CHAPTER 1 - INTRODUCTION

Please note that the guidance provided in the segments may vary slightly depending on your funder.

The segments are generic and provide an overview of basic steps and resources available to you while you plan and manage your new project.

There are many good reasons for being interested in external research funding that you have probably already considered before picking up this guidance.

o   Building capacity within your research area

o   Providing skilled PhD students with the opportunity to progress into postdoctoral positions

o   Additional expertise and capacity to run a large and complex research project

o   Supporting career progression, publications, management experience and impact opportunities

o   Reputation

o   Funding Department and University infrastructure (libraries, labs, salaries, etc.)

o   Sustaining the Department and University long term, e.g. contributes to the Research Excellence Framework (REF).

As a future applicant for research funding or an existing grant holder, there are a number of things to consider and potential issues to be aware of.

While not all of them are relevant from the outset it is helpful to have at least a basic understanding of relevant processes, responsibilities and the support available to you.

The suite of guidance addresses many of the areas that you may come across while seeking research funding, while setting up your project and team, when managing staff, finances and project activities, producing publications, impact activities as well as reporting on finances and project outputs.

We strongly advise that you read through the various segments before planning and submitting a research grant application, to ensure that you have thought through the whole grant lifecycle.

This will help you to adequately plan your project from the outset, enhance your chances of success and make it easier to manage the project once awarded.

Please always also refer to funder specific guidance and terms and conditions of your award. Your Finance Advisor (Research and Grants) at

CHAPTER 1 - INTRODUCTION

the Research Office or your local Research Grant Administrator may arrange a "project Start Up meeting" with you for large and complex grants, and will review the specifics of your award with you, covering issues such as funding schedule, reporting requirements, terms and conditions, etc.

A first key contact person for you will be your departmental administrative support team, that will support you throughout the lifecycle of your grant and who can provide you with specific information and funder specific details; this will usually be the Departmental Administrator or Research Grant Administrator.

Art, Humanities and Social Sciences specific:

The School Research Facilitators are available to discuss your ideas for larger and more complex projects, help you to identify suitable funding avenues, comment on draft proposals.

There is also advice and funding for impact activities in the social sciences as well as arts and humanities subject areas as well as support on data management and open access. In order to identify the relevant contact please check the AHSS Research Website for an overview of relevant contacts.

Chapter 2 – STARTING OUT

HOW RESEARCH PROFESSIONAL CAN HELP YOU

If you are looking for research funding opportunities, the University subscribes to Research Professional which provides a list of nearly all competitive research funding opportunities that are available to researchers based in the UK. These range from research fellowships to provide teaching replacement, small grants, to multi-million pound grants for complex international collaborations.

You have **free access** to Research Professional as member of the University when on campus – once registered, you can also access the database offsite.

The advanced search option allows searches via keywords, funding type, funder, etc. and it is easiest to **set up a weekly newsletter of bespoke funding opportunities in your subject area and to your needs**. Research Professional also provides a daily newsletter on political developments regarding Higher Education and their influence on researchers, national and internationally. Please find more information about access and guidance [here](). A [short YouTube video]() shows you how to use and setup searches.

Your Research Grant Administrator may also send out a regular newsletter with research funding opportunities in your subject area.

In order to subscribe please access **www.researchprofessional.com** through the University network on campus. Once you have created an account you can access the database and news sections from anywhere in the world online.

AHSS specific:

A range of easy access tools can be found on the AHSS research support website [here](), including Overview of **eligibility for standard research funding schemes**, a **basic introduction** to different types of research funding such as grants, fellowships and network funding, a **Funding Booklet for Postdocs and Early Career Researchers.**

GETTING STARTED

1. Familiarise yourself with general principles of good grant management as part of [Principal Investigator Programme (sharepoint.com)](); basic risk areas should be considered and mitigated at application stage [(Risk Infographic -May 21.pdf)]().

2. Investigate sources of research funding and funder background. Consult Research Professional (www.researchprofessional.com) for funding opportunities.

