering? What are the audiovisual facilities?

This list is not exhaustive; it is intended only as a generic starting point when planning an event. We are happy to provide more specific advice on holding an event related to your project, for example by advising on format, suggesting possible speakers and invitees, and publicising where appropriate. Please contact your grant administrator in the first instance.

Events held at the Foundation

In some circumstances it may be possible to use the Foundation's offices in central London to hold an event. Due to the limited availability of our meeting rooms, we cannot guarantee this, but if you are interested then raise it with your relevant grant administrator at the earliest opportunity. If, following an initial discussion, we agree to hold an event at the Foundation, we will send you more detailed information and a booking form.

Before enquiring about the possibility of holding an event at the Foundation please be aware:

- We can accommodate 40 people for a seated event with a buffet lunch, up to 60 for a seated event without lunch, and up to 80 for a standing event with light refreshments. However these numbers are indicative only; and the actual capacity for your event will need to be agreed with your grant administrator before invitations are issued.
- We expect grant-holders to lead on organising the event and managing it on the day. This includes sending out invitations and preparing all materials relating to the event. However, we will need to be consulted on the proposed format for the event, including speakers and invitees, and be given the opportunity to check all materials before they are finalised.
- If the event is to launch a particular report then you must have submitted it to us for review at least six weeks in advance.
- Due to the constraints of the Nuffield Foundation's listed Georgian building, we are unable to provide access or facilities for wheelchair-users. People with mobility needs should contact the Foundation for guidance in advance of visiting the building. We are aware that disabled access is an important factor in choosing a venue and that the lack of it makes the Foundation a less than ideal venue.
- The Foundation has a hearing loop in part of the main seminar room.

3.5.4 Publishing your findings

Preparing your main report

All research and evaluation projects must produce at least one report which is freely and publicly available, and which covers all aspects of your project. The format and length of the report is flexible depending on the particular project and the relevant audience(s). There is no standard template, and neither is there a minimum or maximum word length. However, **your report must include a summary**, available both at the front of the report and as a separate, self-contained PDF.

Your report must include:

- An executive summary that provides the lay reader with a clear understanding of the main findings and their implications for policy and practice.
- Details of the project's objectives and a discussion of the extent to which these were met.
- Description of the project's methodology.

- Your key findings.
- Details of the implications and recommendations for policy and practice, and what you think needs to happen next.
- An acknowledgement of the Foundation's funding (see section 3.6).

Your report, particularly your explanation of key findings, and the summary if applicable, must be written in way that is accessible to a lay audience. That doesn't mean 'dumbing down', but does mean including a simple description of your project and its findings, as well as more technical detail where required.

Getting feedback from the Foundation

You must submit your report to the Foundation prior to publication so we have the opportunity to comment. You should do this at a stage when all other feedback from any advisory group or peer reviewers has been incorporated (where relevant) and it has been copy-edited. However, please bear in mind that our feedback may require you to make changes to the report, both in terms of the content and the presentation, and you will need to allow time to do that. So that you can plan effectively, we will aim to send any feedback to you within three weeks of receipt. To enable us to do the same, you must let us know in advance when you plan to send us the report.

Your report should be submitted as a Word document as it is easier for us to provide feedback in that format. You should convert it to PDF for its final publication.

Quality assurance

We would normally expect the report to have either been peer reviewed, or commented on in detail at draft stage by an advisory group. Although the Foundation will review the report, it is not in any way responsible for its content or its quality.

Publishing your report

Unless otherwise agreed, the host institution is responsible for publishing the report. In practice that means that the PI, and not the Foundation, is responsible for all aspects of producing and disseminating the report, including making sure it is available on the host institution's website. Where relevant, the report should comply with the host institution's branding and style guidelines, although we require the Foundation's funding to be acknowledged (see section 3.6).

Although the host institution is responsible for publishing the report, we will ensure it is also available on the Foundation website and work with you to disseminate it and communicate your findings more generally.

Other outputs

The requirement to produce a report does not restrict you in any way from producing other outputs. On the contrary, we encourage you to consider the most appropriate outputs for your target audience(s) as part of your communications planning. It may be that alongside your report you publish journal articles, presentations, blog posts, podcasts or videos.

