



Grants for Research, Development & Analysis

Guide for applications

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1. Introduction

The Nuffield Foundation is an independent charitable trust established in 1943 by William Morris, Lord Nuffield, the founder of Morris Motors. Our aim is to advance educational opportunity and social well-being across the United Kingdom. We do this by funding research, development and analysis in education, welfare and justice, and by equipping young people with skills and confidence in quantitative and scientific methods through our student programmes.

In June 2017, the Foundation published a five-year strategy setting out its funding priorities, and we have updated our *Guide for applicants* to reflect these priorities as they evolve. Our primary objective is to improve people's lives through better understanding of the issues affecting their life chances. We are also keen to engage with, and to understand the significance of, new and emerging trends and disruptive forces – social, demographic, technological, and economic – that are changing the structures and context of people's lives ([for example, COVID-19](#)). Our work is also concerned with securing social inclusion in an increasingly diverse and fragmented society, where we define diversity broadly to include age, gender, ethnicity, disability, sexual orientation and other characteristics; with the implications of a data-enabled digital culture (for example, for trust, evidence and authority); and with safeguarding, through the justice system, the rights of the individual in relation to the State.

The Foundation seeks to be an open, collaborative and engaged funder that offers more than money. We are not simply an academic funding body, though the research we fund must stand up to rigorous academic scrutiny. We want the policies and institutions that affect people's well-being to be influenced by robust evidence. We will work with the research, policy and practice communities to foster an environment where that is possible.

This guide is for those who are considering applying for funding from the Foundation for research, development and analysis projects through our responsive application rounds, of which there are usually two a year. It describes our funding priorities, explains our application process, and sets out our expectations for successful proposals. See our website for the current [application timetable](#).

Before applying, applicants should:

- Read this guide in its entirety.
- Check that our [Terms and conditions](#) are acceptable, both to themselves and to the host institution. It is the Principal Investigator's responsibility to identify any potential difficulties in complying with the *Terms and conditions* at the *Outline application* stage.
- Visit the ['Apply for funding'](#) section of our website to check application dates.
- Look at projects we have funded in relevant areas. These can be found in the [Research](#) section of our website, or summary data are available at <https://www.nuffieldfoundation.org/360giving-open-data>.

Updated 22 June 2020

Whilst these documents provide detailed guidance, the Foundation is an engaged and proactive funder, and once we have screened outline ideas, we are willing and able to support promising applicants in refining and delivering projects, to help maximise their rigour and impact.

We welcome feedback from those reading and using this guide. This can be sent to info@nuffieldfoundation.org with the subject header: 'Feedback on Guide for applicants'.

2. What we fund

The Nuffield Foundation's research, development and analysis portfolio is central to the delivery of our mission to advance educational opportunity and social well-being across the UK. We expect the work we fund to improve the design and operation of social policy, especially in those domains that we have always identified as underpinning a well-functioning society: **Education, Welfare and Justice**.

2.1 What unites our work

We prioritise research, development, and analysis projects that:

- Identify and explain the social and economic determinants of opportunity and risk across the life span, focusing in particular on early childhood adversity, transitions from adolescence to young adulthood, and social and economic well-being in adulthood and later life.
- Improve well-being for society as a whole, while ameliorating negative distributional outcomes and the greatest harms.
- Support the development of workable evidence-based solutions for policy and practice over the medium term.

Our research is often founded on quantitative evidence and analysis, but we also believe that the insights provided by well-designed qualitative research can help to shed light on the problems facing our society and support the development of solutions, as discussed further in Section 2.3. Whatever the approach taken, applications to us must be based around impartial, objective, and rigorous research. The applicant should be open-minded as to the outcomes of the research and committed to basing any conclusions or recommendations on what the evidence shows.

We remain committed, across all of our work, to encouraging original and thought-provoking approaches to research that identify new questions and change the terms of debate. Our primary focus is on the United Kingdom, but this may include comparative work between the four nations and internationally, where appropriate. Some issues that will determine social well-being will cut across our three domains of Education, Welfare, and Justice, and may extend beyond them. In particular, we are interested in funding research that takes account of the trends that are changing and shaping today's increasingly complex society. These might include:

- How do **digital technologies and digital communications** alleviate, exacerbate and shift vulnerability, and affect concepts of trust, evidence, and authority?
- In what ways do factors such as **socio-economic status, gender, ethnicity, community, and geography** affect the vulnerability of people to different types of risk, and how can this be mitigated?
- What interventions might promote opportunity and reduce adversity through different life stages, and **promote social inclusion between and across generations**?
- What are the social and economic implications of **physical and mental disability and chronic illness**?

- How can social policy institutions make **better use of research, evidence, and data** in order to understand better the needs of those they serve, and improve services and outcomes?
- How might the **data infrastructure** be used or improved to better understand and explain **outcomes** for individuals and society?

2.2 Priorities within domains

Social and economic well-being depends on people's potential being fulfilled through education and skills, how they interact with society and the economy across the life-course, their access to social and economic resources, and their ability to access justice and exercise their rights, particularly in relation to the State. Our core interests therefore focus on three broad public policy domains that we have long identified as underpinning a well-functioning society: Education, Welfare and Justice. We have priorities within each of these domains – which are set out in the next sections – and we are also interested in projects that span these domains.

We encourage the involvement of a range of disciplines to issues in these three domains. These disciplines include, but are not limited to, psychology, economics, sociology, geography, and data and computer sciences. We welcome cross-disciplinary approaches and also proposals that cut across our domains of interest.

EDUCATION

The scope of our interest in education covers all life stages and phases from [early years](#)¹ (including pre-natal), through school, to further and higher education and vocational learning. We are interested in all influences on educational opportunity and life chances, including educational provision, informal learning, family and home environment, gender, and socio-economic and place-related factors.

We have four thematic funding priorities in education: skills and capabilities; teaching quality; young people's pathways; and educational disadvantage. We would expect most of the projects we fund to address one or more of these themes.

Skills and capabilities

We seek applications related to the skills, capabilities and attributes that equip children and young people for life and work in a rapidly changing world. These may be developed through formal and informal educational experiences, but are also shaped by the home environment and other influences outside of educational institutions.

Particular skills and capabilities include:

- Oral language, literacy and wider communications skills.
- Numeracy, quantitative and data skills, as developed across all subjects (including mathematics, statistics, natural and social sciences, arts and humanities, and vocational learning).

¹ In 2015 the Nuffield Foundation set out some specific funding priorities for early education and childcare research. These can be found here: <https://www.nuffieldfoundation.org/early-years-education-and-childcare-0> and remain of interest to us.

- Scientific inquiry and analytical thinking.
- Social and emotional development, and mental health and well-being more broadly.
- School readiness and the range of skills and competencies this encompasses.
- Broad and transferable skills such as problem-solving, interpersonal skills, collaboration and teamwork, time management, self-confidence, self-efficacy, motivation, leadership, and creative and metacognitive skills.
- Digital skills and their relationship to other skills, including how the increasing use of digital technologies and media affects learning and development.

We are interested in factors that affect the development of these skills and capabilities from the earliest years into adulthood.

Teaching quality

We seek projects aimed at improving the quality of teaching and learning, in particular through:

- Evidence-based pedagogy and practice across all education settings including early years providers, schools, colleges and work-based provision, for example based on carefully designed, developed and evaluated interventions.
- Harnessing digital technologies to improve teaching and learning, parental engagement, and child development.
- Addressing the roles of, and arrangements for, the assessment of learning and achievement.
- Scrutinising and understanding the recruitment, retention, training and continuous professional development of talented and motivated early years, school and tertiary education workforces.
- Enabling better dissemination, accessibility and use of knowledge from research to inform teaching practice.
- Research into school effectiveness and improvement.
- Examining the role and impact of structures and organisation of education systems, including funding and accountability arrangements.

Young people's pathways

We seek projects that improve the evidence base concerning young people's choices, decisions and pathways at key points in their progression through education and training into work. They should aim to influence relevant policy and practice on these issues. Key areas include:

- Pre-16 subject and course choices, and how these relate to later pathways and outcomes.
- The post-16 landscape, encompassing the full range of vocational, technical, further and higher education routes available to young people, how they interpret and understand the options available, pathways into these routes and how they are accessed.
- The immediate and longer-term societal and individual outcomes associated with post-16 routes, including further training, earnings, broader employment

and well-being outcomes.

- How the post-16 pathways followed by young people and their associated outcomes vary and why, including evaluating policy and other evidence-based solutions to improve outcomes.
- How to effectively enhance learning outcomes across different pathways, settings and experiences, for example through work experience or placements in technical routes.
- The role of information, advice, guidance and work experience to support effective learning, education and career development choices.

We are also interested in how the pathways and qualifications available equip young people with the various skills and capabilities set out above, acknowledging that there will be some core skills required for all young people, and others which are more specialised depending on their intended vocations.

Educational disadvantage

We seek applications that investigate the prevalence of – and interrelationships between – the various forms of educational disadvantage and vulnerability faced by children and young people at risk of falling behind in their learning, or of being locked into trajectories of low achievement. We are particularly interested in projects that aim to identify and address these needs as early as possible, including through the development and evaluation of specific interventions, whether in early years settings and schools or through support for parenting and the home learning environment. We are also interested in how the pathways taken by young people from age 14 and into post-compulsory education and training vary by different forms of disadvantage or vulnerability and how evidence-based policy and practical solutions might address inequalities that underpin or result from these variations.

Particular forms of disadvantage and vulnerabilities of interest include:

- Developmental delays, impairments or difficulties, and other special educational needs.
 - Physical disabilities.
 - Mental health issues.
 - Socio-economic disadvantage.
 - Geographical disadvantage.
 - Being in care, or leaving care.
-
- We are interested in projects that consider how one or more of these disadvantages or vulnerabilities intersect with our other Education funding priorities, and those within our Welfare and Justice domains.

Approaches to these education priority themes

We encourage the application of a wide variety of disciplines to these educational issues. These disciplines include psychology, economics (including behavioural economics), sociology, geography, and data and computer sciences. We welcome cross-disciplinary approaches and also education-related proposals that span our other domains of interest (Welfare and Justice).

As with the Foundation's work in general, our primary focus is on the United Kingdom. Where appropriate we are interested in comparative work between the four nations and internationally, particularly taking advantage of differences and similarities in educational policy and practice.

As covered in detail in Section 2.3 we are open to a wide variety of research approaches, believing that the research question should drive the choice of an appropriate methodology. In our Education work, depending on the research questions, we are particularly interested in projects that:

- Systematically synthesise the existing evidence base in particular areas of central interest to us;
- Undertake secondary analysis of existing datasets and where appropriate linkages between them;
- Pilot or evaluate interventions on a pre-trial basis, or through appropriately-scaled trials.

For proposals for interventions, we are particularly interested in projects aimed at developing and evaluating innovative approaches to the direct experience of students at all stages from the early years through compulsory education. Such student-oriented programmes need to be grounded in evidence and/or designed to help develop the evidence base. Scalability should be built in from the outset. They need clear and quantifiable objectives, a defined audience(s), and should be relevant to our educational priorities above, for example:

- Targeting children and young people from disadvantaged backgrounds, whether socio-economic or other types of disadvantage.
- Focusing on the development and application of one or more of the skills or capabilities listed.
- Supporting young people undertaking post-16 routes other than A level and university as discussed.

WELFARE

Our Welfare framework

Our Welfare portfolio aims to improve economic and social well-being across the life course. Our approach is motivated by how certain individuals and groups are potentially vulnerable to adverse outcomes, and how those risks can be mitigated, or channelled in a positive manner. Mitigation involves drawing on resources, broadly defined to include financial and physical assets but also less tangible factors such as practical and emotional support. Such support may come from sources including:

- **Self:** An individual may draw from their own resources, to improve their economic, social, physical and emotional outcomes throughout their lives. This may be, for example, by acquiring skills, managing their health and deciding where to live, whether to save and in what form.

- **Family:** The distribution of housing and financial, practical and emotional resources within families and between generations are important in affecting people's outcomes. Family-formation, organisation and caring decisions also play a key role.
- **Work:** Well-being in work is influenced by a number of factors. These include the ability to enter and progress in employment, people's control and autonomy over the way they work and inequalities in the labour market according to characteristics including age, gender, ethnicity, disability and sexual orientation.
- **Community:** Building and drawing upon social capital and other attributes affects the resources provided by communities, and the outcomes for individuals and their families that result. This applies, in different ways, to both digital and virtual communities.
- **State:** Regulation and state provision of transfers, goods and services affect the economic and social well-being of individuals, families and communities.

