



# Research Funding Guide

# Changes to AHRC Responsive Mode Funding Opportunities in 2023

Updated April 2023

Throughout 2023, the Arts and Humanities Research Council (AHRC) will be implementing changes to our responsive mode funding opportunities.

## AHRC's responsive mode funding opportunities

- Research Grants (both the standard and early career routes)
- Research Development and Engagement Fellowships (both the standard and early career routes)
- Research Networking
- Follow-On Funding for Impact and Engagement

## Why we are making these changes

The changes that are being implemented are a direct result of our analysis of these schemes. Feedback from engagement with diverse voices from our community has underlined:

- the value of responsive mode opportunities
- the need for such funds to be more flexible and better aligned to the needs of all our researchers and their research ambitions, and we are responding to their challenges

## Improvement for our community

The new offering will provide for a wider range of research formats and provide greater flexibility for research ideas. It will also offer provision for larger and more ambitious projects, which acknowledge the increasing cost of research.

## Supporting talent

The changes will help support emerging arts and humanities talent, by offering new and expanded provision for start of career and early career researchers. The changes will embed the principles of the [Researcher Development Concordat](#) and [UKRI Technician Commitment](#).

The new offering will enable greater support for the development of researchers at all career points and throughout their careers, providing a clear pathway of support for research ideas as they develop and expand. It will also offer more experienced researchers greater scope to meet their ambitions.

## **Improving reach of our funding recipients**

These changes will help to increase the breadth of the researchers supported by our funding such as more career stages, more career paths and more researchers, as well as the types of research organisations in receipt of our funding.

The focus of this change is the mechanism of our grant funding, rather than a fundamental shift in how we operate or in our vision and strategy.

As set out within the commitments in our [Strategic Delivery Plan](#), our funding must:

- support diversity within the research community
- enable career development
- fund the best ideas wherever they are found

We will continue to:

- fund outstanding research
- support world class researchers in the arts and humanities
- remove barriers to accessing our funding
- support and provision for research connectivity within the UK and internationally and to the principles of robust and independent application assessment

## **Changes to responsive mode opportunities in 2023**

There will be two new opportunities launched alongside a revised opportunity that will meet the needs of the research community in a clearer pathway.

### **New and refreshed opportunities**

#### Curiosity awards

AHRC will launch a new flexible award which funds curiosity driven research, networking activity and idea generation, which enables the development of further research opportunities and new research agendas. These awards will support teams, networks and solo researchers.

Funding available will be for projects with a total cost between £1 and £100,000.

#### Catalyst awards

AHRC will launch awards to support researchers without prior experience of leading a significant research project, with the aim of accelerating their trajectory as independent researchers and build leadership experience. The awards will provide applicants with an opportunity to support their own skill development and the skill development of research staff employed on the award.

Funding available will be for projects with a total cost between £100,000 and £300,000.

#### Research Grants standard route

The AHRC will increase the upper funding limit from £1.0m to £1.5m (100% FEC) to support more ambitious projects and enhanced team development as well as accommodate the increased costs of research. Funding available will be for projects between £300,000 and £1.5m. The lower funding limit will be increased from £50,000 to £300,000 as the new catalyst and curiosity opportunities offer support to projects below £300,000.

These three new pathways are designed to meet the changing needs of our researchers in a clear and coherent suite of responsive mode opportunities, which means that we will close some of our current schemes:

#### Follow-On Funding for Impact and Engagement

At this time this opportunity will remain unchanged, though the work achieved by the new opportunities may lead to a future review.

### **Opportunities closing**

#### Research Grants early career route

The core aims and objectives of the existing targeted early career route will transfer to and will be incorporated within the catalyst awards opportunity, offering more flexibility for sole-scholar and for collaborative research. The early career route in its current form closed to applications on 29 March 2023.

#### Research Development and Engagement Fellowships

The aims and objectives of the existing standard route will be incorporated within the new catalyst awards opportunity. The aims and objectives of the targeted early career route will be incorporated within the new curiosity awards opportunity.

In its current form, this opportunity closed to applications on 29 March 2023.

#### Research Networking

The aims and objectives of this opportunity will be incorporated within the new curiosity awards opportunity and in its current form will close to applications on 29 June 2023. (All applications received between 1 March and 29 June 2023 will be assessed via an assessment panel rather than peer review and moderation panel.)

Development of our new funding opportunities is ongoing, and we look forward to announcing further details in May on the [UKRI funding finder](#) and our website.

## Transition from Joint Electronic Submissions (Je-S) system to the new Funding Service

Throughout 2023, the AHRC will transition from Je-S to the new UKRI grants system, the Funding Service.

Read more about the new system and how we will transition to the Funding Service [here](#).

Details of the transition will be published as and when they are available in the [AHRC research funding guide](#) and on the relevant funding opportunity pages of the [UKRI funding finder](#).

This transition is part of UKRI's [Simpler and Better Funding programme](#), which is creating a single, consistent user-centred Funding Service.

To enable the transition to the Funding Service, there will be a period where we are unable to accept applications. See the ‘Changing always open funding opportunities’ section below for further details.

## Making changes to ‘always open’ funding opportunities

Our aim is to make changes to ‘always open’ funding opportunities in a way that gives applicants certainty as to how to apply, how their applications will be processed and how they will be assessed.

‘Always open’ funding opportunities will have a more consistent set of application questions and assessment criteria across and within councils as part of a harmonised responsive mode. This harmonisation will result in applicants having a new and simplified experience when writing and submitting proposals to UKRI’s funding opportunities.

The introduction of a new grants system presents us with an opportunity to implement changes to funding opportunities at the same time as the transition. This will reduce the number of points at which change is applied and make it easier for our research community to manage.

AHRC will be launching responsive mode funding opportunities as consecutive rounds with defined closing dates, using UKRI core assessment criteria and questions. Applications may be submitted at any time whilst a round is open. Further details on the rounds can be found on the relevant funding opportunity pages of the [UKRI funding finder](#) and also our website [here](#)

## Timeline

The changes and system transition will be implemented as follows:

Date	Event
29 March	<p>These opportunities will <b>temporarily close</b> to applications -</p> <ul style="list-style-type: none"> <li>• Research Grants (standard route)</li> <li>• Follow-On Funding for Impact and Engagement</li> </ul> <p>These opportunities will <b>permanently close</b> to applications -</p> <ul style="list-style-type: none"> <li>• Research Grants (early career route)</li> <li>• Research Development and Engagement Fellowships (both routes)</li> </ul>
May	Further details of the new curiosity and catalyst award opportunities will be published along with information on the revised Research Grants opportunity.
22 June	<p>Round 1 of these opportunities will <b>open</b> in the Funding Service -</p> <ul style="list-style-type: none"> <li>• Research Grants standard route</li> <li>• Follow-On Funding for Impact and Engagement</li> </ul>
29 June	<p>This opportunity will <b>permanently close</b> to applications -</p> <ul style="list-style-type: none"> <li>• Research Networking</li> </ul>

July	Round 1 of these new opportunities will <b>open</b> in the Funding Service – <ul style="list-style-type: none"> <li>• curiosity awards</li> <li>• catalyst awards</li> </ul>
14 September	Round 1 of these opportunities will <b>close</b> in the Funding Service - <ul style="list-style-type: none"> <li>• Research Grants standard route</li> <li>• Follow-On Funding for Impact and Engagement</li> </ul>
End September	Round 2 of these opportunities will <b>open</b> in the Funding Service - <ul style="list-style-type: none"> <li>• Research Grants standard route</li> <li>• Follow-On Funding for Impact and Engagement</li> </ul>
October	Round 1 of these new opportunities will <b>close</b> in the Funding Service – <ul style="list-style-type: none"> <li>• curiosity awards</li> <li>• catalyst awards</li> </ul> Round 2 of these new opportunities will <b>open</b> in the Funding Service – <ul style="list-style-type: none"> <li>• curiosity awards</li> <li>• catalyst awards</li> </ul>

We will provide at least 8 weeks' notice when these opportunities will open or reopen in the new Funding Service.

During the transition period – between opportunities being closed and new opportunities launching – we will not be able to accept applications.

We know that research funding proposals take time to complete, and we do not intend to disadvantage applicants. We remain contactable for queries and requests, including those relating to these published deadlines.

When changes are announced there can be an uplift in applications under previous terms being submitted. We are announcing these planned changes now to give researchers the confidence in our ongoing commitment to responsive mode research and so that applicants can make an informed decision on when to submit. Whilst some applicants may wish to submit slightly earlier than originally planned, other applicants may wish to wait to apply when opportunities re-open in the new Funding Service.

## Further information and contact details

Further information on these changes will be published in this guide and on [this page](#) of our website and within the relevant funding opportunity pages of the [UKRI funding finder](#).

Ask a question about the changes to the opportunities though note that we won't have the full details of the Curiosity and Catalyst schemes until May.