During your grant, you must notify us in advance of publication of all outputs related to your project. This is so we can ensure the Foundation is appropriately acknowledged and have the opportunity to provide feedback. Once the grant has ended we require you to keep us informed of any further outputs relating to your project and to send us copies (where relevant) within three months of publication.

We recognise that for some other outputs such as journal articles, production timescales can be too long to make publication before the end of the grant feasible. For that reason we ask that any key journal articles are at least *submitted* (as opposed to published) by the end of the grant (although this does not stop you from submitting additional journal articles after the grant has ended.

Reporting on non-research and evaluation projects
It may be that publishing 'findings' in the form of a written, public, report is not an appropriate model for your project, for example if your project is more of a practical one. If you feel that is the case, then it is your responsibility to raise this with us so that we can agree a more appropriate reporting approach. But our expectation is that whatever the project, there will need to be a public record of what was delivered and what the impact was.

3.6 Acknowledging the Foundation

The Foundation must be acknowledged in all outputs resulting from your project, and in all communications about your project, such as press releases (see section 3.6.3), media appearances, presentations, web pages, seminars and conferences. The guidance in this section aims to provide a model for acknowledging the Foundation in the most common types of output. However, there will always be outputs outside these examples. If you are unsure about how to acknowledge the Foundation's role in your project then please contact our Communications Manager (see section 5).

3.6.1 Standard acknowledgement

We have two standard texts for acknowledging the Foundation, a full version and a shorter one.

The full version of our acknowledgement is:

The Nuffield Foundation is an endowed charitable trust that aims to improve social well-being in the widest sense. It funds research and innovation in education and social policy and also works to build capacity in education, science and social science research. The Nuffield Foundation has funded this project, but the views expressed are those of the authors and not necessarily those of the Foundation. More information is available at www.nuffieldfoundation.org

The full version is the default for written outputs such as reports. The most appropriate place is the acknowledgements section, but it can feature elsewhere if your report does not have a separate section. Our logo should appear alongside or underneath the acknowledgement and not on the front cover unless we specifically request it (see section 3.6.4 and Appendix A).

The shorter version of our acknowledgement is:

This project was funded by the Nuffield Foundation, but the views expressed are those of the authors and not necessarily those of the Foundation.

The shorter version can be used in instances where the output is much shorter, for example in standalone summaries, in journal articles, and in presentations. You should use the logo alongside if there is space but there is no requirement to do so.

3.6.2 Acknowledging the Foundation in books

In situations where you use findings from your Nuffield–funded research in a book, or chapter in a book, then the Foundation should be acknowledged. As a minimum, please use the shorter version of the acknowledgement text above.

If a book is based wholly on research funded by the Foundation then our preference is to include our logo on the back cover. Of course, this is subject to the agreement of the publisher. Please raise this with your publisher at the earliest opportunity and put them in touch with our Communications Manager to arrange the details (see section 5).

3.6.3 Press releases

If you are issuing a press release at any point during your project, either to announce the funding, or to accompany and promote any output at any stage, then you must **a)** ensure your press release acknowledges the Foundation's funding and **b)** that it is sent to the Foundation's Communications Manager at least two working days in advance of it being distributed. Where possible you should also let us know in advance of any likely newspaper articles (online and print), blogs, social media campaigns, or media appearances.

If you are drafting a release, please refer to the project being funded 'by the Nuffield Foundation' in one of the early paragraphs. You should also include the full acknowledgement (section 3.6.1) in the notes to editors.

3.6.4 Using the Foundation's logo

We ask grant-holders to use the Nuffield Foundation logo alongside the acknowledgement in reports on work funded by the Foundation. Other instances where you should use it are:

- On Powerpoint presentations (this does not need to be on every slide)
- On websites or webpages that feature your project (if possible the logo should have a hyperlink to our website)

Please refer to Appendix A for guidelines on using the Foundation's logo.

4 Towards the end of your grant

4.1 By the end date of the grant

By the end date of the grant the PI is responsible for ensuring that:

- All expenditure relating to the grant has been incurred (see section 3.1).
- The main report has been published and your communication plan implemented (see section 3.5). The Foundation will not make final payments until the main report is published, and reserves the right to withhold up to 10% of the grant amount for this purpose.