In all cases, we are interested in vulnerability and the extent to which it can be mitigated, which varies according to individual and group characteristics including age, gender, ethnicity, disability and sexual orientation.

We are also interested in how vulnerability and its mitigation interact with major social and economic forces that may shape society and the distribution of outcomes over the coming years. We are open to what these forces may be, but the following are likely to be relevant:

- **Demographic:** For example, how do we respond to the multiple pressures and opportunities resulting from an ageing population? This will include the impact of personal choices and work on the ageing process and how policy and institutions can adapt to the demands of a growing older population.
- **Technological:** For example, how are changes in technology affecting the interface between individuals and their family, employer and community?
- **Economic:** For example, what are the consequences of the COVID-19 crisis but also the longer term systemic economic slowdown for the implicit contracts that underpin society? These include implicit contracts between generations and also those between individuals, business and the state. What does this imply about the need for individuals to manage their own health and financial security?

Areas of focus

Applications are welcome in all of the above areas. However, we particularly wish to support research into how **family, work, and the intersection of the two** will affect individual and societal well-being in the coming years. These topics link strongly to the Nuffield Foundation's other domains of Education and Justice and we are also interested in projects which explore the intersections between these domains.

We are also sharpening the Welfare focus of the Foundation's cross-cutting theme of how new technologies can alleviate, exacerbate and shift vulnerability, and affect concepts of trust, evidence, and authority. We will have a particular focus on **how new technologies combine with family and work** to affect economic and social well-being, including the links

between digital and social exclusion. We will prioritise projects that look to inform solutions and which use innovative methods that are fit for purpose in this rapidly developing area. We also highlight some further topics as specific examples of areas where we would be interested to receive applications:

- What types of **economic policies and systems** would best enhance individual and societal well-being and challenge existing inequalities, as society adjusts to turbulent and uncertain growth in the economy, earnings and productivity in the post-COVID-19 world?
- How will the costs and benefits of the **transition to a net zero-emissions economy** be shared fairly across the population and across generations?
- How can we better understand the **economic determinants of health outcomes and their impact on social well-being**, both in the current context and in the face of long-term demographic trends?

We emphasise that we are not funders of general research into macroeconomics, science, technology, medical issues or healthcare systems that is solely, or primarily, aimed at enhancing knowledge within those fields. Successful proposals in the above areas will need to be very clearly and directly focused on improving economic and social policy, practice and well-being.

Complementary social and economic analysis

Complementing our Welfare portfolio, in April 2020 we awarded £4 million in research funding through the [Oliver Bird Fund](#) to improve the lives of people living with musculoskeletal (MSK) conditions. This followed a dedicated call for proposals on this topic. The programme is focused on exploiting the unique UK data environment to enhance our understanding across a broad range of MSK conditions. A further call for proposals to the Oliver Bird fund will run in the future.

JUSTICE

Our Justice portfolio looks to fund research that supports a modern justice system to deliver effective legal and social justice.

To this end, we seek to develop a balanced portfolio of research and evidence across a range of topics encompassing the administration of justice and the role of law in their broadest senses. We want to help improve outcomes for people by understanding the processes and impacts of the justice system and its decisions. We welcome proposals on all aspects of justice, including people's everyday experience of the law, their access to and participation in the justice system, the role and efficacy of actors and organisations within the system, and the functioning of courts and tribunals. We are particularly focused on people's ability to enforce their legal and social rights, especially in the case of vulnerable or disadvantaged individuals or groups, including those where there may be questions around the equality of their access to, and treatment by, and outcomes from the justice system. We

are also interested in research looking at how justice is achieved (through formal and informal justice system mechanisms), including procedural and substantive fairness.

We have a particular interest in the following topics:

Family justice

We are looking for proposals related to family justice and wider links with child welfare. Across these systems, we wish to understand the ability of agencies to administer existing rights, and provide statutory and discretionary services in a way that delivers social justice. Our interests in family justice span both public and private law matters, and include legal policy issues such as co-habitation, divorce and separation, and child maintenance and contact; the operation of family courts in both public and private law cases; and the use of other mechanisms to promote child welfare outcomes. We develop and coordinate our agenda here with that of the Nuffield Family Justice Observatory, and we suggest that potential applicants interested in this area note the [Observatory's aims and priorities](#)

Youth justice

Youth justice is currently our main area of interest in criminal justice (although we are interested in the latter, particularly where it concerns understanding and mitigating the impacts of vulnerability and other forms of disadvantage). We are interested in the factors that lead to young people coming into contact with the justice system, what could have been done to intervene earlier, and the extent to which their interaction with the youth justice system can help (or hinder) them to stop offending and improve their educational outcomes and wider life chances.

Decision-making

We wish to fund projects that explore decision-making. This includes the incentives and structures for encouraging good early decision-making that could avoid disputes which may later require resolution in court, but which also enable ordinary people to take appropriate legal action where needed. Where cases do proceed to formal justice mechanisms, we are interested in the use of problem-solving approaches, and the potential contribution of research evidence (and, increasingly data science based approaches) alongside professional judgment and legal precedent in framing and making decisions. Also of interest is the role of the judiciary in the leadership and delivery of justice including executive decision making, case management, innovative process and the design of access to justice and delivery systems.

Participation and rights

We are interested in proposals around the accessibility of the legal system for users and potential users - in particular those who may be vulnerable and those who lack legal representation. A key focus within this is the impact of recent and current policy reforms to access to justice and court modernisation. For example, we want to understand the extent to which the increasing use of digital technology in the delivery of justice and dispute resolution alleviates, exacerbates or shifts the ability of citizens to exercise their rights and solve their problems, whether using formal mechanisms of the courts and tribunals or bargaining in the shadow of the law. We are especially interested in the use of administrative justice mechanisms by individuals and their effectiveness in holding the State to account; here, we

focus primarily on projects relating to dispute resolution and how it can be improved rather than on public administration in itself.

Empirical legal research

We aim to support high quality, impactful socio-legal research, and so we seek to fund methodologically rigorous, empirical studies. To assist the development of the evidence base, we welcome applications for projects that apply methods and analytical approaches that have not been traditionally used in the socio-legal sphere, or that bring a multidisciplinary approach.

2.3 Types of project

The Foundation supports a wide range of research, development and analysis projects.

Reviews and synthesis, including formal meta-analysis as well as other systematic and narrative reviews that offer a critical evaluation of empirical research, policy and practice within or across our domains. The aim should be to draw out implications for policy and practice reform (including learning from international experience where appropriate) or to generate a new research agenda.

Data collection and/or analysis, whether descriptive or designed to understand causality, or both. Projects often involve descriptive work combined with explanatory analysis that aims to identify factors which are causally related to outcomes, or mechanisms leading to particular outcomes. They typically involve secondary analysis of existing data, but where there are gaps, we may also fund primary data collection. This may involve quantitative or qualitative data collection. They may also involve both, but this is not required: the priority is that the methods employed are appropriate to the research questions. Where projects aim to draw causal inferences, generate predictions, assess impact, or measure and describe experiences, outcomes, views or attitudes; we would usually expect quantitative methods to be used. We would usually expect to see qualitative methods used to explore, describe and provide understandings of contexts, experiences, outcomes, views, attitudes and processes; as well as for the generation and refining of ideas and theories. Our scale does not allow us to fund routine surveys or large-scale data collection on an ongoing basis.

Pre-trial development work. We fund projects that conceptualise and design innovative interventions and take the concept through an initial pilot phase. The appropriate scope for a project will depend upon the current stage of the intervention's development. For example, an intervention may be 'promising' because of its strong theoretical basis, but may not have been implemented in practice or subjected to any form of evaluation. Where projects are at such an early stage, we would expect an application to be small scale and to focus on feasibility and early piloting. In contrast, some interventions may be more developed, with initial evidence of promise from previous evaluation of the approach (e.g. pre- and post-test assessments; a matched study; a trial conducted in another context). Appendix C contains further detail regarding our expectations for pre-trial development work.

Comparison or controlled trials or evaluations. We will consider comparison or controlled trials or evaluations where there is a particularly important and innovative intervention that has already been subjected to formal pre-trial development work. We will also consider funding large-scale trials where the evaluation has a strong design and where there are good prospects for wider implementation. All trials should be pre-registered on an appropriate trial registry such as the ISRCTN Registry or AEA Trial Registry. We do **not** fund projects that simply involve 'rolling out' a well-known way of working to new areas.

Research translation. In some of our areas of interest, practitioners in our priority domains (such as teachers, judges, social workers etc.) have limited access to data showing how systems operate and the outcomes they achieve, and to how to embed this knowledge into practice. We are therefore interested in projects that explore how different approaches can help practitioners to use existing or new data to improve outcomes or service provision in our areas of interest.

Developmental projects. In addition to research, we occasionally fund projects of a more **developmental** nature. These must have direct bearing on, or strong links to, our funding priorities. They may or may not lead to larger scale applications for funding from the Foundation. Examples might include:

- Initial development or feasibility studies for practical project interventions, with relevance to wider populations, i.e. beyond those directly involved in the project.
- Small-scale inquiries, working parties or similar mechanisms to engage and deliberate with a range of stakeholders to reach common ground on a priority policy or practice issue and research/identify a potentially workable way forward.
- Exploratory analysis of new data to inform the feasibility and potential for further analysis.
- Small-scale deep-dive/observational studies to understand the operation of a policy or practice area to inform a larger scale project or initiative.

In each type of project, it is essential that the approach chosen is methodologically rigorous, draws on the right range of disciplines to address the proposed questions, and is proportionate to the likely impact of the project. Further guidance on key methodological considerations is outlined later in Section 5 on *Full applications*.

2.4 Size and duration of grants

Research, development and analysis grant requests should usually be between £10,000 and £500,000. Most of the grants we award are between £50,000 and £300,000. We occasionally make grants larger than £500,000, but these are an exception and often require a bespoke timescale for consideration and decision, which would require discussion with the Foundation. Many of our large-scale projects build on earlier Foundation involvement in individual projects, initiatives or clusters of work. Potential applicants for grants over £500,000 should contact the relevant domain director or email applications@nuffieldfoundation.org and we may be able to advise.

We occasionally make smaller grants for pilots or research, development and analysis work costing less than £10,000.

Most projects that we fund are between six months and three years in duration, but we will occasionally consider proposals that have a longer timescale.

Please note that the Nuffield Foundation announced a Strategic Fund in July 2019, and applications for this fund open from 1 October 2019. The £15m Strategic Fund is intended for ambitious, interdisciplinary research proposals beyond the normal scope of the research, development and analysis grants. Strategic Fund grants will typically be in the range of £1m to £3m. For applicants who want to do some initial exploration of ideas, we are also providing the opportunity to apply for seed corn funding. Further details of the Strategic Fund, including the Strategic Fund Guide for applicants and how to apply, can be found [here](#).

2.5 Eligibility

We have few hard and fast rules about eligibility but offer the following guidance in response to the most frequently asked questions we receive: **The best way to get a clear answer to your question is to submit an outline**. The outline process is specifically designed as a mechanism for you to test out your ideas with us. It is often hard for us to offer steers without as the level of detail requested in an *Outline application*, and we do not have the capacity to offer tailored advice to the very many 'pre-outline' queries we receive.

Non-UK applications

In general, we award grants to a wide range of organisations including, but not confined to, universities based in the UK and for projects focused on the UK context. We do however, welcome applications from UK-based organisations to carry out collaborative projects, possibly involving overseas partners (and/or exploiting data relating to other countries), for example where:

- These provide useful comparators for UK experience in our areas of substantive interest.
- There are lessons to be learned from international experiences.
- Policy or practice overseas might be adapted for the UK.
- There is a capacity building dimension that might benefit the UK.

In exceptional circumstances, we might consider an application from an overseas organisation along the lines of the above where there is no workable arrangement whereby a UK-based organisation can host the grant. In these cases, the applicant must convince us that there are adequate arrangements for dissemination, engagement and impact in the UK context.