Email: [enquiries@ahrc.ukri.org](mailto:enquiries@ahrc.ukri.org)

Ask a question about using the Funding Service

Email: [support@funding-service.ukri.org](mailto:support@funding-service.ukri.org)

## Version Control

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

Version	Date	Changes
5.9	25/01/2023	<ul style="list-style-type: none"><li>• Added contact details for TFS in Completing Proposal section (Section 4)</li><li>• Added Historical geography to classifications (Section 7)</li><li>• Added changes to AHRC responsive mode funding opportunities (page 2)</li><li>• Added additional information in the offer acceptance and payment section to the start date (section 6)</li><li>• Added information on the changes to responsive mode schemes under each current scheme (Section 1)</li></ul>
6.0	26/04/2023	<ul style="list-style-type: none"><li>• Updated Human Geography in the joint AHRC and ESRC remit statement (Section 7)</li><li>• Updated broken links in International Opportunities (Section 1)</li><li>• Added definition of 'data' under Data Management Plan (Section 4)</li><li>• Updated AHRC responsive mode announcement (page 2-6)</li><li>• Improved and updated 'Equal Opportunities' section to 'Equality, Diversity, and Inclusion (EDI)' at the beginning of the guide</li><li>• Removed information on Research Grants (ECR route) and Research Development and Engagement Fellowships (both routes) (All sections)</li></ul>

Should you find any typos or broken hyperlinks please notify [enquiries@ahrc.ukri.org](mailto:enquiries@ahrc.ukri.org)

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## 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.

## 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 [AHRC research outcomes and impact – UKRI](#)

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).

## Equality, Diversity, and Inclusion (EDI)

The Arts and Humanities Research Council (AHRC) is committed to promoting the values of equality of opportunity, diversity and inclusivity.

It is our view that arts and humanities disciplines depend on a diverse range of methods, viewpoints, subjects and approaches in order to continue to thrive and develop. As the Bonn Declaration puts it, freedom of scientific research is inseparable from a plurality of voices. One important way to achieve this is through continuing to fund a diverse range of people and projects. We will work closely with UKRI colleagues to ensure EDI is embedded both at all levels of our organisation and in the portfolio of research that we fund and support. In doing so, we support our vision and contribute and benefit the R&I ecosystem.

When we talk about diversity, we do so with a holistic approach, as outlined in UKRI's strategy 2022-2027 principles of change, which state that UKRI will 'champion a creative and dynamic R&I system by supporting diversity of ideas, people, activities, skills and infrastructures'<sup>1</sup>.

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<sup>1</sup> UKRI strategy 2022 – 2027, p.8

As a UK public sector organisation, we are fully committed to our legal obligations under the [Equality Act 2010](#) legislation and the Public Sector Equality Duty.

We encourage everyone who applies for AHRC funding to consider the importance of EDI within the research they are delivering, the research teams they are working within and the people who engage with their research.

For more information, please look at UKRI's Good Research resource hub EDI guidance here - [Guidance for equality, diversity and inclusion – UKRI](#)

EPSRC have developed an 'expectations for EDI guide' with useful principles and resources to help applicants consider EDI within their research - [Expectations for equality, diversity and inclusion – UKRI](#)

For more information about AHRC's EDI vision, objectives and ambitions please visit our updated EDI Action Plan - [AHRC equality, diversity and inclusion action plan – UKRI](#).

UKRI's EDI strategy serves as a unifying framework for all Council's EDI Action Plans - [EDI strategy and action plans – UKRI](#)

## 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:

<https://www.ukri.org/about-us/policies-and-standards/research-integrity/>

## The Concordat to Support the Career Development of Researchers

The national Concordat to Support the Career Development of Researchers, also known as the Researcher Development Concordat, outlines the key responsibilities of researchers, managers of researchers, institutions and funders with the aim of facilitating 'the very best culture for our researchers to thrive' and 'increase the sustainability of researcher careers in the UK'<sup>2</sup>. UKRI became a signatory to the Concordat in 2019 and subsequently issued its Funder Action Plan. AHRC has issued a Statement of Commitment to the Concordat. You can find these documents here:

<https://www.vitae.ac.uk/policy/concordat>

<https://www.ukri.org/wp-content/uploads/2020/10/UKRI-071020-ConcordatToSupportTheCareerDevelopmentOfResearchersFunderActionPlan.pdf>

[AHRC commitment to support the career development of researchers – UKRI](#)

You are strongly advised to familiarise yourself with this Concordat and its expectations before you apply for an AHRC grant. We also recommend that you refer to the Concordat throughout the

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<sup>2</sup> Please see the introduction to the Researcher Development Concordat. Link above.

lifetime of your grant to ensure that researcher development is built into your project and that you adopt the principles, standards and good practice for the management of research staff set out in the Concordat.

Researchers, project teams and Research Organisations funded by AHRC should refer to the Concordat to Support the Career Development of Researchers for expectations of the training and development opportunities that should be made available to researchers.

We particularly encourage Research Organisations upon receipt of AHRC funding to provide research staff with a statement setting out the provisions for career management and development, including personal skills training, and ensure that they have access to appropriate training opportunities.

We also encourage Research Organisations upon receipt of AHRC funding to follow [AHRC Guidance on Training and Developing Early Career Researchers in the Arts and Humanities](#). The guidance includes sections for managers and for early career researchers too. It is inspired by the Concordat and AHRC's ambition is for the Guidance to be used in supporting all people who identify as early career researchers (ECR) in the arts and humanities community to grow their careers within and beyond academia

## The Technician Commitment

UK Research and Innovation (UKRI) is a signatory of the Technician Commitment, a university and research institution initiative. It aims to ensure visibility, recognition, career development and sustainability for technicians. It is intended for technicians working in higher education and research.

The vision of UKRI is to recognise, celebrate and value the essential contribution that the diversity of technically skilled people make across the UK research and innovation system.

This is outlined in UKRI's Technician Commitment Action Plan [UKRI-040221-TechnicianCommitmentActionPlan.pdf](#)

## Research Involving Animals

AHRC rarely funds research involving animals or which will have direct impacts upon animals. Nevertheless, as a part of UKRI, AHRC is committed to full legal compliance with the Animals (Scientific Procedures) Act 1986 (also known as ASPA) and the principles of the 3Rs: replacing animal research with alternatives, reducing the number of animals used, and refining experiments to minimise harm and discomfort to the animals.

Projects funded by AHRC that require the use of animals must adhere to ASPA and follow the principles of the 3Rs. Where ASPA would not apply to the proposed activities of a project, but the project may have an impact upon animals, AHRC still expects the principles of the 3Rs to be applied. In addition, all AHRC funded projects involving the use of animals or which may impact upon animals must comply with relevant institutional ethics procedures and follow any relevant guidance, codes of conduct, and guidelines.

Applications for projects involving animals or which will have direct impacts upon animals, must explain how ASPA, the 3Rs, and any relevant guidance and guidelines on animal welfare have been considered.

More information on animal use within UKRI funded research can be found here:

<https://www.ukri.org/about-us/policies-standards-and-data/good-research-resource-hub/use-of-animals-in-research/>

## COVID- 19 Guidance for Applicants: Accounting for the unknown impacts of COVID-19 in any new application

UKRI acknowledges that it is a challenge for applicants to determine the future impacts of COVID-19 while the pandemic continues to evolve. Applications should be based on the information available at the point of submission and, if applicable, the known application specific impacts of COVID-19 should be accounted for. Where known impacts have occurred, these should be highlighted in the application, including the assumptions/information at the point of submission. There is no need to include contingency plans for the potential impacts of COVID-19. Requests for travel both domestically and internationally can be included in accordance to the relevant scheme guidelines, noting the above advice. Reviewers will receive instructions to assume that changes that arise from the COVID-19 pandemic, post-submission, will be resolved and complications related to COVID-19 should not affect their scores.

Where an application is successful, any changes in circumstances that affect the proposal will be managed as a post-award issue Mitigating against how COVID-19 has impacted applicants and the risk of projects needing to be abandoned for grants that were already awarded/ongoing before the COVID-19 pandemic UKRI recognises that the COVID-19 pandemic has caused major interruptions and disruptions across our communities and are committed to ensuring that individual applicants and their wider team, including partners and networks, are not penalised for any disruption to their career(s) such as breaks and delays, disruptive working patterns and conditions, the loss of on-going work, and role changes that may have been caused by the pandemic. Reviewers and panel members will be advised to consider the unequal impacts of the impact that COVID-19 related disruption might have had on the track record and career development of those individuals included in the proposal and will be asked to consider the capability of the applicant and their wider team to deliver the research they are proposing. Where disruptions have occurred applicants can highlight this within their application, if they wish, but there is no requirement to detail the specific circumstances that caused the disruption.

## 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:

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

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.

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 practice-based approaches, testing, prototyping, experimental development and evaluation. The outputs of the research may include, for example, monographs, editions or articles; software; 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. AHRC encourages its award holders to widely share their project outputs.

The Council will support research creativity that values knowing through doing and involves an articulation of the internal knowledge in an external format. Creative output can be produced, or practice undertaken, as an integral part of a research process 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.

## **Definitions**

Practice research is the generation of knowledge through practical means. It's a form of research that values knowing through doing and it also involves an articulation of that internal knowledge in an external format. There is an iterative cycle involved, where the research informs knowledge and the knowledge informs doing. Picking up, testing and contesting theoretical ideas along the way. Often artistic concerns lead the research rather than questions around impact.

Knowledge by means of practice and the outcomes of that practice. Positioning the researcher as a creator engaged in an exploratory process to explore the research question. Understanding through application, the study of a researchers own creative process.

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## SECTION 1: FUNDING OPPORTUNITIES

The AHRC offers several modes of funding for postdoctoral academics, including Research Grants, Research Networking and Follow-on Funding for Impact and Engagement. Other, more targeted funding opportunities are also announced throughout the year on the UKRI website: [Funding finder](#)

### 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. The AHRC offers a number of international collaborative research opportunities which are available throughout the year through a number of collaboration agreements with overseas funders as below –

[State of São Paulo Research Foundation \(FAPESP\)](#) , Brazil

[National Science Foundation – Social, Behavioral and Economic Sciences \(NSF/SBE\)](#), USA

[Research Council of Norway](#) (RCN)

[Collaborate with researchers in Luxembourg – UKRI](#) , Luxembourg

[DFG, German Research Foundation - UK-German Funding Initiative in the Humanities](#), Germany

The AHRC allows international researchers to act as Co-Investigators on Research Grants and some other funding opportunities. Further information on this policy can be found in the [Individual eligibility criteria](#) area.