The PI must notify the Foundation as soon as possible if he/she will be unable to comply with these requirements. In these instances the PI is usually eligible to apply for a no-cost extension (see section 3.2.5).

4.2 After the end date of the grant

After the grant ends, the PI is responsible for ensuring that:

- All invoices relating to the grant have been submitted within six months of the end of the grant. Balances unclaimed after six months will be retained by the Foundation.
- The *End-of-project assessment* is submitted, using the *End-of-project assessment* form downloaded from our website (www.nuffieldfoundation.org/how-apply). We prefer to receive this around six months after the end date of the grant. The due date is stated in the *Confirmation of award* letter, although in some cases we may agree a later date. In the assessment, you should provide a brief account of the project, a summary of its main findings, and an assessment of how far it has achieved its objectives. The *End-of-project-assessment* is solely for internal use by the Foundation and it is separate from the main report (see section 3.5.4).

5 Key contacts

Grant administrators:

Children and Families, Economic Advantage and Disadvantage, Finances of Ageing, Law in Society, and Open Door: Alison Rees: (arees@nuffieldfoundation.org)

Education: Hannah Broad (hbroad@nuffieldfoundation.org)

Early Years Education and Childcare: *Either* Alison Rees *or* Hannah Broad (determined at application stage and remaining constant over the course of the grant).

Communications Manager:

Fran Bright (fbright@nuffieldfoundation.org)

Appendix A: Guidelines for using the Nuffield Foundation logo to acknowledge funding

We ask grant-holders to use the Nuffield Foundation logo alongside our standard written acknowledgement in outputs from projects funded by the Foundation, for example:

- Your publicly available report.
- Presentations.
- Websites/pages featuring your project. In these instances the logo should be hyperlinked to www.nuffieldfoundation.org.

We do not expect our logo to appear in journal articles, although a written acknowledgement must be included. For full guidance on how to acknowledge the Foundation's funding, see the *Guide for grant-holders*.

If you have any questions about when or how to use the Foundation logo, contact the communications manager Fran Bright at fbright@nuffieldfoundation.org.

Measurements

The logo must be reproduced from original artwork supplied by the Nuffield Foundation (not copied from our website).

To ensure our logo is always clear and legible, it should not be reproduced any smaller than 50 mm from left to right.

50mm

Variations

The default version is green and grey on a white or very pale background (as above). Where the logo needs to appear on a coloured background, a reversed white version can be used (as below).

Exclusion zone

The logo should be used within an area of clear space. In the example below, the solid grey area surrounding the logo indicates the exclusion zone, which should be equal in size to half the height of the seed motif.

Written acknowledgement

In reports (not presentations or websites), the logo must appear inside the document alongside our standard written acknowledgement. It can appear above or below the text, depending on the layout of your acknowledgements page (or equivalent), for example:

The Nuffield Foundation is an endowed charitable trust that aims to improve social well-being in the widest sense. It funds research and innovation in education and social policy and also works to build capacity in education, science and social science research. The Nuffield Foundation has funded this project, but the views expressed are those of the authors and not necessarily those of the Foundation. More information is available at www.nuffieldfoundation.org

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Appendix B: Terms and conditions

The following are the Nuffield Foundation's ("the Foundation's") standard *Terms and conditions* for research and innovation grants. **Before** applying for a grant the principal investigator ("PI") and the organisation that will be administering the grant (the "host institution") must check that these *Terms and conditions* are acceptable. Both the PI and the host institution are required to provide a statement confirming their acceptance of these *Terms and conditions* when the *Full application* is submitted. We will then ask the host institution to reconfirm acceptance of the most recent *Terms and conditions* in response to the *Notice of award* or *Conditional award,* including acknowledgement that in doing so. The PI is also bound by the *Terms and conditions* as are any co-investigators on the grant. The host institution or PI must therefore ensure that any co-investigators are made aware of and observe their responsibilities under these *Terms and conditions*. More detailed guidance on some of the conditions and the terminology used within this document is available in the *Guide for applicants* and *Guide for grant-holders*.