Other funders

In some circumstances we will accept applications for projects that are being considered by another funder, pending discussion with our Programme Heads. However, we are unlikely to fund proposals that have been unsuccessful elsewhere unless the project is truly outstanding and central to our areas of interest. Although the Foundation does not contribute to general appeals for pooled funding, in some circumstances we will consider partnership funding. Where applicants wish to propose a partnership funding model, we would expect applicants to argue the case for such an approach within their *Outline application*. Further guidance is given in Section 4.2 below.

Multiple proposals

Where applicants wish to seek funding for more than one project, we are willing to consider more than one *Outline application* from the same organisation. However, applicants should bear in mind that it is unlikely that we would shortlist more than one *Outline application* from a single PI within a given funding round.

Exclusions

Some specific categories are not eligible for funding from our research, development and analysis calls:

- Individuals without a formal employment or other relationship with the institution hosting the grant.
- Projects led by individuals unaffiliated to any particular organisation.
- Projects led by schools or further education colleges.
- Projects led by undergraduates or masters students.
- PhD fees or projects where the main purpose is to support a PhD.
- The establishment of academic posts.
- Ongoing costs or the costs of 'rolling out' existing work or services.
- 'Dissemination-only' projects, including campaigning work, which are not connected to our funded work.
- Local charities, replacement for statutory funding, or local social services or social welfare provision.
- Requests for financial help or educational fees from or on behalf of individuals.

3. Overview: the application process and what we look for

The Nuffield Foundation seeks to be a flexible and engaged funder that offers more than money. We usually have two 'open' funding rounds each year, in which we welcome the submission of ideas for projects that fit our mission in one or more of our three domains of Education, Welfare and Justice. See our website for the current [application timetable](#). We ask applicants to indicate which of the domains, if any, their project *best* fits so that it can be directed to the appropriate team for initial sifting. However, there are no separate budgets or criteria for the different domains, and potentially promising *Outlines* are often shared internally so that they can benefit from the range of experience in the team.

We receive some 400-500 applications each year of which a small minority (typically less than one in ten) are funded. To help manage demand, while offering a personal approach to those with the most promising ideas, we have designed a phased process with two key stages. The first stage is an *Outline application*, comprising a short online application form where applicants can briefly layout their proposal. Each *Outline application* is screened by one or more members of our grants team, all of whom are experienced in conducting and managing research in policy and practice settings. We consider the following factors:

- **Relevance** - an interesting question/issue that fits the Nuffield Foundation's mission and is relevant to the questions in our three domains. There should be a clear articulation of what you intend to do, why it matters, and what difference it will make.
- **Rigour** - for analysis and drawing conclusions as well as design/data collection. Methods need to be right for the question (and many of our questions need some quantitative analysis). See Section 2.3 for further advice on methodological considerations.
- **Engagement** - with policy and/or practice, as well as public dissemination through the media and other channels. Engagement needs to be end-to-end, not just at dissemination stage.
- **Impact** - explanation of the potential for impact: clarity of outputs and outcomes and the relationship between the two.
- **Resources** - strong team and appropriate budget.

This *Outline* process provides a fair way to offer all potential applicants the opportunity to test out their ideas with the Foundation. Typically, between one in six and one in eight of *Outline* applicants are invited to submit a *Full Application*, which we usually send for external peer-review before being assessed by Trustees. We do not operate a quota and applications are judged on quality.

Having assessed a *Full Application*, Trustees may decide to offer a grant, or to request further clarification or specific conditions before awarding a grant, or they may decide not to award a grant. The whole application process is likely to take between six and eight months for most projects, although occasionally we will agree a bespoke timescale with you. The flowchart on the next page provides an overview of the application process. Potential applicants should refer to our website for the latest application deadlines. Applicants should note that the start date for any project should be at least two months after the month of the Trustees' decisions. You will be informed of the likely decision date by the grants team.

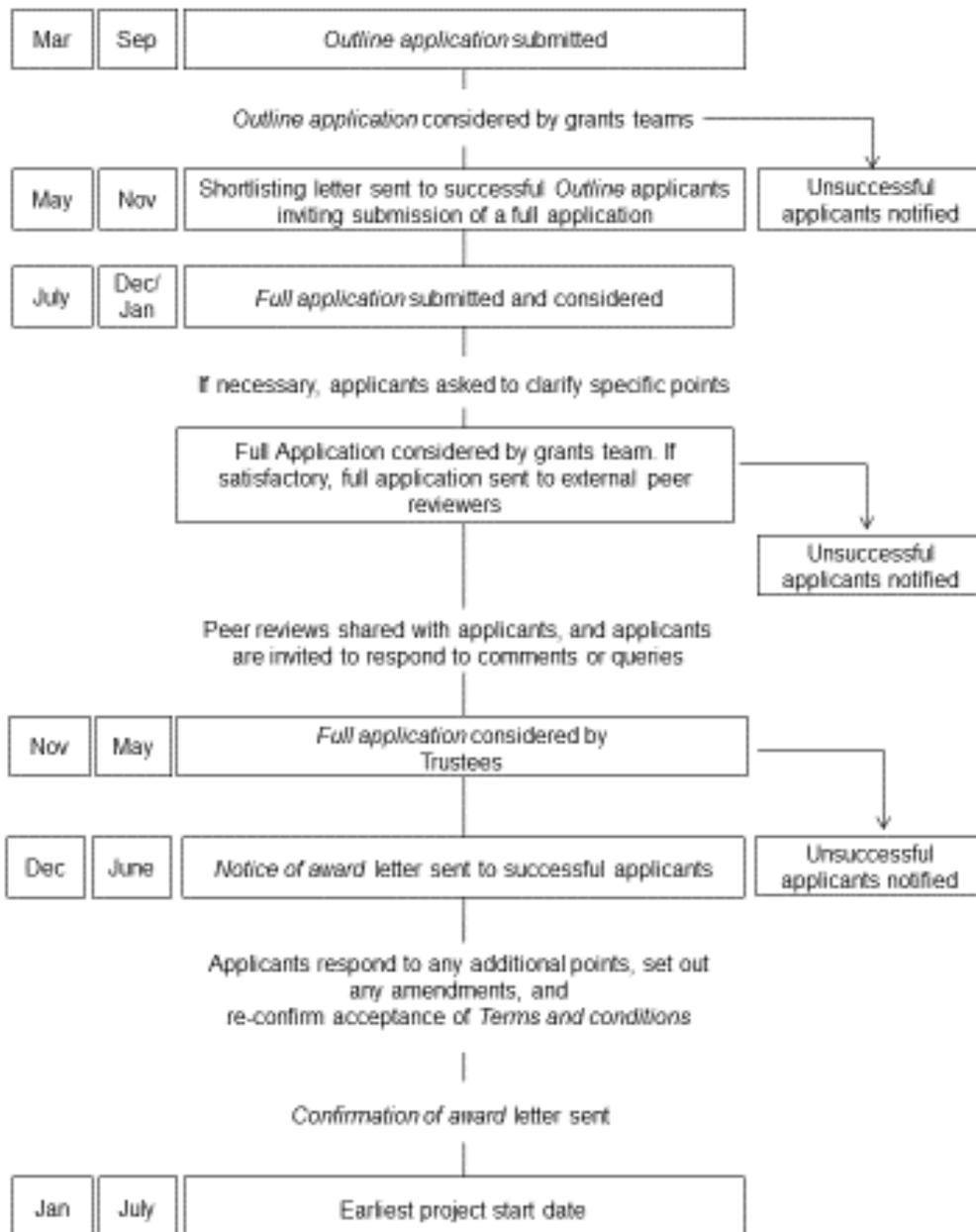
Updated 22 June 2020

All proposed projects must be led by a named Principal Investigator (PI), who is the lead applicant. PIs must take overall responsibility for the application and be the main point of contact with the Foundation throughout the application process and for the duration of any subsequent grant period. We award grants to organisations (the 'host institution') rather than individuals, and the PI must be based at the host institution.

Individuals who will assist the PI in the management and leadership of the project may be named as co-investigators. Given the level of responsibility that these individuals would need to take for the conduct of the project, we would not expect more than two or three individuals to be named as co-investigators.

Application process overview chart

The months on the left hand side provide an indication of our two grants rounds, but applicants should check the [application timetable](#) on our website for key dates and deadlines.



4. Stage 1: *Outline applications*

Outline applications must be submitted via our [online form](#). Applications need to provide a clear, concise and compelling account of your proposal, why it is needed and the impact it is expected to achieve. The *Outline* must demonstrate that the project fits within the Foundation's interests, clearly articulate the aims and objectives and demonstrate that the approach, methodology and activities are well-considered, fit for purpose and appropriately resourced (staff, time and costs).

Your *Outline application* must stand alone to make your case, without any need for the reviewers to undertake further research or to follow up the bibliographic references in order to judge the application.

We receive a large volume of *Outline applications* in each round. It is therefore important that you follow the guidance here to enable reviewers to judge your application on its merits. Only a small proportion of *Outline applications* are shortlisted to proceed to a *Full application* and we will offer constructive advice and support to those shortlisted to help them put their best foot forward when Trustees make decisions about their proposals.

Due to the large number of *Outline applications* we receive in our responsive rounds, we are not able to meet with, or offer bespoke advice to, prospective applicants prior to the submission of an outline, nor to provide specific feedback on unsuccessful *Outline applications*.

4.1 *Outline application form*

You can find the *Outline application* form via the [Nuffield Foundation website](#) or via this [link](#).

- You **must** use this online form to submit your *Outline application*. If there is a legitimate reason why we need to consider an offline application, then you should contact us at outlines@nuffieldfoundation.org to discuss an alternative method.
- You **must** follow the guidance in the online *Outline application* form on word / character limits and attachments. You will not be able to submit your application if it exceeds the word or character limits, or if you do not answer mandatory questions.
- Please provide supporting documentation as attachments where prompted.
- The *Outline application* form cannot accept rich text format. You may therefore provide additional information in the form of charts, diagrams, tables or budgetary explanations as an attachment if required. This can be attached as a single file in Word, Excel, PowerPoint or text-searchable PDF format. However, we would **strongly** prefer that all relevant information regarding your *Outline* is covered in the sections within the form, without the need for a separate attachment.
- Please pay attention to the FAQs section in Annex A, particularly with regard to saving progress and returning to the application later, and to the process for saving a copy of the application before submitting.

4.2 Sections of the *Outline application form*

In each section of the application form there is guidance on the types of questions you should answer in completing the section. Not all of these questions will be applicable to all projects, and there will be a distinction between research, development and analysis projects. The sections also indicate how much detail you should provide. You should aim for a balance that is sufficient for Foundation staff and Trustees to assess the importance, value and rigour of your proposal. Further guidance is contained in the table below which gives details on the sections and, questions of the *Outline application form*, together with word and character limits. (For applicants who have previously applied to the Nuffield Foundation's Research, development and analysis grants rounds, the structure, sequencing and detail will be very familiar.)