### 1.1 Research Grants

#### Important changes to this scheme

Please note the announcement at the top of this document outlining changes to the Research Grants standard route effective for proposals submitted to us from June 2023 onwards, notably –

- Funding limits changing from £50K - £1.0m to be £300K to £1.5m (at full economic cost)
- As an interim measure we will launch AHRC responsive mode funding opportunities as consecutive submission rounds with defined closing dates whilst the Funding Service continues to develop during the first year or more of its operation.

The Research Grants scheme 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.



## SECTION 1: FUNDING OPPORTUNITIES

Proposals must clearly demonstrate throughout how the potential impacts of the research within and beyond academia (as outlined in the Summary) will be realised.

Taking into account what is reasonable and appropriate given the nature of the research you propose to conduct, you should consider (and address if appropriate) methods for communications, engagement and collaboration to increase the likelihood of achieving impacts. You should outline 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. Innovative and creative approaches are strongly encouraged.

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?

### **Aims**

- to assist researchers in all areas of the arts and humanities to improve the breadth and depth of our knowledge of human culture both past and present
- to support well-defined research projects of the highest quality and standards that will lead to significant advances in creativity, insights, knowledge and understanding, of interest and value both in the research community and in wider contexts where they can make a difference
- to enable arts and humanities researchers to pursue, and to bring to completion in due time, collaborative research projects of the highest quality that require leadership from more than a single scholar. You are required to include a principal investigator and at least one co-investigator jointly involved in the development of the research proposal, its leadership and management and leading to significant jointly authored research outputs
- to enable arts and humanities researchers to establish or enhance effective working relationships with fellow researchers - both within and beyond the arts 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. This should be undertaken in line with the principles of the Researcher Development Concordat (for more information see [Concordat](#) and the [AHRC Guidance on Training and Developing Early Career Researchers in the Arts and Humanities](#)).
- 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.

### **Scheme limit, duration and level of commitment**

The Research Grants scheme accepts proposals with a total full economic cost of between £300K to £1.5m and lasting up to a maximum of 60 months.

## SECTION 1: FUNDING OPPORTUNITIES

The AHRC expects the Principal Investigator and any Co-Investigators to devote an average of at least 4 hours per week to the project. Where the commitment will be less than this it should be explained and justified in the proposal.

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.

### **Deadlines**

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.

### **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.

### **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, including research technical professionals such as research software engineers. The collaboration proposed should be appropriate and necessary to the specific needs of the research project.

### **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.

## SECTION 1: FUNDING OPPORTUNITIES

### 1.2 Research Networking Scheme

#### Important changes to this scheme

Please note the announcement at the top of this document outlining changes to the Research Networking scheme, notably –

- The aims and objectives of this opportunity will be incorporated within the new curiosity awards opportunity and in its current form Networking will close to applications on 29 June 2023

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.

Proposals must clearly demonstrate throughout how the potential impacts of the research within and beyond academia (as outlined in the Summary) will be realised.

Taking into account what is reasonable and appropriate given the nature of the research you propose to conduct, you should consider (and address if appropriate) methods for communications, engagement and collaboration to increase the likelihood of achieving impacts. You should outline 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. Innovative and creative approaches are strongly encouraged.

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

## SECTION 1: FUNDING OPPORTUNITIES

organisational or policy context. What do you envisage will happen after the end of the funding period?

### **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 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.

### **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 fEC over and above the initial £30,000 fEC may be sought to cover costs relating to any international participants, co-investigator or activities. To be able to apply for this additional funding, proposals need to be submitted by an eligible UK Research Organisation and must involve collaboration with at least one other international organisation, as well as have significant relevance to beneficiaries in the UK. Only eligible costs relating to international participants, co- investigator or activities can be included in this threshold of £15,000 fEC.

UK-incurred costs must not exceed the initial threshold of £30,000 fEC. Costs incurred for international activities can exceed £15,000 fEC, so long as the total costs requested do not exceed £45,000 fEC.

## SECTION 1: FUNDING OPPORTUNITIES

### 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 no earlier than 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.

### 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 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.

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 costs section 3 for proposals with an international element and 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, including the international Co-Investigator (where present), 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)

## SECTION 1: FUNDING OPPORTUNITIES

- Costs of UK based workshops involving international participants (for example, room hire, catering).
- Costs of other UK based activities involving international participants

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

All costs must be itemised separately within the budget breakdown section of the application and the costs of any international collaboration clearly indicated. In addition, all costs must be justified in the Justification of Resources attachment.

### **Principal Investigator 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.

### **Co-Investigator eligibility**

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

### **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.

## SECTION 1: FUNDING OPPORTUNITIES

Provided that you meet the eligibility criteria, additional participation from those in other organisations can be as broad as is needed to achieve the aims of the networking (within the budget available) and additional members can be brought in during the course of the award. To meet the scheme's intention of crossing boundaries, activities of participants from beyond the academic community is 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 under Attachments, you should use the following:**

- **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?

- **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?

- **Timetable of activities**

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

- **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.

- **Management and co-ordination**

How will the activities be managed? Will there be an advisory group or steering committee? If so, who are the proposed members and does the membership reflect the constituencies the proposal intends to reach? What will be the roles of the principal investigator, the co-investigator, and other participants? (Please note that you are permitted only one co-investigator under this scheme.)

- **Outputs, Dissemination and Impact**

The Outputs, Dissemination and Impact section is your opportunity to describe in more detail how the potential impacts of the research will be realised. Information under this heading should build on the details given in the Summary and Academic Beneficiaries sections of the Je-S form whilst also elaborating further on other areas of the Case for Support. You should address two main questions: who might benefit from the research and how might they benefit?

Taking into account what is reasonable and appropriate given the nature of the research you propose to conduct, please provide examples of how the proposed research will be managed to engage any users and beneficiaries that have been identified, or to identify potential users and



## SECTION 1: FUNDING OPPORTUNITIES

beneficiaries as the research progresses, and to increase the likelihood of achieving impacts. In presenting your plans, you should tailor and target your dissemination 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.

You should consider (and address if appropriate) methods for communications and engagement, collaboration and development. You should also detail who will be undertaking any dissemination activities and include any resource implications in the financial summary and in the separate Justification of Resources attachment. Please also 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?

### **Justification of Resources Attachment**

In addition to the general requirements for the Justification of Resources listed in within application guidance 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.

### **Data Management Plan**

A Data Management Plan is not required for this scheme

### **Assessment criteria**

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

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



## SECTION 1: FUNDING OPPORTUNITIES

- 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.

### **Assessment and Peer Review Process**

The proposal and peer reviews will be moderated by a third member of the Peer Review College. They will consider the reviewer's comments and allocate a final grade. They 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

### 1.3. Follow-on Funding for Impact and Engagement Scheme

#### **Important changes to this scheme**

- Please note the announcement at the top of this document outlining changes to our responsive mode schemes – and that at this time the scope of this scheme will remain unchanged.
- As an interim measure we will launch AHRC responsive mode funding opportunities as consecutive submission rounds with defined closing dates whilst the Funding Service continues to develop during the first year or more of its operation.

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.

#### **Aims**

- to explore unforeseen 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.

#### **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

### Deadlines

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.

### 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.

### 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.

### 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 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

### Ineligible activities

The Follow-on Funding scheme:

- Cannot be used to support impact activities that have already been taken into account in the original proposal.

## SECTION 1: FUNDING OPPORTUNITIES

- 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.**

### Definitions

Knowledge Exchange is the processes, mechanisms, networks and relationships that enable research activity to move between people, organisations and sectors.

### 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 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 UKRI 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. But note that the investigators and host research organisation must meet the standard eligibility criteria outlined in Section 2 of this guide.
- support innovative 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 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.

## SECTION 1: FUNDING OPPORTUNITIES

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.

### **Non-Academic partners**

In addition to the guidance under Non Academic partners, the following also applies:

- Universities, colleges, further education institutions, related departments or spin-out companies may not participate as non-academic partners.
- University museums and galleries, however, may participate as project partners provided that they are working with a Research Organisation other than or in addition to the Research Organisation with which they are formally linked.

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

Non-academic partners that are providing a significant contribution should be listed in the proposal as 'Project Partners' and should therefore submit a 'Project Partner Letter of Support' with the application. This project partner letter of support should detail the reasons, motivations and commitment to participating in the project. More information on Project Partners Letters of Support can be found under attachments section.

### **Case for Support attachment**

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

#### **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.

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### **Context**

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

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

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

### **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.

### **Timetable**

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

### **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.

### **Collaboration**

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

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

## SECTION 1: FUNDING OPPORTUNITIES

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.

### **Outcomes and impact**

Describe how this project meets the FoF scheme aims and eligibility criteria especially in terms of delivering impact by developing creative and innovative engagements with new audiences and user communities. Who will benefit and how and why does it matter? How 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?

### **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:

### **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

### **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.

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### **Value for money**

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

### **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

### **Principal Investigator response**

The PI Response process applies for proposals over £30K.