1. The PI and the host institution are responsible for completing the work detailed in the *Full application* and for incorporating any amendments agreed prior to the *Confirmation of award*. The PI and the host institution are also responsible for ensuring that grants are used solely for these purposes.

2. The PI and host institution must ensure that potential conflicts of interest are declared and subsequently managed. Conflicts of interest that are known at the time of application must be declared within the *Full application* while those that arise subsequently must be declared as soon as they become evident.

3. The host institution must ensure that all necessary ethical committee approvals, agreements about access, animal licences and requirements of regulatory authorities and other local governance frameworks are in place before the work begins and are maintained for the duration of the grant. The PI must notify the Foundation immediately of failure to gain access to research facilities or samples, or to gain ethical approval, or if any access, or legal or regulatory requirements, lapse or are revoked during the course of the grant.

4. The host institution must ensure that adequate business continuity plans are in place to ensure that operational interruptions to the research are minimized.

5. It is the responsibility of the host institution to manage the resources on the grant, including staff, and ensure that the grant is appropriately resourced for the duration of the project. The Foundation is not responsible for the employment of any staff associated with the grant or for their terms and conditions of employment, or for providing appropriate facilities for the work undertaken as part of the grant.

6. The host institution shall be liable for and shall indemnify the Foundation in full against any expense, liability, loss, claim or proceedings arising under statute or common law in respect of personal injury to or death of any person whomsoever or loss of or damage to property whether belonging to the Foundation of otherwise arising out of or in the course of or caused by the activities of the grant.

7. The Foundation reserves the right to withhold funding or terminate an award at its sole discretion if the PI, the host institution, or any staff funded by the grant are in breach of any of these *Terms and conditions* or become unfit, unwilling or unable to pursue the work funded by the grant, or if the host institution becomes insolvent or goes into any form of liquidation. Where a grant is terminated notice will be served one month prior to termination during which time the project should be wound up in discussion with the Foundation, and after which no further costs will be met. In cases of substantial non delivery of the project the Foundation may also seek repayment of its funding.

8. In the event these *Terms and conditions* are breached the Foundation also reserves the right to preclude the PI from applying for further funding and to notify the head of department at their host institution.

9. Neither the PI nor the host institution shall assign any of the rights and obligations arising under these *Terms and conditions* to another party without the prior written approval of the Foundation.

Changes to the project

10. The PI must seek permission from the Foundation in advance of making any changes to the project, including but not limited to, the project design and delivery, personnel, timetable, budget (including budget categories), proposed outputs, and project start and end dates. Failure to do so may result in revision or termination of the grant, and the Foundation reserves the right not to fund work that we have not agreed should be undertaken.

11. The PI must inform the Foundation immediately if he or she intends to leave the host institution during the course of the grant. Decisions about transferring an award from one institution to another or changing the PI, rest with the Foundation. In the event that an award is transferred, different *Terms and conditions* may apply.

12. The Foundation will not normally provide funds for staff to be appointed at, or promoted to, a higher level than that approved by Trustees. If staff are appointed at lower levels the Foundation reserves the right to retain the balance.

13. The Foundation will not provide funds to cover costs incurred as a result of project staff being absent from the project as a result of parental leave, caring responsibilities, or long-term sickness.

14. The PI must notify the Foundation in advance of seeking any financial support for the project from other sources. The PI must notify the Foundation immediately if any such request is successful.

Budgets and financial monitoring

15. The PI and the host institution (and not the Foundation) are responsible for ensuring proper financial management of the grant and accountability for the use of charitable funds. Grants from the Nuffield Foundation should be treated as 'Restricted Funds' for accounting purposes.

16. The grant must be drawn down quarterly in arrears and must be accompanied by a table setting out expenditure against the same budget categories used in the spreadsheet sent out with the *Confirmation of award* letter.

17. In exceptional cases where the Foundation has agreed prior to the *Confirmation of award* that grant payments can be paid in advance, the *End-of-project assessment* should be accompanied by a full financial statement, which relates actual expenditure to the original budget described in the application. Any money that has been paid in advance but remains unspent must be repaid within 30 days of the *End-of-project assessment.*

18. Any significant collaboration with other institutions must be detailed in the application. If it is not, and VAT becomes payable on the services provided by a collaborating institution, the Foundation reserves the right not to fund the VAT element of those costs.