Section	Type of field	Character/word limit	Mandatory or optional field	Other notes
Page 1	<i>Details of the Principal Investigator, PI's organisation and any Co-Investigators.</i>			
Main focus of your project	Dropdown		Mandatory	Education, Justice or Welfare
PI's title	Dropdown		Mandatory	
PI's first name	Free text	40 characters	Mandatory	
PI's last name	Free text	80 characters	Mandatory	
PI's position/job title	Free text	128 characters	Mandatory	
PI's email address	Email field	80 characters	Mandatory	
PI's telephone number	Free text	40 characters	Mandatory	
PI's organisation name	Free text	80 characters	Mandatory	
PI's organisation department	Free text	80 characters	Optional	
Is organisation a UK registered charity?	Dropdown		Mandatory	
Registered charity number/reference	Free text	255 characters	Optional	If organisation a registered charity
Charity regulator	Dropdown		Optional	If organisation a registered charity
Organisation address - Building name/number and street	Free text	255 characters	Mandatory	
Town/city	Free text	40 characters	Mandatory	
County	Free text	80 characters	Optional	
Country	Dropdown		Mandatory	
Postcode	Free text	10 characters	Mandatory	
Are Co-Investigators involved in this project	Button		Mandatory	Selection of Yes will generate

				detail fields for Co-Investigator
Add another Co-Investigator	Button		Optional	Selection of Yes will generate detail fields for Co-Investigators
Page 2	<i>Proposed project dates, project focus, project summary and any non-standard funding arrangements</i>			
Project title	Free text	80 characters	Mandatory	
Proposed start date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date in "DD/MM/YYYY" format
Proposed end date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date in "DD/MM/YYYY" format
Does the proposed project focus on the following geographical area (You may select more than one category)	Checkboxes		Mandatory	England, Scotland, Wales, Northern Ireland, or International/ non-UK
Does the proposed project focus on urban populations, non-urban populations, both or neither	Dropdown		Mandatory	
Does the proposed project focus on specific locations or a type of location e.g. region, city, category of towns	Dropdown		Mandatory	
Project summary	Free text	250 words	Mandatory	

Have you applied, or are you applying, elsewhere for funds for this project, or for a similar or related project?	Dropdown		Mandatory	
Please give full details here...	Free text	500 words	Optional	If you have applied, or are applying, elsewhere for funds for this project, or for a similar or related project.
If you wish to propose a partnership funding model...	Free text	500 words	Optional	Please identify here the proposed co-funders and explain why a partnership funding model would be beneficial
Page 3	<i>Details of the proposed project</i>			
A. Case for the importance of the project:	Free text	500 words	Mandatory	
B. Aims and objectives:	Free text	500 words	Mandatory	
C. Methods, approach and activities	Free text	1400 words	Mandatory	
D. Outcomes, outputs and dissemination:	Free text	350 words	Mandatory	
E. Staffing:	Free text	350 words	Mandatory	
Choose file - add CV	File upload		Optional	
Add another CV	File upload		Optional	
F. Timetable:	Free text	700 words	Mandatory	
G. Budget:	Number fields		Mandatory	See further details below.
H. Bibliographic references:	Free text	350 words	Mandatory	
Additional information	File upload		Optional	
Page 4	<i>Declaration and electronic signature before confirming and submitting the application</i>			
Declaration/signature	Free text		Mandatory	

On the *Outline application*, you must state if you are applying or have applied for funds for your project elsewhere. We will judge your application on its merits but reserve the right to contact the relevant person at the other funding organisation(s) for information. Where applicants wish to propose a partnership funding model, we would expect them to argue the case for such an approach within their *Outline application*. This should provide the name and

contact details of the proposed co-funder and set out the reasons for considering a partnership funding model so that we can take this into consideration when reviewing your application. We would usually expect to contact the proposed co-funder to discuss the feasibility of co-funding prior to a funding decision being made by the Foundation's Trustees.

In each section of the application form there is guidance on the types of questions you should answer in completing the section. Not all of these questions will be applicable to all projects. The sections also indicate how much detail you should provide. You should aim to provide a sufficient level of detail for Foundation staff and Trustees to assess the importance, value and rigour of your proposal. Some further guidance is below.

A key section of your *Outline application* is Section C: **Methods, approach and activities**. The purpose of this section is to set out the work you will undertake to achieve the aims and objectives, and to address the research questions, if applicable. It must demonstrate that the proposed design is fit for purpose, the project is feasible and that a high-quality project will be delivered. We need to understand that any risks to the analysis or limitations to the data have been recognised and that there is a plan in place to deal with them. We do not require the full details but need sufficient information to make these judgements.

For **research and analysis** applications, we need to see:

- An account of whether your approach is designed to be exploratory, to provide a robust descriptive account, or to infer/understand causality (or a combination of these).
- Clarity on both the population of interest and the unit of analysis; a definition of who will be included in the study and explanation of why; an assessment of whether some important groups will be excluded, the reasons for this, and the impact upon the study.
- A description of the research methods proposed, whether primary research or secondary, and a rationale for why these have been proposed. Details of the approach to research synthesis/review, data collection or analysis as relevant. For each approach, you should provide sufficient information for the reviewer to assess its scientific rigour. For example, you may need to cover:
 - For any form of sampling - information on the proposed sampling method, planned issued and achieved sample sizes, and issues of bias to be considered.
 - For quantitative analysis – an assessment of whether the sample sizes are big enough to test the key relationships with sufficient confidence, including subgroup analysis.
 - For qualitative work – how the sampling strategy will ensure an appropriate range of individuals and experiences are covered, and the approach to analysis.
 - For evaluations - how the 'counterfactual' will be assessed and what effect sizes will be detectable.

We do not expect all **development projects** to succeed in leading to further work, but we still expect significant rigour in their design and delivery. They require significant skill and

experience to ensure they are delivered successfully and that any potential to lead to further work is properly explored. As an applicant for a development project, you will need to set out what you will do, how you will do it, why you have chosen the proposed approach, and initial thoughts on how the activities proposed might lead to further work. It is particularly important to set out whether the proposed team has previous experience of applying the proposed approach, and in moving projects out of development phase.

For the **Timetable** (Section F) and **Budget** (Section G), we do not expect a detailed timetable or budget breakdown in the *Outline application*. However, we do need:

- To be given sufficient information to help us judge whether the overall timeframe, and sequencing of key stages in the project, fits with its aims, objectives, and approach.
- An estimated budget that indicates the split between salary costs (including on-costs), estate costs and other direct costs (e.g. non-staff costs for quantitative and qualitative research) and complies with our *Budget guidelines for Outline applications* (see Appendix B).

In considering your timetable, please take into consideration the requirements of the Foundation that grant-holders publish a freely available *Main public report*, which serves as a concise and accessible account of the project, drawing out key findings and recommendations. This report must be published and disseminated **before** the end of grant date.

It is not necessary to include any additional information to that requested in the application form. However, if you feel it is important to include additional information that is supportive of your application (e.g. a letter of support from a key stakeholder who will need to provide access to data or is pivotal in delivering impact) you may do so. If you are providing additional information, it must be submitted in a single attached document in Word, Excel, PowerPoint or readable PDF format.

For shortlisted applications, we understand that the budget, timetable and some other aspects of your proposal may be refined between *Outline* and *Full application* stage, and indeed the feedback we provide on shortlisting may well prompt some of these changes.

4.3 How to submit your *Outline application*

The latest deadlines for *Outline applications* can be found on our website. You should review the website regularly as deadlines may be subject to change.

You must complete the online *Outline application* form on the [Nuffield Foundation website](#) or via this [link](#).

Once you have submitted your *Outline application*, you will no longer be able to access the form to download or edit it. Therefore, in order to save a copy, please select **Review and Print Before Submit** at the end of the form. This will generate a summary of your application – please note that this preview feature will only show the basic text of the

application, whereas the submitted application will retain any formatting – scroll to the bottom and click Print this page. In the print preview screen, go to the left and select the Destination drop down, choose Save as PDF. This will let you save a copy of your application to your PC.

You must click **Confirm** on the *Outline application* form for your application to be submitted to the Foundation. We will not receive your application if this is not selected at the end of the application form.

Once an *Outline application* has been completed and submitted, you should receive an email confirming receipt of your application and providing a reference number for your application.

If you have any concerns or queries about your *Outline application*, please contact outlines@nuffieldfoundation.org. Please ensure you include the name of the PI and if you have received it, the application reference number included in your confirmation email.

4.4 What happens next?

Research professionals in our grants team (Programme Heads and Directors) are experienced in undertaking, commissioning or managing empirical social science research, to inform policy and practice. They review every eligible *Outline application*, and may consult Trustees or other key stakeholders. *Outline applications* are judged against our criteria and also in comparison with the large number of other applications we receive. Therefore, even if your *Outline application* meets our formal criteria, there is no guarantee it will be shortlisted to proceed to a *Full application*.

We let each applicant know in writing whether they have been shortlisted to submit a *Full Application*. Our open calls are extremely competitive and we shortlist only a small proportion of proposals so that we provide the right advice and support at the next stage. We therefore focus our feedback on those outlines that have been shortlisted, and a few that are promising but would need further work before being ready to shortlist.

The date by which we aim to inform all applicants of our decision is set out on our website. If you do not hear back by the specified date, you should contact outlines@nuffieldfoundation.org.

If your application is shortlisted, our letter will set out any comments and questions raised by staff and Trustees in the shortlisting process. These must be addressed in the *Full application*. The date by which you must submit your *Full application* will be provided in your letter.

Please note that Full applications must be submitted online using the instructions given in the emailed letter inviting you to prepare the Full application.

We aim to ensure that applicants have around six weeks to prepare their *Full application*. We do not generally allow deferrals to a later round unless there is a strong case for doing

Updated 22 June 2020

so. Unless we agree an alternative timescale with you, if we do not receive your *Full application* for the next deadline, we will consider your application withdrawn.

We may request a discussion with shortlisted applicants to help them fully consider our feedback. Shortlisted applicants may also request a discussion with Foundation staff if they want clarification on any feedback in the letter.

We do not provide substantive feedback on unsuccessful *Outline applications*, or accept resubmissions of the same *Outline*.

5. Stage 2: Full applications

Full Applications must be submitted via our online form. This will be shared directly with successful applicants after their *Outline application* has been reviewed by Programme Heads. Your *Full application* should be a detailed exposition that is clear both to peer reviewers and Trustees, not all of whom will be expert in the area. It needs to be standalone and comprehensive, fully demonstrating why your project is important and that your approach will deliver a high quality and impactful project.

Applicants should read our [Terms and conditions](#) before submitting their *Full application*. Your host institution must accept these *Terms and conditions* in principle when you submit your *Full application*. If your application is successful, your host institution will be asked to formally accept the *Terms and conditions*.

You should also read the [Guide for grant-holders](#), as this sets out in detail our expectations of successful applicants.

5.1 Full application form

You will receive an email notification from us if your outline application has been successful, this email will provide a link to the Nuffield Foundation Community, where the *Full application* form in addition to guidance regarding the submission of your full application can be found. The email notification will also lay out key information such as the deadline for applications, feedback specific to your application and any other requirements necessary for the Foundation to consider your application. Upon submission of your completed Full application form you will be asked to complete a more detailed version of your budget, under the same broad headings requested at Outline stage.

- You **must** follow the guidance in the online *Full application* form on word / character limits and attachments. You will not be able to submit your application if it exceeds the word or character limits, or if you do not answer mandatory questions.
- Please provide any potential supporting documentation as attachments where prompted.
- The *Full application* form cannot accept rich text format. You may therefore provide additional information in the form of charts, diagrams, tables or budgetary explanations as an attachment if required. This can be attached as a single file in Word, Excel, PowerPoint or text-searchable PDF format via the Additional Information section of the *Full Application* form. However, we would **strongly** prefer that all relevant information regarding your *Full application* and budget are covered in the sections within their respective forms, without the need for a separate attachment.
- Please pay attention to the FAQs section in Appendix A, particularly with regard to saving progress and returning to the application later, and to the process for saving a copy of the application before submitting.

It is not necessary to include any additional information to that requested in the application form. However, if you feel it is important to include additional information that is supportive of your application (e.g. a letter of support from a key stakeholder who will need to provide access to data or is pivotal in delivering impact or a short technical appendix) you may do so. Any additional information should be included in one document and uploaded via the Additional Information section of the *Full application* form.

Your application must be sufficiently detailed to satisfy experts of your knowledge and grasp of the subject and why it is important, and the appropriateness of your chosen methods, approach and activities, while at the same time being comprehensible to lay people. It should build on your *Outline application*, providing fuller information and taking into account the feedback received from the Foundation. It is particularly important that your *Full application* follows through on your intended outcomes, and what activities you will undertake to deliver these.

At *Full application* stage we expect:

A much fuller and more detailed account of your proposed **Methods, approach and activities** (Section C). This should be the most substantial and detailed part of your application, comprising a presentation of your proposed activities and how they will achieve the aims of the project. For research proposals, you must provide a comprehensive description of the methodology for both qualitative and quantitative approaches, and articulate their elements with reference to the research questions. Include the methods of data collection and analysis you plan to use and your rationale for choosing them. We will be looking closely at whether the methods chosen are appropriate and sufficiently rigorous to address the questions you are asking, and whether the project is feasible.

Where a project includes **primary data collection**, you must supply full details of the rationale for the sampling strategy. This should include a clear description of the population of interest, and how you will select and recruit the sample and any sub-groups within it. We expect a full account of the theoretical, technical and practical issues that have influenced your selected methodology/approach.