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## SECTION 2: ELIGIBILITY

### 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 [Research England](#) , [Higher Education Funding Council for Wales](#) , [Scottish Funding Council](#) and Northern Ireland's [Department for the Economy](#).

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: <https://www.ukri.org/apply-for-funding/before-you-apply/check-if-you-are-eligible-for-research-and-innovation-funding/eligible-research-institutes/#chapter-list>

Other independent research organisations (IROs) and Public Sector Research Organisation (PSREs) 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:

<https://www.ukri.org/wp-content/uploads/2021/03/UKRI-310121-Eligibility-for-UKRI-Research-Council-Funding-V2.pdf>

The current list of eligible IROs can be found at:

<https://www.ukri.org/apply-for-funding/before-you-apply/check-if-you-are-eligible-for-research-and-innovation-funding/eligible-independent-research-organisations/#contents-list>

The current list of eligible PSREs can be found at:

<https://www.ukri.org/apply-for-funding/before-you-apply/check-if-you-are-eligible-for-research-and-innovation-funding/eligible-public-sector-research-establishments/#contents-list>

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

### 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. The PI 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 2: ELIGIBILITY

### 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.

### Contractual eligibility for investigators (PI and CO-I)

#### Contractual arrangement – nature

You must either:

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

b) if not employed by the submitting organisation<sup>3</sup>, have an existing written formal arrangement with the organisation confirming that the research will be conducted as if you were an employee, that is, enables you to carry out research there and receive from the organisation all necessary management and infrastructural support and that commits the organisation to take full responsibility for the research and its proper governance;

Or

c) be scheduled to move to the submitting organisation before the proposed start date of the grant, whether or not the proposal is successful, in such a way that would ensure that criterion a) or b) is met by the time the grant starts<sup>4</sup>.

Please note that you must provide evidence in the application 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.

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<sup>3</sup> 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))

<sup>4</sup> In this case, the affiliation shown for the investigator should be the organisation that would hold the grant.

## SECTION 2: ELIGIBILITY

### **Contractual arrangement – duration**

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 under 'contractual arrangement – nature above');

Or

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

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

### **Individual eligibility criteria**

- The Principal Investigator must be resident in the UK (AHRC follows the government definition of a 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.
- Unless otherwise stated in the relevant scheme or call guidance Professors Emeriti are eligible to apply to AHRC schemes, as long as the contractual conditions outlined above are met. 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 under 'contractual arrangement – nature' above. 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.

### **Co-Investigators**

#### **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, although this is not a requirement. The AHRC expects any Co-Investigators to devote an average of at least 4 hours per week to the project and that time commitment should allow enough time for 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 Research, Development and Engagement Fellowship scheme.

## SECTION 2: ELIGIBILITY

### **Eligibility of Co-Investigator**

The same eligibility criteria apply to Co-Investigators as Principal Investigators.

### **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 Research, Development and Engagement Fellowship scheme, 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 a non-UK 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 in areas relevant to the proposed research. If an international co-Investigator is included in 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 under 'Attachments' – '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 assurance to ROs regarding 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. Principal Investigator) should the UK Principal 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.

## SECTION 2: ELIGIBILITY

### Eligibility of Research Council institute staff

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

<https://www.ukri.org/funding/how-to-apply/eligibility/>

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.

### Research assistants

Research Assistants must be of postdoctoral standing. This means that they should possess either a PhD or have the equivalent research experience.

The responsibilities of the post requested on the project should be commensurate with the level of experience and skills of the proposed Research Assistant (whether named or unnamed).

The AHRC does not fund the employment of researchers who are registered for higher degrees unless the researcher is already of postdoctoral standing and:

- The work of the higher degree is not an integral part of, does not arise directly from, or feed directly into, the work of the project
- The salary costs sought are appropriate and directly related to the actual time the postdoctoral researcher will spend working on the project.

It is expected that the RA will be based at the same institution as an investigator on the research project and a thorough justification as to how the Research Assistant will be supported must be provided where this is not to be the case.

It is also expected that the Research Assistant will be managed and supported in line with the principles of the Researcher Development Concordat and the AHRC Guidance on Training and Developing Early Career Researchers in the Arts and Humanities.

## SECTION 2: ELIGIBILITY

### Project Partners, Collaborating Organisations and Sub-Contractors

In Research Council proposals, the terms Project Partner, Collaborators and Sub-Contractors have specific meanings and cannot be used interchangeably and for all organisations with whom you are collaborating.

#### Project Partners

A third party person who is not employed on the grant, or a third party organisation, who provides specific contributions either in cash or in kind, to the project. These contributions should be clearly identified within the 'Project Partner' section of the proposal; in-kind contributions should be included, even if a rough estimate. Entitlement to the outputs of the project and/or Intellectual Property will be determined between the parties involved, however any access to project outputs and/or IP must be in line with any relevant Subsidy Control regulation. As a rule Project Partners are expected to provide contributions to the delivery of the project and should not therefore be seeking to claim funds from UKRI. However, where there are specific circumstances where Project Partners do require funding for minor costs such as travel and subsistence, this will be paid at 80% fEC unless otherwise stated by us; note that any applicable Subsidy Control regulation and HMRC guidance will also be taken into account which may affect the percentage of these costs that we will fund. These costs should be outlined and fully justified in the proposal and will be subject to peer review.

UKRI Head Office Staff acting in their capacity as a UKRI employee are not eligible to be Project Partners.

Independent Research Organisations (IROs) and Public Sector Research Establishments (PSREs) may participate as project partners provided that they are not an organisation at which the Principal Investigator, Fellow or Co-Investigators are based.

University museums, galleries and libraries may participate as project partners provided that they are not formally linked to an organisation at which the Principal Investigator, Fellow or Co-Investigators are based.

Where IROs, PSREs, university museums, galleries and libraries are the organisation at which the Principal Investigator, Fellow or Co-Investigators are based they may still participate in the project but must be fully costed to the project according to fEC rules, so cannot make contributions in-kind to the project.

Except for the circumstances outlined above UK Higher Education Institutions that receive grant funding from one of the UK higher education funding bodies cannot be project partners, i.e. they cannot make contributions in-kind to the project.

Minor Directly Incurred costs may be requested to facilitate collaboration and these should be costed in line with the fEC of the project. If costs are being charged to the project, then they must relate solely to the activities on the project, and not be part of everyday business for the organisation. For example, travel and subsistence costs should not be charged to the grant, unless it is clearly justified in the proposal that the partner organisation would be unable to contribute to the project without having these costs covered. If all or a substantial amount of the 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 '**Subcontractor**' should be outlined in the Case for Support.

## SECTION 2: ELIGIBILITY

Each Project Partner must provide a Project Partner letter of support 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. Further guidance on the format and content of Project Partner Letters of Support can be found under the Application Guidance section [here](#).

### **Subcontractor**

A third party individual who is not employed as staff on the grant, or a third party organisation, who is subcontracted by the host organisation to deliver a specific piece of work. This will be subject to the procurement rules of the host organisation. All costs that support the delivery of the subcontract are eligible and will be paid at 80% fEC unless otherwise stated, these should be outlined and fully justified in the proposal and will be subject to peer review. Entitlement to the outputs of the project and/or Intellectual Property will be determined between the parties involved, however any access to project outputs and/or IP must be in line with any relevant Subsidy Control regulation.

University museums, galleries and libraries may participate as subcontractors provided that they are not formally linked to an organisation at which the Principal Investigator, Fellow or Co-Investigators are based.

### **Collaborator**

Do not have an official role/descriptor of “Collaborator” as this is a word often generically used in relation to a project, therefore this could lead to confusion. Instead, the term “collaboration” should be used in the generic sense to explain that there is a project relationship or interaction, accompanied with an official project role descriptor of Project Partner, Sub-contractor, PI, Co-I etc to explain the nature of the collaboration.

### **Dual Roles**

An organisation or individual can act as both a Project Partner and Subcontractor, however this must be fully justified and will be subject to peer review. Project partner related costs are expected to be minor. Where the project needs work to be undertaken that is more significant and includes costs other than travel and subsistence, then the organisation/individual may need to be included as both a Project Partner and a Subcontractor.

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## SECTION 3: COSTS

All proposals to all AHRC funding opportunities and 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

<https://www.trac.ac.uk/about/> (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). Therefore as per fEC rules in-kind support is not permitted from any of the UK organisations hosting the Principal Investigator or Co-Investigators, this includes salaries for Principal Investigator or Co-Investigators.

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.

### Open Access

UKRI provides research organisations with block funding for publication costs and as such the Arts and Humanities Research Council does not 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 or Justification of Resources attachments.

NOTE - the revised UKRI Open Access Policy of August 2021 requires that monographs, book chapters and edited collections published from 1 January 2024 to be made open access within 12 months of publication. Costs for these publication types should continue to be included in individual funding applications but please note that as at October 2022 UKRI is reviewing the funding mechanisms for these types, see notes H3 and H4 in the Open Access FAQs [UKRI-110822-OpenAccessPolicyFrequentlyAskedQuestions.pdf](#)

Details of the UKRI Open Access Policy are available on the UKRI website here <https://www.ukri.org/apply-for-funding/before-you-apply/your-responsibilities-if-you-get-funding/making-research-open/>

### Proposals with an international element

For some of our schemes, the AHRC allows costs to be included to support international elements as part of the proposed research. Details of allowable costs are listed in this section where they are further broken down into two parts; International co-Investigators and other international elements



## SECTION 3: COSTS

to proposals. For details of the eligibility required for international co-Investigators please see section 2.