19. The Foundation will fund salary increases arising from cost of living increases and/or routine spine point increases up to a ceiling of 5% per annum in total (with respect to the relevant budget category). These costs should be included in the budget of the *Full application*, but the Foundation will only fund actual costs.

20. Equipment with a value of less than £5,000 that is funded by a grant is donated to the host institution for the use of the project, and remains the property of the host institution afterwards. The Foundation is not responsible for the housing, maintenance, insurance, or movement of any equipment either during or after the project. In cases where the equipment costs more than £5,000 and was purchased exclusively by the Foundation, the Foundation must be consulted about its disposal, and in any disputed case will have the final say.

21. All expenditure must be incurred by the end date of the grant as specified in the *Confirmation of award* or as subsequently revised in agreement with the Foundation. Final claims must be submitted no later than six months after the end date of the grant, after which the Foundation will retain any unclaimed grant balances. The Foundation is not liable for funding any costs incurred after the end date of the project.

Dissemination, intellectual property, copyright and acknowledgement of the Foundation

22. All research and evaluation projects should produce at least one report which is freely and publicly available and produced in accordance with the requirements specified in the *Guide for grant-holders*. The Foundation will not provide the final funds for projects until

the report is published and disseminated in accordance with the agreed communications plan, and reserves the right to withhold up to 10% of the award amount for this purpose

23. PIs must inform the Foundation about all published outputs and give advance notice of all media releases relating to the grant within the timeframes specified in the *Guide for grant-holders*. PIs must also adhere to the requirements outlined in the *Guide for Grant-holders* regarding use of the Foundation's logo and acknowledgement of the Foundation's funding in all media releases and all published outputs.

24. The Foundation does not allow the title "Nuffield" to be attached to a post, unit or project paid for from a grant without its prior written agreement.

25. Unless otherwise agreed, the Foundation requires all primary quantitative data collected in the course of a project to be deposited at an appropriate archive within one year of the completion of the grant.

26. The host institution is responsible for the identification, protection and exploitation of any intellectual property rights arising from the grant. The PI must notify the Foundation immediately if intellectual property rights of more than £10,000 are expected or likely, or arise unexpectedly. The host institution or PI must not dispose of intellectual property rights of £10,000 or more without the written permission of the Foundation. In exceptional circumstances, the Foundation may seek to recoup more than the cost of the original grant.

27. Where the Foundation makes a grant for the writing of a book or other scholarly work, copyright is retained by the author unless agreed otherwise in advance. In the case of joint funding the assignment of copyright should be agreed before a grant commences. The Foundation must be consulted about royalties totalling more than £10,000, and separate arrangements will apply.

Reporting to the Foundation

28. It is the responsibility of the PI to keep the Foundation informed of progress of a project and particularly of important findings or emerging problems.

29. For grants lasting 12 months or more, the PI is required to submit annual interim reports as specified in the *Confirmation of award* and in accordance with the requirements outlined in the *Guide for grant-holders*. Interim reports are for internal use only.

30. After the grant has ended, the PI must submit an *End-of-project assessment* using the *End-of-project assessment form* (which can be downloaded from the Foundation website) and in accordance with the requirements outlined in the *Guide for grant-holders*. The assessment must be submitted by the agreed due date. The *End-of-project assessment* is for internal use only.

Data protection

31. The Nuffield Foundation is registered under the Data Protection Act 1998 and complies with its principles and provisions. Information submitted to the Foundation by applicants and reviewers is stored securely and lawfully processed. All staff are aware of the confidentiality of the data. The Nuffield Foundation is not subject to the Freedom of Information Act.

32. The Foundation will use information submitted and collected as part of its application process to: meet auditing requirements; contact applicants, reviewers, and others named in the application; administer its grant-making process; publish lists of grant-holders and summaries of funded projects; and to undertake internal review and evaluation of its grant-making processes.

33. PIs, named project staff and host institutions are deemed to have given consent to the Foundation to process data related to applications by submitting an *Outline* or *Full application*.