If this involves **quantitative data collection**, you should provide information about both your issued and achieved sample sizes, along with appropriate power calculations, and how you will account for expected attrition. Where the project involves a survey, you must provide details of the approach to implementation, and demonstrate an understanding of the practical implementation challenges as well as statistical theory. If your study involves collecting data in a systematic and quantifiable way from electronic or paper records, (e.g. court files) you need to state what data is held in what form, identify issues of data quality and consistency and set out how the data will be accessed, collected and manipulated to be in a useable form for analysis.

If this involves **qualitative data collection**, you should clearly set out the approach you are suggesting for each group (e.g. one to one in-depth interviews, focus groups, deliberation) and identify any specific tools or interviewing techniques you intend to deploy to elicit quality data. You should also set out the approach you intend to take for the analysis and presentation of findings.

For all projects that include primary quantitative or qualitative data collection, you should set out whether you plan to deposit the data at an appropriate archive to ensure data is available for future research. You should explain:

- What you will say to participants about how their data will be used, including any statements about anonymised data.
- How data will be anonymised, which data archive will be used or, if an archive is not appropriate, what other arrangements will be made to enable other researchers to access your data.
- The timescale for the deposit, which should be within one year of grant completion.

If you do not think it is appropriate to deposit the data for future use, you should say why this is. Any costs related to preparing data for archiving should be included in your budget.

Where you propose **secondary data analysis of existing data sources** – surveys, administrative data or other sources – you must explain how the source is appropriate to address the aims and objectives of the project, how you will obtain access to the data source, and what further manipulation of the data may be necessary to make it fit for purpose. You should also include an analysis plan. Researchers should use and integrate the data sources that best address their research questions (rather than focusing on only one dataset and then using separate projects to interrogate other datasets to examine the same issue).

For reviews and synthesis, including formal meta-analysis as well as other systematic and narrative reviews, you need to demonstrate that your approach will deliver a critical assessment of empirical research or policy/practice initiatives, drawing out implications for policy and practice, or generating a new research agenda. You will need to demonstrate that you have undertaken preliminary work to establish there is sufficient literature to review.

You will need to explain how relevant research would be identified (i.e. which databases will be searched) and include details about how you would assess the quality of studies and other inclusion criteria.

For **pre-trial development work**, there needs to be potential for the work to progress to decisive outcome trials, and interventions which are being tested must be based on strong evidence, for example about the:

- scale and nature of the problem that the intervention seeks to address;
- causal mechanisms at the heart of any programme design;
- practicality of implementing the proposed intervention in the chosen setting;
- potential effect sizes; and the
- feasibility of conducting an evaluation of sufficient scale and rigour to provide convincing evidence of effectiveness.

Please see Appendix C for further detail regarding our expectations for pre-trial development work.

We usually expect pre-trial development work to be undertaken separately and independently from formal large-scale comparison or controlled trials to establish potential effectiveness (including cost effectiveness). Applicants must set out why any particular concept or approach – as opposed to others that may already be available or in development – warrants further development and testing.

Evaluations, whether process, impact or economic, will often require a mix of methods in order to address the research questions and meet the wider project objectives, and you should therefore apply the guidance above where relevant. In addition, you should provide details about:

- the underlying theory for the intervention proposed for evaluation;
- how any ‘counterfactual’ would be assessed;
- the outcome measures you would use, including their validity, reliability and how these would be collected; and
- estimated sample sizes and whether these would provide sufficient power to detect the expected effect size, with reference to previously observed effect sizes where relevant.

In the *Full application* you must also more fully elaborate on the intended **Outcomes, outputs and dissemination** (Section D) activities designed to support this. You should outline the key mechanisms you will use, such as conferences, seminars, meetings with senior policy makers, or the production of online communications or publications aimed at wider audiences. This will form the basis of the *Communications plan* for the project, should it be funded. We view research reports, briefing papers, other publications, seminars and other events as outputs. These may or may not lead to policy or practical change (outcomes). While we welcome the production of academic journal articles, these are not usually the primary outputs of the projects we fund. All research, development and analysis projects should produce **at least one report aimed at as broad an audience as possible and which is freely and publicly available**. We recommend that you read the [Guide for grant-holders](#) as this sets out in detail our expectations.

You must also provide details of your plans for engaging with **experts and key stakeholders** (Section F) during the project to support the delivery of a high quality and impactful project. You should make sure that your costs take into account this engagement and delivering against the *Communications plan*. The [Guide for grant-holders](#) provides full details of our expectations.

You must provide information on your approach to **quality assurance and risk management** (Section G). You should include details of how you will assure the quality of project design, analysis and interpretation of the findings, and project outputs. In this section, you should also identify any limitations and risks to the project, including any measures you propose to manage and mitigate them.

The *Full application* also requests details to assure us that the **Legal and ethical aspects** of the project, and the processing of personal data (Section Ha & Hb) have been fully considered and that there is an appropriate ethical clearance procedure in place before the project commences. Projects that involve direct contact with participants (‘primary research’)

are required to pass through independent ethical scrutiny. It is the PI's responsibility to meet this requirement, and the responsibility of the host institution to:

- ensure appropriate provision for scrutiny is in place; and
- accept responsibility for the ethical conduct of the research.

We expect larger research institutes and universities to have standard procedures in place for ethical scrutiny. Where there are no such procedures, we are willing to consider alternative arrangements, for example an independent advisory committee convened specifically for the purpose, or use of a scrutiny committee from another institution. Your budget should include any costs associated with ethical or similar scrutiny.

At *Full application* stage we **require a detailed timetabled project plan** (Section J) that sets out the various work streams across the months of the project and includes when you would propose to deliver the various requirements of the grant (see [Guide for grant-holders](#) for full details). You may wish to submit a separate technical appendix for quantitative analysis plans, or may also present this information in Gantt chart form for ease, though this will need to be submitted as part of the document uploaded in the Additional Information section. Please note this document should not exceed three pages.

Similarly, we require full budgetary information (Section K) which will be requested once the *Full application* form has been completed. Once you have completed this form, you will be directed to a page that contains a link that will allow you to submit your budget information.

Please note, entering the project budget breakdown will complete your application. Once the budget has been submitted, you will receive your application submission confirmation email. For details of eligible costs and budgetary guidance please refer to Appendix B.

We need to be confident that **Staffing** (Section E) for the project is appropriate and that staff have the necessary expertise to conduct the project proposed. You must therefore provide the information required to make this assessment in the appropriate part of the application form and by including short CVs (one page each) that focus on the skills and experience of the individual relevant to delivering this project. In addition to information on how you will manage the contributions of staff working on the project, you should also set out your proposed project management arrangements for the grant.

We are keen to develop the **future pipeline of empirical researchers** in our fields of interest, through the development of less experienced staff in the proposed team, and to encourage interdisciplinary teams that share and develop their expertise. Demonstrating this in your proposal will be considered favourably by the Foundation.

We encourage applicants to look at the details of our student programmes, such as [Nuffield Research Placements](#) and [Q-Step](#), and consider whether the project could provide opportunities for research placements for students in school sixth forms (S5/6 in Scotland), sixth form colleges, further education colleges or universities.

5.2 Sections of the *Full application form*

In each section of the application form there is guidance on the types of questions you should answer in completing the section. Not all of these questions will be applicable to all projects, and there will be a distinction between research, development and analysis projects. The sections also indicate how much detail you should provide. You should aim for a balance that is sufficient for Foundation staff and Trustees to assess the importance, value and rigour of your proposal. Further guidance is contained in the table below which gives details on the sections and, questions of the *Full application form*, together with word and character limits.

Section	Type of field	Character/word limit	Mandatory or optional field	Other notes
Page 1	<i>Details of the Principal Investigator, PI's organisation and any Co-Investigators.</i>			
Main focus of your project	Dropdown		Mandatory	Education, Justice or Welfare
Title	Dropdown		Mandatory	
Title Other	Free text		Optional	
First Name	Free text	30 characters	Mandatory	
Last Name	Free text	70 characters	Mandatory	
Position/job title	Free text	112 characters	Mandatory	
Email Address	Email field	80 characters	Mandatory	
Telephone Number	Free text	29 characters	Mandatory	
Parent Organisation	Free text	80 characters	Optional	e.g. University of York
Organisation/Department	Free text	47 characters	Mandatory	e.g. Department of Physics
Organisation Address - Building name/number and street	Free text	247 characters	Mandatory	If you have entered a department, please use the address of the department.
City	Free text	34 characters	Mandatory	
County	Free text	80 characters	Optional	
Country	Dropdown		Mandatory	
Postal Code	Free text	12 characters	Mandatory	
Are Co-Investigators Required	Button		Mandatory	Selection of Yes will generate detail fields for Co-Investigator
Add another Co-Investigator	Button		Optional	Only visible if 'Yes' is chosen to previous question.

				Selection of Yes will generate detail fields for Co-Investigators
Page 2	<i>Proposed project dates, project focus, project summary and any non-standard funding arrangements</i>			
Project title	Free text	80 characters	Mandatory	This should be short and descriptive
Proposed start date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date manually if required in "DD/MM/YYYY" format
Proposed end date of grant	Calendar field		Mandatory	The calendar function may not appear correctly in some internet browsers (such as Edge or Internet Explorer). You can enter the date manually if required in "DD/MM/YYYY" format
Geography (You may select more than one category)	Checkboxes		Mandatory	Geography focus of the project: England, Scotland, Wales, Northern Ireland, or International/ non-UK
Does the proposed project focus on:	Dropdown		Mandatory	Urban populations, Non-urban populations,

				Both, Not Applicable
Does the proposed project focus on specific locations or a type of location e.g. region, city, category of towns	Dropdown		Mandatory	YES (Please specify), No
Other project focus location:			Mandatory	Only generated if YES is selected for the previous question
Project summary	Free text	250 words	Mandatory	
Have you applied, or are you applying, elsewhere for funds for this project, or for a similar or related project?	Dropdown		Mandatory	
Please give full details here...	Free text	500 words	Optional	If you have applied, or are applying, elsewhere for funds for this project, or for a similar or related project.
If you wish to propose a partnership funding model...	Free text	500 words	Optional	Please identify here the proposed co-funders and explain why a partnership funding model would be beneficial
Page 3	<i>Details of the proposed project</i>			
A. Case for the importance of the project:	Free text	700 words	Mandatory	
B. Aims and objectives:	Free text	700 words	Mandatory	
C. Methods, approach and activities	Free text	2100 words	Mandatory	
D. Outcomes, outputs and dissemination:	Free text	700 words	Mandatory	
E. Staffing:	Free text	350 words	Mandatory	
Choose file - add CV	File upload		Optional	
Add another CV	File upload		Optional	
F. Expert advice and stakeholder engagement	Free text	700 words	Mandatory	
G. Quality assurance and risk management	Free text	350 words	Mandatory	

H. Legal and ethical aspects (a):	Free text	700 words	Mandatory	
H. Legal and ethical aspects (b): Will you be processing personal data as part of the project?	Dropdown			Yes or No. Selection of Yes will allow you to upload your Privacy Impact Assessment and provide additional details
L. Archiving	Free text	700 words	Mandatory	
J. Timetable	Free text	700 words	Mandatory	
Choose file – add Timetable	File upload		Optional	
K. Budget				No data entry available – this section will explain the steps needed to submit your budget via the Nuffield Foundation Community
L. Bibliographic references	Free text	700 words	Mandatory	
Additional information	File upload		Optional	
Page 4	<i>Declaration and electronic signature before confirming and submitting the application</i>			
Declaration/signature	Free text		Mandatory	PI Signature required
Statement from PI	Free text		Mandatory	PI Signature required
Supporting Statement from PI's Institution				Please provide the name and email address of a senior person who will act as the signatory for your Grant.
First name	Free text	255 Characters	Mandatory	
Last name	Free text	50 Characters	Mandatory	
Email	Free text	50 Characters	Mandatory	

On Page 4 of the form, institutional signatory details are required (see table above). Please ensure that the individual is informed in advance that they have been nominated as a signatory, as the Nuffield Foundation will then use the contact details provided in the form to contact this individual with a link to a form which must be completed.

Updated 22 June 2020

Following submission of the completed form, applicants will be directed to complete a more detailed version of the budget, under the same broad headings requested at *Outline* stage:

Thank you for completing the application form. Please now enter the detailed budget breakdown from the Budget tab before submitting the application.
[Submit budget](#)
 * note you will need to be logged into the community to complete your budget.