To enable UKRI to meet reporting requirements, all overseas costs incurred by non-UK organisations, must be entered into the Other Directly Incurred costs using the following format:

In the description box you should enter - 'Organisation; Country; Cost Category; Cost Description'.

The cost categories for this are as follows:

- Staff
- Other Directly Incurred Costs
- Indirect Costs
- Travel and Subsistence
- Equipment

E.g:

'University of Nairobi; Kenya; Staff; 1 x PDRA'

'University of Nairobi; Kenya; Travel and Subsistence; 4 x flights'

'University of Nairobi; Kenya; Other Directly Incurred Costs; 5 x Workshops including catering and accommodation'

'University of Nairobi; Equipment; Name of equipment'

### **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 Research, Development and Engagement Fellowship scheme, 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 and entered using the naming format detailed above.

E.g. University of Nairobi; Kenya; Staff; 1 x International Co-Investigator

The reason for requesting costs should be articulated in the Justification of Resources attachment. 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 them, provided they can secure funding for replacement teaching

## SECTION 3: COSTS

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. RAs who are employed by the overseas organisation and who are supporting the work of the international Co-Investigator will be funded at 100% fEC.

### **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). These costs should be listed under Other Directly Incurred Costs and follow the naming format specified. 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:

- UK investigators and co-investigators can request funding for travel and subsistence to visit and/or research in other countries where this is essential to the conduct of the research proposed.
- Non-UK based academics can be part of certain activities associated with a grant where their input is justified and essential to the delivery of grant objectives, for example through being members of an advisory group. Costs such as travel and subsistence associated with this can be included if fully justified.
- Funds can be paid to a non-UK based researcher or expert on a 'consultancy' basis if their expertise is seen to be vital to the success of the project. This would need special justification in the proposal. For example, applicants would need to consider:
  - o Is the expertise available within the UK?
  - o Proportion of the overall costs that the consultancy constitutes (i.e. the majority of the research must still be undertaken by UK based researchers)
  - o Access to research data and IPR: PIs collaborating with overseas organisations in any capacity are required to have assurances in place before the start of the research project regarding access to research data, outputs, resource material, etc. as well as have an understanding of the expectations of the overseas organisation regarding ownership of material Non-UK based consultancy costs would need to be listed under '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

## SECTION 3: COSTS

proposal. For further information please see section [Project Partners, Collaborating Organisations and Sub-Contractors](#).

### Archaeology: Radiocarbon Dating

AHRC provides funding to the National Environment Isotope Facility (NEIF) to allow our research communities to make use of their radiocarbon dating function. If your project requires radiocarbon dates you must, in the first instance, request these from the NEIF. Only in cases where the NEIF confirms they are unable to provide the service required will use of other facilities be considered. All applicants must discuss their requirements with the Director of the Radiocarbon Facility, Dr Rachel Wood [rachel.wood@arch.ox.ac.uk](mailto:rachel.wood@arch.ox.ac.uk), prior to submitting their proposal to AHRC. Further details on the facility and how to apply for dates if your project is successful can be found at <http://www.isotopesuk.org/index.html>

#### Requesting less than 100 radiocarbon dates

If you require less than 100 radiocarbon dates and the NEIF has confirmed they are able to provide the type of service required, you must **not** include the costs for these in your application. However, you must state within your application that you have discussed this with the NEIF, and they are able to provide the service required.

If your proposal is successful you will still need to complete an application to the NEIF panel for confirmation of the dates.

#### Requesting more than 100 radiocarbon dates

If you require more than 100 radiocarbon dates and the NEIF has confirmed they are able to provide the type of service required, you **must** include the costs for these in your application as part of the proposed budget. As with all proposed costs, you should also include justification for the cost of the radiocarbon dating as part of the Justification of Resources. You must also state within your application that you have discussed this with the NEIF, and they are able to provide the service required. If your proposal is successful you will still need to complete an application to the NEIF panel for confirmation of the dates.

#### Cases where the NEIF is unable to provide the type of service required

If the NEIF confirm they are unable to provide the type of service required for the proposed project then costs for the dating must be included in the application and justified as normal.

#### Which calls and schemes does this apply to?

This guidance applies to all the funding opportunities run by AHRC.

We do note, however, that outside of our standard schemes (Research Grants, Research Networking, Research, Development and Engagement Fellowships and Follow-on Funding for Impact and Engagement), some funding opportunities may emphasise skills development or capacity building within the call document. In cases such as these we will consider requests to use other facilities on a case by case basis. We would advise applicants to discuss these cases with

## SECTION 3: COSTS

the AHRC prior to submitting the application. If use of alternative facilities is proposed, then the costs should be included in the proposal and justified as normal.

### Cost headings

All costs should fall under one of the following headings:

#### **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:

#### **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 Research, Development and Engagement Fellowship scheme, 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.

#### **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.

#### **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.

#### **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.

## SECTION 3: COSTS

### **Visas, Immigration Health Surcharge (IHS) and Certificate of Sponsorship:**

AHRC currently allow visa fees to be charged to the grant for all Directly Incurred staff directly employed on the grant for 100% of their time. All visa costs, including IHS and Certificates of Sponsorship, incurred must be a direct result of the person being employed on the grant for 100% of their contracted time and is not extended to family members. All costs must be met within the original grant funding limit.

### **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:

#### **Investigators**

Proposals will need to show the costs of the Principal Investigator and any Co-Investigators even if their time charged to the project is based on estimates rather than actual costs. It is not permitted for Principal Investigators and Co-Investigators to provide their time in-kind, i.e. their salary costs must be charged to the grant.

#### **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.

#### **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.

Technical staff often provide essential support to research projects and should be recognised and costed accordingly. This group of staff include, for example, research software engineers, and other staff supporting data and digital aspects of a project.

#### **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.

## SECTION 3: COSTS

### 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.

### 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.

### Justification of costs

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

- Estates costs
- Indirect costs
- Investigator salary costs (excluding international co-investigator 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.

### 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 3: COSTS

### 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	300,000	1,500,000
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 '[Proposals with an international element](#)' for more information). These costs will be paid at 100% fEC directly to the PI's institution and it is the institution's responsibility to transfer these costs to the international organisation.

Within any particular scheme, with the exception of FoF (See Assessment and Peer Review for the FoF Scheme 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.

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## SECTION 4: APPLICATION GUIDANCE

### Deadlines

From June 2023 and as an interim measure the schemes listed in this guide will operate with consecutive submission rounds with defined closing dates, rather than 'always open'. Applications may be submitted at any time whilst a round is open; you do not need to wait until the closing date. AHRC will begin to process applications as soon as we receive them so, if an application is submitted early in a round, we may be able to provide you with an earlier decision.

Unless otherwise stated in section 1 or the call document, 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. Where the proposal start date falls outside of these rules and should the proposal be successful, you may be asked to change the start date. You should also 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.

### Completing the proposal

#### **The Funding Service (TFS), new grants system**

Throughout 2023 AHRC will offer an increasing amount of its funding opportunities on the new grants system, TFS, rather than on Je-S. In such cases it will be made clear in the applicant guidance which system should be used. Further information about TFS is available on the UKRI website here <https://www.ukri.org/apply-for-funding/improving-your-funding-experience/>

Contact the helpdesk for information and support using the new Funding Service.

Email: [support@funding-service.ukri.org](mailto:support@funding-service.ukri.org) Telephone: 01793 265810

#### **Joint Electronic Submission System (Je-S)**

For funding opportunities that use our current grants system, Joint Electronic Submission System (Je-S) it can 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@je-s.ukri.org](mailto:JeSHelp@je-s.ukri.org) or by telephone on 01793 44 4164.



## SECTION 4: APPLICATION GUIDANCE

### Creating a proposal

Check the relevant [UKRI Funding Finder](#) page to identify which grants system should be used, Je-S or TFS.

In both systems once you have completed and submitted your proposal it will first be directed to your Research Organisation for review and approval, they will then in turn 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. Applicants must ensure that they have obtained the permission of any other person named on the proposal form (for example any Co-Investigators or Project Partners) for the provision of their personal information to UKRI and the processing of their data by UKRI for the purpose of assessing the application and management of any funding awarded.

### 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 proposal being rejected. Please see the attachments section below for details of permitted attachments. If a proposal has been rejected following initial checks but before it has been to reviewers, it will be eligible for resubmission; please see Resubmission Policy section for full details. If there are any restricted eligibility criteria for the scheme to which you are applying, at the point of resubmission you must still be eligible to apply to this scheme.

### 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, AHRC disciplines section.

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

## SECTION 4: APPLICATION GUIDANCE

UK and internationally. In framing proposals for peer review, therefore, Principal Investigators are advised to address as wide a group of peers as possible.

### 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.

### Summary

Describe the proposed research in simple terms in a way that could be publicised to a general audience. Note that this summary may be published on the AHRC's website in the event that a grant is awarded. You should also summarise how the research will be beneficial to users who are within and beyond the academic research community, and how you intend on engaging with them. Following the removal of the distinct Pathways to Impact attachment applicants will be expected to show how the research provides impact throughout the application, and especially within the Case for Support.

### 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.

### Technicians

Carefully consider and recognise the role of technical staff when submitting your grant application. AHRC's working definition of a Research Technical Professional (RTP) i.e. a Technician, is anyone who brings indispensable specialist technical skills, at an advanced level, to a research project, i.e. professional skills that are necessary for the development, delivery and completion of the project. Depending on the project, Academic/ Research/ Library professionals, Animators, Archivists, Conservators, Curators, Graphic designers, Illustrators, Sound engineers, staff who have expertise in digital, software and data areas such as Digital Technicians, Information Systems Specialists and Research Software Engineers, and others may qualify for inclusion. AHRC encourages a holistic approach to the research ecosystem.

Technical staff often provide essential support to research projects and should be recognised and costed accordingly. An important way of acknowledging the contributions of technical staff is by entering their details in the Technician section of the application form; it should be noted that this section can be completed even if you have not yet identified a specific person to perform these duties. UKRI is committed to ensuring that all the people whose work contributes to research and

## SECTION 4: APPLICATION GUIDANCE

innovation are recognised and valued. This is outlined in UKRI's Technician Commitment Action Plan: [UKRI-040221-TechnicianCommitmentActionPlan.pdf](#)

### Attachments

The following table outlines which attachments are required for which scheme. The table should be read in conjunction with the description of each attachment type in the section below. 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. All text based attachments should use an Arial or other standard san-serif type font no smaller than size 11 and using standard (2cm) margins.

<b>Attachment</b>	<b>Research Grants</b>	<b>Research Networking</b>	<b>Follow-on Fund</b>
<b>Case for Support</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>Curriculum Vitae</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>Publication Lists</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>Visual Evidence (Optional for all schemes)</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>Data Management Plan</b>	<b>X</b>		<b>X</b>
<b>Justification of Resources</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>Workplan</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>International Co-Investigator Head of Department Statement*</b>	<b>X</b>	<b>X</b>	<b>X</b>
<b>Project Partner Letter of Support**</b>	<b>X</b>	<b>X</b>	<b>X</b>

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

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\*\*Project Partners Letters of Support should only be submitted if you have named Project Partners – please see [Project Partners, Collaborating Organisations and Sub-Contractors](#) for further details of what constitutes project partners.

### Naming Conventions

It is strongly advised that you use the recommended 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.

### Curriculum Vitae

A summary curriculum vitae should be attached as separate documents for each Principal Investigator and any Co-Investigators, named postdoctoral researchers. These should be **no more than two sides of A4**. CVs should include basic information about education, employment history, and academic responsibilities.

Naming convention: Surname\_Initials\_CV

### 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 the publications/outputs that are most relevant to this research proposal and should be **no more than one side of A4**.

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

### Visual evidence

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

Naming convention: [PI Surname]\_VisEv

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### Data Management Plan

Research data are defined for the purpose of this document as information relevant to, or of interest to researchers, either as inputs into or outputs from research. They are research materials resulting from primary data collection or generation, or derived from existing sources intended to be analysed in the course of a research project.

The Data Management Plan should be **no more than two sides of A4** and can include diagrams, but these must be within the 2-page limits.

Naming Convention: Surname\_DMP

The Data Management Plan should outline the project's approach to managing data. It is mandatory to include for all Research, Development and Engagement Fellowship scheme, Research Grants and Follow on Funding applications but is not required for Research Networking.

In each Data Management Plan applicants should address the below points:

1. Briefly introduce the types of data the research will create. Why did you decide to use these data types?
2. Give details on the proposed methodologies that will be used to create the data.  
Advise how the project team selected will be suitable for the data/digital aspects of the work, including roles and responsibilities and details of how the institution's data support teams may need to support the project
3. How will the data be stored in the short term?
  - a. What backup will you have in the in-project period to ensure no data is lost?
4. How the data will be stored in the long term
  - a. Where have you decided to store it, why is this appropriate?
  - b. How long will it be stored for and why?
  - c. Costs of storage – why are these appropriate? Costs related to long term storage will be permitted providing these are fully justified and relate to the project Full justification must be provided in Justification of Resources (JoR)
5. How the data will be shared and the value it will have to others
  - a. How the data will enhance the area and how it could be used in the future?
  - b. Releasing the data – advise when you will be releasing and justify if not releasing in line with AHRC guidelines of a minimum of three years. If the data will have value to different audiences, how these groups will be informed?
  - c. Will the data need to be updated? Include future plans for updating if this is the case.
  - d. Will the data be open or will you charge for it? Justify if charging to access the data
  - e. Financial requirements of sharing – include full justification in the JoR

## SECTION 4: APPLICATION GUIDANCE

6. Ethical and Legal considerations
  - a. Any legal and ethical considerations of collecting the data
  - b. Legal and ethical considerations around releasing and storing the data – anonymity of any participants, following promises made to participants

You may wish to consult external sources of knowledge in order to provide a more fulsome data management plan. Below are some useful links to assist with creation of the plan and these can provide some guidance and pointers in conjunction with your institution's own knowledge. You do not need to specifically reference these sources in the Data Management Plan unless you feel it is appropriate to do so.

If you are using any of the advice contained in external information you should explain this in your data management plan in order to ensure that reviewers are aware as to why you have written the plan in this way.

Data storage and sharing, including future planning for the data:

[Digital Preservation Coalition Knowledge Base](#)

[Digital Curation Centre](#)

Costs of preserving the data

[4C \(Collaboration to clarify the costs of Curation\)](#)

The data management plan will be assessed by reviewers from our Academic College.

By submitting the application, you are confirming your institution has considered and will meet the following points listed below. **Unless** the proposal is inherently digital in its methodology and naturally requires the information in these points to be specified and detailed in order to furnish the application you **do not need** to go into any further detail explaining these points.

By submitting you are confirming that:

- The proposal has been written in line with your institution's data management policy
- You have consulted with the institution's data support (e.g. library services, IT department)
- The institution is able to store the data appropriately during the lifecycle of the grant, the relevant people have been consulted and this has been considered and agreed
- The institution has considered all the risks, and storage will be in line with the institution's data management policy (provide a link to the policy if applicable)

## SECTION 4: APPLICATION GUIDANCE

- The institution will ensure the format/quality of the data (how will you make it as easy as possible to access the data?)
- You have consulted the relevant people in your organisation and you are aware of any IP considerations
- You have considered any data protection requirements
- You have considered the legal considerations of collecting and releasing the data and have consulted with appropriate support
- The data collection, creation, storage and dissemination will conform to the institution's ethical policy
- We expect the Data Management Plan will be revisited each year during the award and as long as is required following the award to take into account any potential changes in (for instance) technology/IP/institutional data management policy/copyright to ensure legal compliance

You must confirm these points via a yes/no box on the application form and we do not expect applications to be submitted if they do not comply. If you do not confirm the institution will comply with these points the proposal will be rejected.

### **Justification for resources**

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

- explain why the indicated resources are needed, taking account of the nature and complexity of the research proposed. Note that it is not sufficient merely to list what is required
- have regard for the breakdown of resources into the summary fund headings Directly Incurred, Directly Allocated and (where appropriate) Exceptions
- where costs incurred by international co-investigators are sought, a breakdown of these costs should be fully justified under a subheading of 'International Co-Investigator Exceptions'
- in some cases, such as investigator time, use of internal facilities and shared staff costs (all likely to be Directly Allocated costs), the basis of the costing need not be justified, but the need for the resources does need justification
- try to be explicit about the need for the level of investigator time sought, bearing in mind the complexity of the research, the need to manage the project and supervise staff and any wider considerations such as collaboration, research communication or facilities usage
- not justify estates and indirect costs
- include a 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).

## SECTION 4: APPLICATION GUIDANCE

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 **no more than two sides of A4**

Naming convention: [PI Surname]\_JoR

### 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 Research, Development and Engagement Fellowship 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
- The letter should be dated and should be written when the proposal is being prepared. The letter should be targeted specifically to this project

The International Co-Investigator Head of Department Statement should be **no more than two sides of A4**. It needs to be uploaded to the application as attachment type - Letter of Support.

Naming convention: [PI Surname]\_Col\_HoD

### Project Partner Letter(s) of Support

Each Project Partner must provide a Project Partner letter of support, **no more than two sides of A4** or equivalent on headed paper by e-mail in exceptional circumstances.

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 six months before submission (or resubmission) 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 the Project Partner. 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



## SECTION 4: APPLICATION GUIDANCE

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.

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 time as the rest of the application. The project partner must also be listed on the application form along with their costs, please see [Project Partners, Collaborating Organisations and Sub-Contractors](#)

Naming convention: [PI Surname]\_ PPLoS

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.

### 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.

Research Grants	7 pages
Research Networking	4 pages
Follow-on Funding for Impact and Engagement	7 pages

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.

Scheme-specific guidance on what should be included in the Case for Support is contained in the [Funding Opportunities](#) section. The case for support should be a self-contained description of the proposed work with relevant background and should not depend on additional information. Applicants must not include hyperlinks to web resources in order to extend their Case for Support.

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 Resubmission policy of this guide for full details.

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.

## SECTION 4: APPLICATION GUIDANCE

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

<b>Heading</b>	<b>Research Grants</b>
<b>Research Questions or Problems</b>	X
<b>Research context</b>	X
<b>Research methods</b>	X
<b>Project management</b>	X
<b>Outputs, Dissemination and Impact</b>	X

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.

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

#### **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?

#### **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?

## SECTION 4: APPLICATION GUIDANCE

### 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 outputs will be addressed.

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

The project management section should also include the management of the digital and data aspects of the research project, if applicable, and should be coordinated with the information in the Data Management Plan. Milestones for the completion of any digital and data-related work should be clearly incorporated into the timetable for the whole project. You should also include an assessment of any digital and data-related risk and proposed ways of mitigating it 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, including their professional development. If the researcher is unknown you should state the skills and qualifications sought, as well as outline the professional development opportunities this project will offer them, and how you will adapt these development opportunities to their individual needs. 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.