Applicants should click on the Staff costs or Non-staff costs tabs to enter the budget line items.

Details Requirements Change Requests Payment Schedule **Budgets** Publication Dissemination Activities Files

Budget Management Submit Budget

Totals 1. Staff costs 2. Non-staff costs

Budget Total
£910.00

1. Staff costs - Totals

Category	Year (2019)	Year (2020)	Year (2021)	Year (2022)	Year (2023)	Total
A. Salaries and on-costs	£100.00	£100.00	£100.00	£100.00	£10.00 (£100.00)	£410.00
C. Overhead costs (non-HEIs only)	£100.00	£100.00	£100.00	£100.00	£100.00	£500.00
Totals	£200.00	£200.00	£200.00	£200.00	£110.00	£910.00

2. Non-staff costs - Totals

Category	Year (2019)	Year (2020)	Year (2021)	Year (2022)	Year (2023)	Total
Totals	£0.00					

Within these tabs, each type of cost shows relevant fields and dynamically shows the total calculation based on the entered numbers / values.

New Budget Line

* Name of Person

Year (2020)				
Annual salary (£)	Annual on-costs (£)	No. of months in this year	FTE	Calculated Total
<input type="text" value="£25,000.00"/>	<input type="text" value="£0.00"/>	<input type="text" value="12"/>	<input type="text" value="1.00"/>	£25,000.00
Year (2021)				
Annual salary (£)	Annual on-costs (£)	No. of months in this year	FTE	Calculated Total
<input type="text" value="£25,000.00"/>	<input type="text" value="£0.00"/>	<input type="text" value="6"/>	<input type="text" value="1.00"/>	£12,500.00

New Budget Line

*Name of Person

<small>Daily rate (£)</small> <input type="text" value="£300.00"/>	<small>Year (2020)</small> <small>No. of days in this year</small> <input type="text" value="10"/>	<small>Calculated Total</small> £3,000.00
<small>Daily rate (£)</small> <input type="text" value="£300.00"/>	<small>Year (2021)</small> <small>No. of days in this year</small> <input type="text" value="15"/>	<small>Calculated Total</small> £4,500.00
<small>Daily rate (£)</small> <input type="text" value="£0.00"/>	<small>Year (2022)</small> <small>No. of days in this year</small> <input type="text" value="365"/>	<small>Calculated Total</small> £0.00
<small>Daily rate (£)</small> <input type="text" value="£300.00"/>	<small>Year (2023)</small> <small>No. of days in this year</small> <input type="text" value="10"/>	<small>Calculated Total</small> £3,000.00

Applicants should enter values and save or use the Pencil icon under Actions to edit line items. Please note that the save button will not be available until a person’s name has been entered in the staff costs section, or until a description of the expense has been entered in the non-staff costs section.

a. Quantitative Research	<input type="button" value="New Line"/>																					
	<table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th>Year (2020)</th> <th>Year (2021)</th> <th>Year (2022)</th> <th>Year (2023)</th> <th>Total</th> <th>Actions</th> </tr> <tr> <td style="text-align: left;"><small>Description</small></td> <td style="text-align: center;"><small>Cost</small></td> <td></td> </tr> <tr> <td>Research Co</td> <td style="text-align: right;">£1,000.00</td> <td style="text-align: right;">£1,500.00</td> <td style="text-align: right;">£4,000.00</td> <td style="text-align: right;">£0.00</td> <td style="text-align: right;">£6</td> <td style="text-align: center;"></td> </tr> </table>		Year (2020)	Year (2021)	Year (2022)	Year (2023)	Total	Actions	<small>Description</small>	<small>Cost</small>	<small>Cost</small>	<small>Cost</small>	<small>Cost</small>	<small>Cost</small>		Research Co	£1,000.00	£1,500.00	£4,000.00	£0.00	£6	
	Year (2020)	Year (2021)	Year (2022)	Year (2023)	Total	Actions																
<small>Description</small>	<small>Cost</small>	<small>Cost</small>	<small>Cost</small>	<small>Cost</small>	<small>Cost</small>																	
Research Co	£1,000.00	£1,500.00	£4,000.00	£0.00	£6																	

In the Totals tab applicants can check the amount entered against the amount requested.

Budget Management

Totals 1. Staff costs 2. Non-staff costs

Requested Amount
£100,000.00

Budget Total
£100,000.00

1. Staff costs - Totals

Category	Year (2020)	Year (2021)	Year (2022)	Year (2023)	Total
A. Salaries and on-costs	£29,000.00	£16,500.00	£4,000.00	£4,000.00	£53,500.00
D. Consultants	£3,000.00	£4,500.00	£0.00	£3,000.00	£10,500.00
Totals	£32,000.00	£21,000.00	£4,000.00	£7,000.00	£64,000.00

When submitted, the Budget will be read-only to the applicant in the Nuffield Foundation Community until after the grant is awarded. Please note that the Foundation may change the budget entered if ineligible costs are identified or if changes are required in response to peer review comments.

Following submission of the application form and budget, an email will be sent to the nominated signatory containing a link to a form which must be submitted before the application can proceed to be reviewed. The form contains the following fields:

Section	Type of field	Character/word limit	Mandatory or optional field	Other notes
Pre-filled Signatory details				
Grant Reference	Free text	N/A	N/A	Pre-filled field based on full application form
Project Name	Free text	N/A	N/A	Pre-filled field based on full application form
Applicant name	Free text	N/A	N/A	Pre-filled field based on full application form
Signature area				
Title	Picklist	N/A	Mandatory	
Title Other	Free text	N/A	Optional	
First Name	Free text	30	Mandatory	
Last Name	Free text	70	Mandatory	
Email Address	Free text	80	Mandatory	
Position/Job Title	Free text	112	Mandatory	

Institutional Signatory

Nuffield Foundation

Grant Reference:
FR-000011983

Project Name:
Opening the Black Box: towards a transparent and widely-used tax-benefit model

Applicant Name:
[Empty field]

The institution confirms that we will administer any grant awarded according to the [Terms and conditions](#), ensure that the project is conducted legally and ethically, and that the stated budget has been approved *

Yes
 No

Submit

Contact Information

When the signatory confirms that the host institution will administer any grant awarded, they will be asked to confirm their contact details.

Please confirm your details below:

Title: * Title Other:
Please select... ▼ [Empty field]

First Name: *
[Empty field]

Last Name: *
[Empty field]

Email Address: *
[Empty field]

Position/job title: *
[Empty field]

Submit

Contact Information

5.3 What happens next?

Following receipt of the *Full application form, budget and institutional signature*, the grants team will assess whether the application is in line with expectations, including whether it addresses sufficiently any earlier feedback.

Please find below a table of approximate timings for the applications process. Please check our website for the most up to date information regarding application deadlines and Trustee meetings.

Stage	May Trustee Meeting	November Trustee Meeting
Full applications due	January	July
Nuffield checks full applications	January	July
Peer reviewers contacted	January - February	July - August
Applicants invited to respond to Nuffield and reviewer comments	February	August
Applications are finalised and shared with Trustees	March - April	September – October
Trustee meeting	May	November
Applicants informed of the outcome of their full application	Late May	Late November
Peer reviewers informed of the outcome of applications they reviewed	May - June	November - December
Liaison with successful applicants, finalisation of awards and issuing of confirmation documents	May - June	November - January

Reviewer comments

The usual process is to share the *Full application*, including budget, with a range of peer reviewers (from the research community, policy and practice where appropriate). We also seek comments from international reviewers where possible and appropriate. If we receive a *Full application* that does not contain all the information we need, and/or that has not sufficiently addressed earlier feedback in the letter inviting submission of a *Full application*, we may decide to reject the application without sharing the application with peer reviewers.

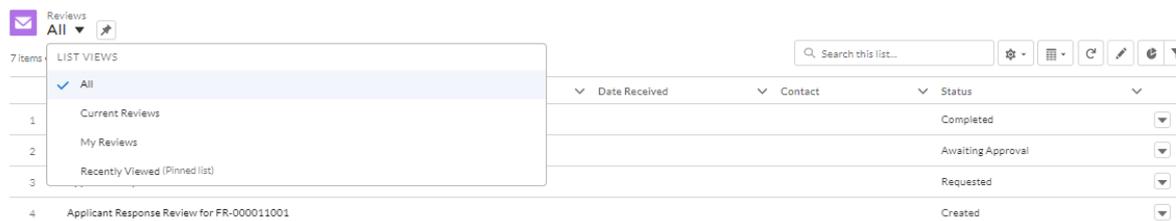
Peer reviewers are asked to consider: whether the project will be useful; whether the approach is appropriate and feasible; whether the staffing is suitable; the overall value for money of the application; whether the amount of funded time sought is reasonable; and whether the dissemination and stakeholder engagement plan is sufficiently comprehensive to deliver impact and outcomes.

Anonymised comments will then be shared with the applicant alongside any questions or concerns arising from the application, Applicants will receive an email requesting that you log into the Nuffield Foundation Community to view all reviewer comments.

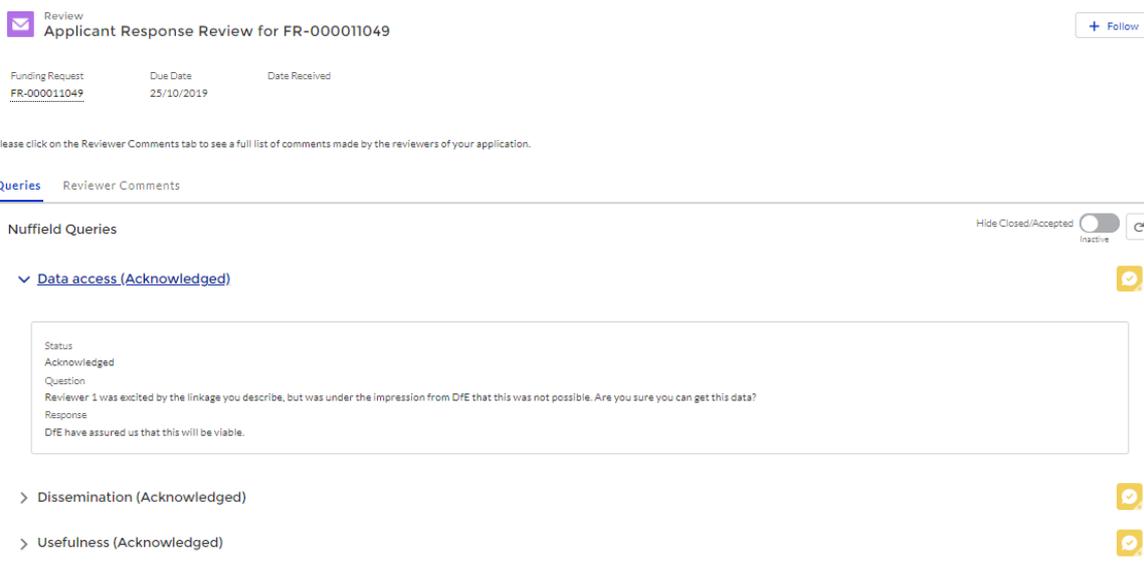
You will have the opportunity here to respond to each query on your application, and to address any other concerns you may think pertinent.



As a Nuffield Foundation Community user navigate to the 'Reviews' tab and select the Review record associated with your application's reference number. This will take you to a Queries tab that lists a number of queries related to this application which should be responded to individually. There is also a 'Reviewer comments' tab which contains a full list of the comments made by the reviewers of your application.



The queries are presented under summary headings, and the status of each query is shown in brackets (i.e. whether it has been responded to; whether the Nuffield Foundation have acknowledged the response). To view the nature of the query in full, the query can be expanded and responded to.



To respond, click into each query, enter comments into the comments box provided and then click **Update and Submit Response**. **Note that when this button is pressed the response will be visible to the internal team**, if you are not ready to have your queries displayed select the 'Save' button and only select 'Update and Submit response' when ready to submit.

Updated 22 June 2020

Review

Applicant Response Review for FR-000010996

[+ Follow](#)

Funding Request

FR-000010996

Due Date

12/09/2019

Date Received

Nuffield Queries Reviewer Comments

Nuffield Queries Hide Closed/Accepted Inactive

▼ Is the Staffing & Resource Appropriate (Awaiting Response) ZZ

Status: Awaiting Response

Type: General Question

Question: Maybe one more person to oversee the project would be appropriate

Response:

I do know a person else that would be appropriate for this role. I have approached them and they have agreed to oversee the project for the duration.

[Update and Submit Response](#)

You will be notified of further queries from the Foundation via email and via the Nuffield Foundation Community if subsequent responses are necessary. To answer any subsequent queries, enter the Nuffield Foundation Community and apply the same process as above.

You can also read the reviewer comments in their entirety by navigating to the Reviewer Comments tab. Please note these comments are provided to inform your responses and require no action.

Review

Applicant Response Review for FR-000011049

[+ Follow](#)

Funding Request

FR-000011049

Due Date

25/10/2019

Date Received

Please click on the Reviewer Comments tab to see a full list of comments made by the reviewers of your application.

Queries **Reviewer Comments**

Reviewer	Title	Comments
Reviewer 1	Is the Proposed Dissemination and Stakeholder Engagement Sufficiently Comprehensive	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum.
Reviewer 1	Is the Staffing & Resource Appropriate	AppropriateCommentsLorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum.
Reviewer 1	Is Approach Appropriate and Feasible	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum.
Reviewer 1	Will Proposed Project be Useful	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Ut enim ad minim veniam, quis nostrud exercitation ullamco laboris nisi ut aliquip ex ea commodo consequat. Duis aute irure dolor in reprehenderit in voluptate velit esse cillum dolore eu fugiat nulla pariatur. Excepteur sint occaecat cupidatat non proident, sunt in culpa qui officia deserunt mollit anim id est laborum.

The Trustee meeting

Trustees are sent a copy of the *Full application*, the peer review comments and the applicant's response to inform their decision. Most applications are considered by all Trustees, who may decide to offer a grant, request further clarification or impose specific conditions before awarding a grant, or to reject an application. Applicants are informed of the outcome as soon as possible following the Trustees' decision.

6. Stage 3: Finalising the award

6.1 Outcome letters

You will receive a letter confirming the Trustees' decision regarding your application.

If you are unsuccessful, your *Rejection letter* will set out issues raised by Trustees. Unsuccessful applications may not be re-submitted, unless you are specifically invited to do so. Invitations to revise and resubmit applications are rare and will usually be accompanied by specific feedback on ways in which the project may be amended.

If Trustees decide to take forward an application, you will be sent a *Notice of award* letter. **The grant has not been confirmed at this stage.** The *Notice of award* will include feedback from Trustees and details of any further requirements or issues on which the Foundation's staff need to be satisfied before a grant is confirmed. Occasionally, the *Notice of award* letter will identify specific *Trustee conditions*. Satisfying these conditions is fundamental to a decision to award, and they must be signed off by Trustees before the grant can be released.

Provided your award is not conditional, the email containing the *Notice of award* letter will contain a link to a grant acceptance form (6.3) which must be completed before the Foundation can confirm the award (6.4).

6.2 Response to outcome letters

In your reply to the *Notice of award* letter, you must set out any proposed amendments to the project, especially where these are required in response to *Trustee conditions*. You should confirm the start and end dates, the project budget breakdown, the dates for delivering the requirements (*Interim reports*, *Communications plan*, and *Main public report*), and accept the latest [Terms and conditions](#). We do not usually expect amendments to the budget at this stage, and significant budget changes will require Trustee approval.

If there have been substantial changes to your project during the application process, we may require you to incorporate these into an updated project plan or application form so that there is a single agreed record of what has been agreed.

We are happy to provide advice before you send your response letter, for example if there is more than one option for addressing feedback, or if you anticipate timing difficulties.

6.3 Grant Acceptance form

Once you are satisfied that grant can proceed on the basis of the Notice of Award letter, and you require no further changes be made to the delivery requirements including their due dates, you must access the link to the Grant Acceptance Form in the Notice of Award email and complete this form. The form contains the following fields:

Section	Type of field	Character/word limit	Mandatory or optional field	Other notes
Grant Reference:	Free text	N/A	N/A	Pre-filled field based on full application form
Applicant name	Free text	N/A	N/A	Pre-filled field based on full application form
Do you accept the grant and agree to the terms and conditions?	Button	N/A	Mandatory	
The Institutional Signatory for the confirmation of Award is:	Free text	N/A	N/A	Pre-filled based on full application form
Do you wish to make any changes to the Institutional Signatory:	Button	N/A	Mandatory	If the Institutional Signatory has changed since the full application form was submitted, please enter the new details by selecting 'Yes' which will display the new contact fields below.
Institutional Signatory Change				
First Name	Free text	30	Mandatory	
Last Name	Free text	70	Mandatory	
Email Address	Free text	80	Mandatory	
Position/Job Title	Free text	112	Mandatory	
Please provide additional comments regarding points in the Award Letter:	Free text	500	Optional	

Grant Acceptance Form



LinkedContact

Grant Reference:

Applicant Name:

Congratulations - you have been successful in your grant application.

Do you accept the grant and agree to the terms and conditions? *

Yes

No

The Senior Signatory for the Confirmation of Award is:

Do you wish to make any changes to the Senior Signatory: *

Yes

No

Please provide additional comments regarding points in the Award Letter:

6.4 Confirmation of award

A *Confirmation of award* letter will be sent to confirm the final details of the grant (e.g. budget, start and end dates, duration, reporting requirements and agreed *Terms and conditions*). **It is only once this letter has been issued that the grant is confirmed and the details can be made public.** We cannot fund any work that takes place before the start date of the grant, so if any expenditure is likely to be incurred before then, this should be discussed with us in advance.

It usually takes around three weeks between receiving your formal response letter and sending the formal *Confirmation of award* letter. We aim to issue a *Confirmation of award* letter within two months of issuing a *Notice of award*, but the length of time varies depending on the nature and scale of feedback, whether *Trustee conditions* have been set, and of course how long it takes the applicant to respond to the outcome letter. While the

Updated 22 June 2020

Foundation endeavours to be flexible where there are legitimate difficulties in providing all the information needed in response to a *Notice of award* letter, it reserves the right to withdraw an *in principle* offer if it is not possible to confirm the award within six months of issuing the *Notice of award*.

At this stage, it is important that you read our [Guide for grant-holders](#), which sets out our typical approach to managing grants, including invoicing, grant outputs, acknowledging the Foundation, and reporting requirements.

Appendix A: FAQ

Outline and Full application form FAQs

1. How do I save my application?

At the top and bottom of the application forms there is the option to save your application form, and to resume a previously saved form. When saving your application, you will be asked to provide an email and password; remember these details to re-access your application.

Page: **1** 2 3 4

Save my progress and resume later | [Resume a previously saved form](#)

Next Page

[Save my progress and resume later](#) | [Resume a previously saved form](#)

2. Can I download a copy of my application before submitting it?

Once you have submitted your application you will no longer be able to access the form to download or edit it. In order to save it, please select Review and Print Before Submit at the end of the form.

Previous Page

Review and Print Before Submit

[Save my progress and resume later](#) | [Resume a previously saved form](#)

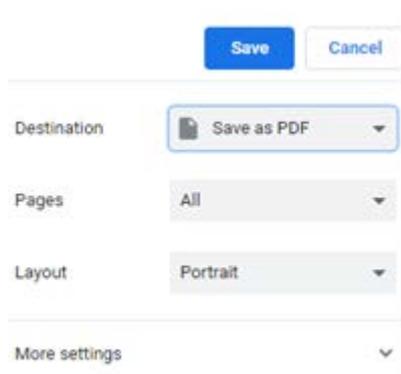
This will generate a summary of your application, scroll to the bottom and click Print this page.

Confirm

 [Make a correction](#)

 [Print this page](#)

In the print preview screen, go to the left and select the Destination drop down, choose Save as PDF. This will let you save a copy of your application to your PC.



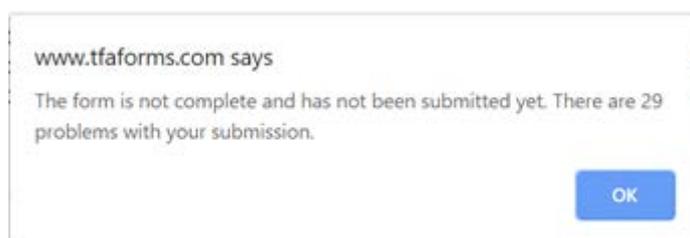
	<input type="button" value="Save"/>	<input type="button" value="Cancel"/>
Destination	<input type="button" value="Save as PDF"/>	
Pages	<input type="button" value="All"/>	
Layout	<input type="button" value="Portrait"/>	
More settings	<input type="button" value="More settings"/>	

3. Help! I pressed Review and Print Before Submit and all my formatting has gone

This button is intended to show you 'Print Preview' version of your application which can then either be saved as a PDF (FAQ 2.) or printed. The entries you provided to each of the free text fields will retain their formatting when submitted, and the Nuffield Foundation team will be able to see this.

4. There are errors in my application. How can these be resolved?

Throughout the application forms there are mandatory fields which must be completed for an application to be submitted: these fields are denoted by a red asterisk and a detailed breakdown of them can be found in Section 4.2 of this guidance. If these fields are not completed, you will receive the notification below:



You will be given the option to address any problems that have been flagged up with your application, and these will be highlighted for your ease.

5. Do I need an electronic signature?

You don't need to use an electronic signature to declare completion of the application form. Simply typing your name is acceptable.

6. My application did not submit.

Your application will not be submitted until you have clicked 'Review and Print Before Submit'. This will flag up if any mandatory fields have not been completed and give you a chance to address this. You will then be shown a preview of your application. At the very bottom of the page there will be a button to 'Confirm'. You must click this for your application to be submitted.

7. Do the application forms support rich text?

The application forms do not support rich text – please enter words only, without any additional formatting. Do not cut and paste formatted content from external documents or web pages as formatting will not be retained and any hidden formatting may distort the word count. You may use hyphens for bullet points, but please note that each hyphen will count as a word.

8. I cannot find my registered charity.

In order for the Registered charity number to work, you will need to submit a correct charity number and the correct charity regulator that the charity sits within. To confirm whether the charity number and charity regulator is correct, please visit the [Charity Commission website](#).

9. I cannot fit my project title into the application form; is there a way to increase the character limit?

There is a hard cap on the length of the project title and we would ask that all applicants keep to the specified 80 character limit, otherwise your project title will simply be truncated. We are unable to increase this cap.

10. Will I lose any entered information if I use the navigation buttons in the application form at the top and bottom of the page?

You will not lose any data that has been input into your form when switching pages on the application using the Previous Page and Next Page buttons at the bottom of the page, as well as the Page 1, 2, 3 and 4 buttons at the top of the page. (You should not use the forward and back buttons in the browser – only use the navigation buttons within the application form itself.) Please note that you should always make sure you save your application before closing the browser.

11. Can I work collaboratively on the application form with my co-investigators?

Two applicants cannot work on the form at the same time. If necessary, you can share the link and password with co-applicants, though we would not recommend this.

12. What will happen with the Institutional Signatory data I input to my *full application form*?

The contact data you input to these fields on the full application form will be used by the Foundation to send a signature form to the individual whose details we receive. Please ensure, as stated in the full application form, that you receive the consent of the individual who will be your signatory before you provide us their details.

Appendix B: Budget guidelines

The following points set out our approach to assessing your budget and to financial monitoring:

- Our grant funding is outside the scope of VAT, as it is not a business activity for private benefit. Where applicants are contemplating working with others for substantial parts of the grant, we expect them to consider whether it is feasible to include them as co-applicants or collaborators, rather than as providers of a service which might make them liable for VAT. Any VAT that is expected to be payable must be set out within the budget submitted as part of *Full applications*; budgets should be inclusive of all VAT and local taxes, where applicable.
- We fund 100% of eligible costs, not the 80% funded by Research Councils. Where we make an award to a Higher Education Institution (HEI), we will meet all 'directly incurred' costs, subject to certain conditions, and most 'directly allocated' costs (except the estates costs of PIs and permanent university staff). We do not fund 'indirect' costs. Guidance about these terms should be sought from university research administration staff.
- We reserve the right to hold back 20% of the total grant value until satisfactory completion of all grant work and outputs.
- Your budget should not include 'contingency' funds. If unforeseen events arise or new activities (such as dissemination activities) are agreed, we can consider a request for a supplementary grant.
- PhD students can work on grants to undertake specific tasks, provided this is explicitly requested and justified in the application (or as a change to the project). We will fund the PhD student's time and reasonable costs. We will **not** fund PhD fees. Where the work a PhD student undertakes will contribute to their PhD, the host institution, rather than the Foundation, is responsible for ensuring appropriate progress towards the PhD is made, and for recruiting alternative staff if the project is delayed.