## SECTION 4: APPLICATION GUIDANCE

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 to acquire transferable skills, for example, in connection with proposed impact activities.

UKRI is one of the signatories of the Concordat to Support the Career Development of Researchers. AHRC published its Statement of Commitment to the Concordat in May 2021. More information about both documents can be found in the [Concordat](#) section.

### **Outputs, Dissemination and Impact**

The Outputs, Dissemination and Impact section is your opportunity to describe in more detail how the potential impacts of the research will be realised. Information under this heading should build on details given in the Summary and Academic Beneficiaries sections of the Je-S form whilst also elaborating further on other areas of the Case for Support. You should address two main questions: who might benefit from the research and how might they benefit?

Taking into account what is reasonable and appropriate given the nature of the research you propose to conduct, please provide examples of 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 dissemination 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.

You should consider (and address if appropriate) methods for communications and engagement, collaboration and development. You should also detail who will be undertaking any dissemination activities and include any resource implications in the financial summary and in the separate Justification of Resources attachment. Please also explain further how the research will benefit other researchers in the field and – where relevant – academic beneficiaries in other disciplines.

### **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.

## SECTION 4: APPLICATION GUIDANCE

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.

### Submitting more than one application to the same 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.

### 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.

### 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, names of all investigators, project dates, amount awarded, names of project partner organisations etc.

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## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

Unless otherwise stated in the scheme specific guidance in [Funding Opportunities](#) Section, the following criteria will be taken into account by the peer reviewers in assessing your proposal.

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

### 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

## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

- the extent to which you have understood the amount of work to be involved, allocated sufficient time and resources to achieving each aspect.

### Data Management Plan

- does the information in the DMP seem appropriate for the research project being proposed? Would you expect to see anything different in your view?
- will the DMP enable the project's data creation, outputs and storage needs in your opinion?
- are there any other areas that need more attention?
- overall – does the plan for data seem feasible, sensible, appropriate and valid?

### 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.

### 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 debar 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

## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

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.

### Public engagement with research

- The appropriateness, relevance, effectiveness, reach and/or quality of proposed public engagement methods
- Whether your proposed public engagement activity responds to the needs and interests of a clearly defined group of people
- Your proposed public engagement activity has the potential to make a positive impact upon a clearly defined group of people
- Whether your proposal includes an appropriate safeguarding and/or ethics statement, if you are engaging young or otherwise vulnerable people
- The degree that proposed engagement activity is equitable, accessible and inclusive
- The degree to which your proposed public engagement activity is logically planned and achievable, given budget, resourcing and timeframe
- The degree to which your proposal involves public engagement within the research process itself, such as co-production, collaboration, crowd-sourcing of information, and so on
- Whether the proposed public engagement activity is justified, given the nature of the proposed research.

You are encouraged where possible to engage the public with your research.

Public engagement can result in research that is more beneficial, relevant and useful to non-researchers. This in turn makes the research that we fund higher quality, better informed, and more useful.

### Publication Metrics

As part of our commitment to support the recommendations and principles set out by the San Francisco Declaration on Research Assessment (DORA; <https://sfdora.org/read/>), AHRC reviewers and panel members are advised not to use journal-based metrics, such as journal impact factors, as a surrogate measure of the quality of individual research articles, to assess an investigator's contributions, or to make funding decisions.

The content of a paper is more important than publication metrics, or the identity of the journal, in which it was published, especially for early-stage researchers. Peer review and panel members are encouraged to consider the value and impact of all research outputs (including datasets, software, other digital outputs, inventions, patents, preprints, other commercial activities, etc.) in addition to research publications. We advise our peer reviewers and panel members to consider a broad range of impact measures including qualitative indicators of research impact, such as influence on policy and practice.



## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

### Assessment process

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

- At the point of submission, each proposal will be assessed on the following criteria
- All applicants and named staff must be eligible under the scheme requirements
- The proposal must meet the aims and criteria of the scheme to which it has been submitted.
- All application documents must be eligible under the scheme requirements.

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

### UKRI Principles of Assessment and Decision Making

Assessment is the process undertaken on submitted applications to determine whether an application is fundable, and which applications should be funded. Assessments in all its different forms, including Independent Review Assessment (Review) or Collective Panel Assessment (Panel), is fundamental to our business. An assessor (reviewer or panellist) can be an expert or a peer from business, academia or other sectors, such as the public and charities. Assessment in our Councils and opportunities usually involves a two-stage process, where applications are considered by reviewers (by correspondence) and then by a Council Panel (at a meeting).

Review involves the assessment of an application independently of other applications. A Review is based on the Reviewer's judgement of the assessment criteria alone, and it does not normally benchmark the assessment against other applications of the funding opportunity.

At a Panel meeting, the assessment of an application is carried out collectively against other applications and with other Panellists. As such, judgement and/or scoring of an application is based on panellists' consensus of the criteria and by benchmarking against other applications of the opportunity.

To facilitate collaborative trans-national funding, the Global Research Council set out a Statement of Principles on Peer/Merit Review (2018<sup>5</sup>). These principles reflect current principles in assessment and decision making in our Councils as set out below.

We are committed to the following principles in our assessment and decision making: expert assessment, transparency, impartiality, appropriateness, confidentiality, integrity and ethics, equality, diversity and inclusion, separation of duties.

For a full description of UKRI's guiding principles, please refer to [UKRI principles of assessment and decision making – UKRI](#)

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<sup>5</sup> Statement of Principles on Peer/Merit Review, Global Research Council: <https://bit.ly/2RK2QcY>

## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

### 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.

### 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.

### Peer Reviewer grading scale

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

#### Generic

Score	Description	Definition
6	<b>Exceptional</b>  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.

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<p><b>5</b></p>	<p><b>Excellent</b></p> <p>Should be funded as a matter of priority, but doesn't merit the very highest priority rating</p>	<p>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.</p>
<p><b>4</b></p>	<p><b>Very Good</b></p> <p>Worthy of consideration for funding</p>	<p>Work that demonstrates high international standards of scholarship, originality, quality and significance. Will advance the field of research. It meets all assessment criteria.</p> <p>The proposal's evidence and justification are good and management arrangements are clear and sound.</p>
<p><b>3</b></p>	<p><b>Satisfactory</b></p> <p>In a competitive context, the proposal is not considered of sufficient priority to recommend for funding</p>	<p>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.</p>
<p><b>2</b></p>	<p><b>Not Competitive</b></p> <p>Not recommended for funding</p>	<p>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.</p>
<p><b>1</b></p>	<p><b>Unfundable</b></p> <p>Not suitable for funding</p>	<p>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</p>

## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

		field. It falls short of meeting the assessment criteria for the scheme.
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### Follow on Fund for Impact and Engagement

Score	Description	Definition
<b>6</b>	<b>Exceptional</b>  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.
<b>5</b>	<b>Excellent</b>  Should be funded as a matter of priority, but does not merit the very highest priority rating	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. 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.
<b>4</b>	<b>Very Good</b>  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.
<b>3</b>	<b>Satisfactory</b>  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

## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

		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.
<b>2</b>	<b>Not Competitive</b>  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.
<b>1</b>	<b>Unsatisfactory</b>  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.

### 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.

#### The sifting process

The sifting process occurs in two stages:

##### 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.

## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

### 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.

### Principal Investigator Response

For Research Grants and Follow-on Funding over £30,000, the applicant will be given the right of reply to the reviews received.

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 moderation panel(s), and are taken into account in the grading and prioritisation of proposals. Applicants are given 14 days to respond to reviewers' comments.

The PI response must be:

- No more than three pages of A4
- In Arial or other standard san-serif type font, no smaller than size 11
- Normal margin sizes of 2cm must be used.

The PI Response should be a self-contained response to comments and should not depend on additional information such as the inclusion of external links. Applicants must not include hyperlinks to web resources in order to extend their PI Response. Peer reviewers are advised to base their assessment on the information contained within the application and are under no obligation to access such links.

The PI Response should be submitted through the grants system 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 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 444 164 for further advice. If neither the PI nor Co-Is are able to respond within the 14 day deadline then an extension may be granted under certain circumstances. If an extension is required, this can be requested by emailing [Operations@ahrc.ukri.org](mailto:Operations@ahrc.ukri.org).

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

## SECTION 5: ASSESSMENT CRITERIA AND PEER REVIEW

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 issue reminder 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 our grant system confirming it has been submitted. This will be sent to your email address registered in your Je-S or TFS account. If the email does not arrive within an hour you should check your spam or junk folder, and if you have not received it you should contact the Je-S Helpdesk on 01793 444 164 who will be able to check if the response has been submitted.

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 accordingly. You should follow the guidance on the Je-S System Help - Peer Review (Applicant Response) – Edit Response.

### **Where there is no PI Response**

All proposals to the Research Networking scheme or proposals to the Follow-on Funding scheme which are under £30,000

Please note that proposals in the above criteria do not have a PI response stage, but instead proceed straight from peer review to the moderation panel.

### **Peer review panels**

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

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

The proposal, peer reviews, 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 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.

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## SECTION 6: AWARD DECISIONS

### 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.**

### Offer acceptance and payment

The AHRC, on advice from peer reviewers or panels, may remove costs if they are not justified or not permitted under the scheme rules.

If you are successful you will receive a notification email as will your Research Organisation (RO). Later a formal grant offer containing details of the funding and terms and conditions will be sent via JeS to your Research Organisation. The RO will have 2 weeks to consider and then formally accept this offer. Once the research activity has commenced the RO is required to complete and submit to AHRC the Start Confirmation via JeS. Grant payments will be made direct to the RO on a quarterly basis.