Budget guidelines for *Outline applications*

In the *Outline application*, you will be asked to set out your proposed budget using the broad categories below:

- Staff costs: salaries and on-costs
- Staff costs: Indirect and estate costs (overheads)
- Staff costs: consultants
- Non-staff costs: qualitative research
- Non-staff costs: quantitative research
- Non-staff costs: communications and stakeholder engagement
- Non-staff costs: equipment
- Non-staff costs: other direct costs

The types of cost we expect to be included under each of the non-staff cost headings is outlined below:

Non-staff costs	Include direct costs relating to:
a. Quantitative research	survey fieldwork costs (and associated print and postage), data entry, data processing, incentives (please refer to detailed guidance if using incentives), data access/linkage fees, travel to secure data enclaves, statistical software licences, assessment materials and licences, etc.
b. Qualitative research	transcription, incentives (please refer to detailed guidance if using incentives), fieldwork associated travel, accommodation and subsistence, qualitative analysis software licences, etc.
c. Communications and stakeholder engagement	dissemination activities, conference and workshop expenses, advisory group activities, travel for advisory groups, etc.
d. Equipment	e.g. recording equipment, laptops
e. Other direct costs	general administrative or office expenses, recruitment of project staff, any other costs not covered elsewhere

A more detailed explanation of eligible and ineligible costs mostly relevant to the *Full application* stage is provided below.

Budget guidelines for *Full applications*

Budget category	Eligible costs	Ineligible costs	Comments
<p>Salaries and on-costs</p>	<p>Salaries (for both UK and non-UK staff).</p> <p>National Insurance.</p> <p>Employer pension contributions</p>	<p>Enhanced salaries resulting from promotion are not eligible.</p>	<p>At <i>Full application</i> stage, your budget must show:</p> <ul style="list-style-type: none"> • The annual salary for each named person (net of National Insurance and employer's pension contributions). • The proportion of time each person would contribute to the project, entered as the Full Time Equivalent (FTE), where 1.0 is the equivalent to full time. If calculating a proportion of a week please assume a 35-hour working week and if calculating a proportion of a year assume 220 working days per year. <p>Where the person is not known, please specify the equivalent information separately for each post to be filled.</p> <p>On-costs may be claimed in addition to basic salary costs and should be separately itemised in the budget.</p> <p>At Full application stage, an estimate of cost of living and incremental pay increases should be included in the budget. The combined total of any increases and increments should not exceed 5% per annum. The Foundation will only meet the costs of actual increases, not estimated ones. Where an individual is expected to receive incremental pay increases, these can be incorporated into the budget as increased salary and on-costs from the second year of the project onwards.</p> <p>We expect the PI on the project to contribute at least ½ day a week (0.1 FTE) on average over the life of the grant. There is no minimum time limit for other</p>

			members of the research team; however, it is important that all named members of staff have a clearly defined role.
Indirect and estates costs (overheads)	<p>Estates costs for HEI staff who are not permanent staff or PIs can be met on a pro rata basis.</p> <p>Overheads for non-HEIs (but we do not expect overheads to exceed 60% as a proportion of salaries).</p>	<p>Indirect costs for HEIs are ineligible.</p> <p>Estates costs for permanent staff and PIs in HEIs are ineligible.</p>	<p>HEI applicants will be aware that the government has established a revenue stream (the Charity Support Fund) to contribute towards the running costs of research funded by charities at universities. These funds are distributed through the quality-related (QR) element of the higher education funding councils. Grants from the Nuffield Foundation are officially recognised by HEFCE as eligible for this QR funding.</p> <p>Non-HEIs must specify the overhead rate as a proportion of salaries, and provide details of services included in overhead charges (accommodation, management, central services and so on).</p>
Consultants	Daily rates usually within range £250 - £800.		<p>We expect <u>all</u> research team members within the host institution to be funded via salary and on-costs as described above. We also expect to fund most staff within other organisations in this way; however, individuals from other organisations who are undertaking a limited and discrete role on a project may alternatively be written in as consultants. Example consultancy roles include the provision of statistical skills or advice, expert advice regarding data collection instruments or approach, or expert knowledge regarding policy or practice.</p> <p><i>At Full application stage, the number of days and daily rate should be specified in the budget. Rates higher than £800/day need detailed justification on the basis of specific skills, experience or seniority and/or where an individual contributor is freelance or where the input required is known to be limited or concentrated in a specific project element.</i></p>

			Separate or additional overheads for consultants are not allowable since we expect these to be incorporated within the specified daily rate.
Equipment	Full costs for project-specific equipment for projects lasting three years or more.		Equipment for projects that last less than three years is eligible for part-funding on a pro-rata basis. For example, if the project duration is 18 months, you should request 50% of the actual equipment costs.
Direct research costs – broken down by qualitative research and quantitative research	<p>Direct fieldwork costs.</p> <p>Incentive payments (if justified).</p> <p>Travel & subsistence to undertake quantitative or qualitative research activities.</p>		<p>At <i>Full application</i> stage, you should provide details of the issued sample size, achieved sample size, response rate and total cost. Where fieldwork is subcontracted, please provide a specific and up-to-date quotation from the fieldwork provider and specify whether VAT is payable.</p> <p>At <i>Full application</i> stage, any request for incentive payments to ensure respondents' participation needs to be justified in detail, with evidence that these are necessary to the delivery of this specific project. You should show that any advantages in improved participation outweigh potential risks (such as potential influence on responses, and the research relationship, and impact on wider willingness to participate without incentives). We are more likely to be sympathetic to a case for incentive (or 'thank you') payments in qualitative research; or in research which includes particularly onerous demands on respondents (e.g. completing a diary); and to incentives in the form of prize draws rather than direct payments.</p>

	Admin and office expenses incurred to undertaken quantitative or qualitative research activities.		
Communications and stakeholder engagement	<p>Travel & subsistence for advisory group members or contributors to events.</p> <p>Costs of events, publications and dissemination activities.</p>	<p>Travel and attendance costs at international academic conferences are not eligible, except with specific permission (unlikely prior to grant start).</p> <p>Fees for open access publication in journals are not eligible.</p>	<p>As the availability of Foundation rooms cannot be guaranteed, your costing assumptions should be based on the use of external facilities. We will make any necessary adjustments later, if we do host any events or meetings.</p> <p>We are aware of the debate about various models of open access for academic publications. However, as matters are not currently settled (especially for the social sciences) and as many journal articles are published after the grant end date, we will only provide funds for this under exceptional circumstances.</p>
Other direct costs	E.g. direct costs for project specific staff recruitment campaigns.	<p>Fees for advisory group members are not eligible.</p> <p>PhD fees are not eligible.</p>	<p>You must provide further breakdown or justification for budget lines that exceed £5,000.</p> <p>Direct recruitment costs apply only to recruitment campaigns for project-specific staff (usually research assistants). These cannot be agreed retrospectively.</p>

	Other admin or office expenses that are attributable to the project.	Costs relating to Continuing Professional Development are not eligible.	The Foundation considers Continuing Professional Development activities to be the responsibility of the host institution.
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Appendix C: *Intervention development and early evaluation funding*

Key criteria for development and early evaluation funding

To be considered for development and early evaluation funding, applicants should demonstrate they have:

An intervention or approach aimed at improving outcomes – in the Foundation’s areas and populations of interest. The application must describe the intervention in sufficient detail to explain the nature of the intervention, its intensity e.g. in terms of contact hours, duration, etc., and the target population.

A theoretical basis for why the approach is likely to have an impact based on research literature. The Nuffield Foundation seeks to promote evidence-based policy and practice. It is therefore important that interventions have a sound theoretical basis for anticipating an impact on specified outcomes.

A clear rationale for why it might be expected to be an improvement on existing interventions that tackle the same issue. We are keen to generate high quality evidence about what works, but we do not want to encourage an unnecessary proliferation of interventions. Applicants should demonstrate their awareness of other interventions that seek to tackle the same issue and explain why their intervention would be an improvement upon others already in use.

Some prior experience delivering the approach in equivalent settings and/or with equivalent populations, or a track record of developing and/or delivering other promising approaches. Interventions will only be effective if they are acceptable to practitioners and participants and feasible to implement. Applicants will need to demonstrate their experience of working in or with relevant settings/populations to show they understand the relevant issues, and that they have the necessary skills to successfully deliver the proposed project.

An approach that could be delivered at a reasonable cost. Since high costs are likely to constrain reach, value for money will be an important consideration.

Appetite and potential for the approach to be delivered at scale. Since our ultimate aim is to promote interventions with strong evidence of effectiveness, it is important that applicants have aspirations for delivery at scale, or ideas for pathways for delivery at scale.

Identified the questions to be answered in the development and early evaluation work, how this work will be undertaken, and how it will contribute towards making the

approach ready for future trial. Please see the following section for information about what a development and early evaluation project should seek to achieve.

Evaluation expertise. We expect all intervention development projects to have an evaluation component, and to consider how further development or scaling up might also be evaluated robustly and effectively. We encourage intervention designers and developers who do not have evaluation expertise to form partnerships with organisations that do.

Commitment to future independent evaluation of their approach via an RCT, where feasible. Since RCTs constitute the most robust form of evaluation, we would expect applicants to be committed to this approach.

Expected outcomes of a development and early evaluation project

In order to pave the way towards a large-scale RCT, a development and early evaluation project will need to refine the proposed intervention and provide formative findings that will help improve future delivery. It will also need to demonstrate that the intervention or approach meets the following conditions:

Feasibility

- For example, is the approach acceptable to practitioners and/or the target population? Is the approach suitably resourced (including time)? Is the approach aimed at a suitable target population? Could settings or the target population afford to buy the intervention? Has feasibility been demonstrated in an appropriate context i.e. one that is applicable to equivalent settings in the UK?

Evidence of promise

- Is there evidence that this approach could impact on outcomes (i.e. is the approach underpinned by evidence, does the approach change participant behaviour as predicted in the theory of change, is it likely that the observed behaviours could lead to a change in outcomes, has there been a measurable change in outcomes)?

Readiness for trial

- Is the intervention replicable (i.e. is there a clearly defined intervention)? Is the intervention scalable (i.e. could the intervention be delivered in a number of settings in its current form or is further development required)?

We do not expect all applications to address all these questions comprehensively within one project. The appropriate scope for a project will depend upon the current stage of the intervention's development. For example, some interventions may have a strong theoretical basis for why the approach is likely to have an impact and to be an improvement upon existing interventions, but may not have been implemented in practice or subjected to any

form of evaluation. Where projects are at such an early stage we would expect an application to be small scale and to focus on feasibility and early piloting.

In contrast, some interventions may be more developed, with initial evidence of promise from previous evaluation of the approach (e.g. pre- and post-test assessments; a matched study; a trial conducted in another context). Where projects are at this later stage of development, applications should contain a strong evaluative component designed to ascertain whether the intervention generates a measurable change in outcomes.

An evaluation component of this kind would need to:

- Employ a robust design with an appropriate control group.
- Use outcome measures that are valid, reliable and predictive of later outcomes.
- Be adequately powered (i.e. have sufficient scale to detect the expected effect of the intervention).

We therefore welcome applications for small-scale RCTs since they will provide good evidence of the likely intervention effect and test the practicalities associated with implementing an RCT design.

Where projects are at this later stage of development, we would also expect the evaluation component to have independence built in as far as possible and to employ appropriate strategies to minimise the risk of bias. This might mean publishing a protocol and statistical analysis plan in advance of conducting the project, involving an independent evaluator to measure outcomes, or ensuring that the individuals measuring and comparing outcomes between intervention and comparison groups are blind to the treatment condition. In particular, all trials should be pre-registered.

Where development and early evaluation projects are able to demonstrate all of the features identified (i.e. feasibility, evidence of promise and readiness for trial), we expect that they will be ready for a large-scale RCT to test efficacy – i.e. whether the intervention can work under ideal / developer-led conditions in a larger number of settings.