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 extra element for indexation (inflation). The sum may also differ if the Council considers that a lower level of funding to the one you sought is more appropriate. You will be notified of any amendments made for this reason.

For UKRI Responsive Mode Grants, all grant offer letters will include a nominal starting date that is at least three months after the issue date of the grant offer. Research organisations will be permitted to start their grants on any actual date that is later than the issue date of the grant offer document and, up to three months later than the nominal start date.

Therefore, grants may start before the nominal start date listed on the offer document without reference to AHRC. This can be done by entering the required start date in the start conformation through Je-S.



## SECTION 6: AWARD DECISIONS

### Resubmission policy

#### **Proposals that have been Office Rejected**

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.

#### **Proposals that have been Rejected at any point in the assessment process**

If the application is rejected at any point in the assessment process (either following the peer review stage or the panel 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 and rare circumstances.

#### **Invited Resubmission**

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 peer review or panel 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 peer review stage or the panel meeting stage is received but which was not an invited resubmission, it will be rejected.

#### **What constitutes a new proposal?**

A new proposal should involve a significant change of focus from any previous proposal you have submitted to AHRC or other UKRI bodies and will likely be accompanied by a different set of costings to deliver the project. Proposals which demonstrate only minor amendments from previous submissions, for example specific changes based on previous peer review feedback alone, will be counted as resubmissions.

We expect new proposals to have fresh or significantly modified objectives and/or an entirely revised methodological/analytical approach to a research question. Any proposal which does not meet either of these criteria will be judged a resubmission.

When preparing any new proposal a good approach is to critically ask yourself if any of the following apply. If the answer is 'yes' then your proposal may be considered a resubmission:

- broadly the same title and/or proposal summary
- overall aim of a new proposal and its high-level objectives broadly the same
- broadly the same research questions
- broadly the same resources required to carry out the research
- principal and co-investigators on a proposal are amended (for example swapping of roles) whilst the content of the proposal is essentially the same.

## SECTION 6: AWARD DECISIONS

However, this is not an exhaustive list and none of these points in isolation will be used to define a resubmission.

In order to treat everyone fairly, we cannot engage in discussions about whether a particular proposal will be treated as a resubmission before you apply. We advise that you consult within your institution before making an application which you believe may be considered a resubmission.

### Monitoring

#### 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 to sign in and start submitting outcomes. More details on Researchfish are available on the UKRI website: <https://www.ukri.org/apply-for-funding/manage-your-funding-award/report-your-research-outcomes/>

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.

#### 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@je-s.ukri.org](mailto:JeSHelp@je-s.ukri.org)

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 [Meeting UKRI terms and conditions for funding – UKRI](#) for more information. Research

## SECTION 6: AWARD DECISIONS

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.

### 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](#).

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## SECTION 7: ADDITIONAL INFORMATION

### **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
- enhancing quality of life, health and creative output

This accords with the Royal Charters of the Councils and with HM Treasury guidance on the appraisal of 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, researcher development activities, 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

## SECTION 7: ADDITIONAL INFORMATION

- identify potential benefits and beneficiaries from the outset, and through the full life cycle of the project(s)
- maintain professional networks that extend beyond their own discipline and research community
- publish results widely – considering the academics, user and public audiences for research outcomes
- exploit results where appropriate, in order to secure social and economic return to the UK
- manage collaborations professionally, in order to secure maximum impact without restricting the future progression of research
- ensure that whilst working on AHRC grants, all 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;
- continuing professional development (CPD) of all staff working on AHRC grants in line with the Concordat to Support the Career Development of Researchers is a recommendation

The AHRC recognises that not all research will have direct dissemination but aims to encourage researchers to maximise potential impacts where they occur. 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 throughout the application, in the same way as demonstrating impact identifying how the research will be beneficial should also be evidenced throughout the application. Excellent research without obvious or immediate dissemination will continue to be funded by the AHRC and will not be disadvantaged as a result of the introduction of these sections to applications.

### Access to Research Outputs

If one of the proposed outputs is a journal article then the applicant must ensure that they comply with the former UKRI position on Access to Research Outputs <https://www.ukri.org/our-work/supporting-healthy-research-and-innovation-culture/open-research/open-access-policies-review/>

## SECTION 7: ADDITIONAL INFORMATION

### 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.

For proposals that cross Research Council boundaries the Research Councils have put in place the following agreement: <https://www.ukri.org/apply-for-funding/before-you-apply/preparing-to-make-a-funding-application/if-your-research-spans-different-disciplines/>

#### **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

#### **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.

#### **Qualifiers**

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

#### **Free-text keywords**

This provides the opportunity for you to provide more specific details of the focus of the research question and should be additional and complementary to the selection of Research Area(s).

## SECTION 7: ADDITIONAL INFORMATION

### 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 Studies<sup>6</sup>

##### Level 2

- Gender and Sexuality Studies
- Museum and Gallery Studies
- Cultural Studies and Pop Culture
- Policy, Arts Management and Creative Industries
- Cultural Geography

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<sup>6</sup> These Research Areas contain elements that could fall within the remit of the ESRC. You should check the AHRC/ESRC remit statement to ensure that your proposal is appropriate to be submitted to the AHRC

## SECTION 7: ADDITIONAL INFORMATION

- Heritage Management
- Conservation of Art and Textiles

### **Level 1 – Development Studies**

#### **Level 2**

- Development Studies

### **Level 1 – History 6**

#### **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 – Human Geography 6**

#### **Level 2**

- Historical Geography

### **Level 1 – Information and Communication Technologies 6**

#### **Level 2**

- Information and Knowledge Management

### **Level 1 – Law and Legal Studies**

#### **Level 2**

- Jurisprudence/Philosophy of Law
- Human Rights
- Criminal Law and Criminology



## SECTION 7: ADDITIONAL INFORMATION

- 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 Studies 6**

#### **Level 2**

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

### **Level 1 – Philosophy 6**

#### **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

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### **Level 1 – Political Science and International Studies 8**

#### **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
- Inter-faith Relations
- Contemporary Religion

### **Creative and Performing Arts**

#### **Level 1 – Dance**

#### **Level 2**

- History of Dance
- Dance Performance
- Dance Notation
- Social Dance
- Choreography

## SECTION 7: ADDITIONAL INFORMATION

### **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
- Popular Music

## SECTION 7: ADDITIONAL INFORMATION

- Composition
- Classical Music
- Musical Performance
- Musicology

### **Level 1 – Visual Arts**

#### **Level 2**

- Fine Art History, Theory and Practice
- Photography History, Theory and Practice
- Art Theory and Aesthetics
- Community Art including Art and Health
- Installation and Sound Art History, Theory and Practice
- Ethnography and Anthropology
- Digital Arts History, Theory and Practice
- Applied Arts History, Theory and Practice
- Art History
- Design History, Theory and Practice
- Film-based media (History, Theory and Practice)
- Time-based media History, Theory and Practice

### **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

## SECTION 7: ADDITIONAL INFORMATION

- Italian Studies
- Hispanic, Portuguese and Latin Studies
- English Language and Literature
- Creative Writing
- Comparative Literature
- French Studies
- Celtic Studies
- Medieval Literature
- Ethnography and Anthropology
- Australasian Studies
- Comparative Studies
- German, including Dutch and Yiddish
- Russian, Slavonic and East European Languages and Literature
- Gender and Sexuality

### **Level 1 – Linguistics 8**

#### **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)

## SECTION 7: ADDITIONAL INFORMATION

### 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.

#### **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.

#### **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.

#### **Cultural policy and management**

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

#### **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.

#### **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.

## SECTION 7: ADDITIONAL INFORMATION

### **Human geography**

ESRC is the primary funding body for human geography. However, AHRC supports research in cultural geography, which includes research into the interpretation of the cultural landscape; cultural constructions of nature and environment; creative and imaginative aspects of geographical thought and practice; relationships between space, place and cultural identity. AHRC also supports research in historical geography, which includes geographical change over time, connecting the local to the global; histories of geography and cartography; and the study of past geographies and their legacies.

### **History**

History. AHRC supports historical research covering all periods of history from ancient times to modern, and in all parts of the world. Applicants whose research focuses primarily on the very recent past 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 across all periods 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.

### **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.

### **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.

## SECTION 7: ADDITIONAL INFORMATION

### **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.

### **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.

### **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.

### **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.

### **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.

### **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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## SECTION 8: GRANT CONDITIONS GC1 – GC25

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

### 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.

#### **GC4.4 in addition to Transfers between Headings - international investigators (Standard/Research Grants)**

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 seeks and receives AHRC prior approval.

#### **GC12.4 In addition to Exploitation and Impact:**

In all of the communications linked to the research that the AHRC has funded (press releases, social media, blogs, websites, events and publications) you must acknowledge the support of the AHRC. This could be by using the AHRC logo or a full attribution in writing – for example, Funded by the Arts and Humanities Research Council (AHRC), part of UK Research and Innovation – using AHRC and UKRI thereafter. Brand advice can be offered by emailing UKRI's brand team at [brand@ukri.org](mailto:brand@ukri.org). Please keep the UKRI Press team informed about any media work planned throughout the project. We request that press releases mentioning AHRC/ UKRI funding are shared with [press@ukri.org](mailto:press@ukri.org) at least 72 hours prior to the planned announcement. For more information and guidance please visit <https://www.ukri.org/about-us/contact-us/contact-the-media-team/>

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