3. Speak to your Research Grant Administrator (RGA)/Departmental Administrator (DA) and School Research Facilitator who can provide useful sponsor/scheme information. https://www.ahssresearch.group.cam.ac.uk/Research-support-contacts

4. **Research funding applications can only be submitted with Departmental and University sign-off.** Make sure you are familiar with Cambridge internal deadlines (Department, Research Office) as well as funder deadlines as your grant application may not be submitted otherwise. Research Office deadlines can be found here. Your Department will have earlier deadlines.

5. **FOR TENDERS:** Contact the Contracts Team at the Research Office **immediately**. This is to ensure that you are protected from potential liability and unfavourable conditions that can harm your research and may jeopardise the University. https://www.research-operations.admin.cam.ac.uk/about-us/contact-us

CREATING YOUR APPLICATION

Eligibility

After deciding which funding type is most appropriate for your research ideas it is crucial to check funder eligibility before moving forward. Please ensure that your department is supportive of your application as the University is only able to submit research funding applications on this basis.

The University may also have additional requirements for submitting an application such as match-funding requirements by the funder, institutional support letters or internal selection if only a limited number of applications can be submitted.

Commonly funder eligibility criteria refer to

o time since PhD (please note that some funders exclude career breaks such as maternity leave);

o whether or not presently in University employment;

o whether on permanent or temporary contract.

For **CTOs and college employees wanting to apply for research funding,** please find **here** a summary of the process for approval and contracting between the University and the College.

Please check all eligibility criteria in the respective funder's most recent scheme notes. General advice on writing competitive applications, available peer review and ethics approval etc. can be found in the Resources section. You can use the following table as an overview of classical funding schemes in the arts, humanities and social sciences organised on the base of the standard eligibility criterion 'years since PhD'. Please note that the table is indicative and only covers the most generic funding schemes.

School Research Facilitators

Please contact the School Research Facilitators if you would like to:

o discuss how to translate a research idea into a project

o learn about suitable research grant or research fellowship funding options for your research plans

o seek support with the writing of applications and would like feedback

o seek advice on funding bodies and their funding schemes

- o build and fund a research network for interdisciplinary research, international projects etc.
- o submit to the University internal peer review to receive first-hand comments from reviewers.

You can find their contacts here

https://www.ahssresearch.group.cam.ac.uk/about-us

Due Diligence

Due Diligence checks are carried out specifically for new funders and new collaborating institutions that the University has not worked with before and these checks are necessary for joint research ventures and especially if finances are exchanged.

Checks focus on the nature of the project, the funder, institution and

the country where research is to be carried out.

They consider a number of points such as links to the tobacco/weapon/gambling industries, violations regarding the environment, pollution, health, safety, links to potentially risky organisations, reputational issues, potential conflicts of interest, criminal behaviour, bribery.

The checks also consider whether the research involves work with dangerous materials, export control regulations, security sensitive research materials, etc. and whether there is a danger to students/staff by carrying out the research by travelling outside of the UK.

Please contact your departmental or research grant administrator who can initiate the process for you with regard to research funders and collaborators. As this step is necessary before the project costing can be initiated contact them as soon as possible.

CUDAR handles the process for potential donors. http://www.research-operations.admin.cam.ac.uk/managing-research-projects/due-diligence-new-research-relationships/about-due-diligence

Costing Your Research Grant

Your Department or Faculty has dedicated support at departmental or School level to help you put your research grant together, assess the associated risks for your project, department and the University, check eligibility and how these can be managed, to discuss financial and administrative needs of your project and to ensure that these are appropriately reflected in the grant application in collaboration with the Research Office. The project finances will be calculated with the University's research costing tool X5.

Please contact your Research Grant Administrator as well as your Departmental Administrator as soon as you are planning to apply for a particular funding call and start putting an application together. These can also highlight any departmental and University processes so that your application can be checked and submitted in good time for the funder deadline and to ensure that it is in good state to be successful. Only approved research grant applications with approved X5 can be submitted by the University on your behalf.

You can find the contact details for Research Support in the Arts, Humanities and Social Sciences here **https://www.ahssresearch.group.cam.ac.uk/Research-support-contacts**.

Foreign Exchange Rates

All foreign exchange rate risk, which occurs through exchange rate fluctuations between the currency of the award and Pound Sterling over the course of the project lifetime, is managed by the Chest for grants within scope (currently grants in Euro and US Dollars).

Each award, for grants within scope - has a Sterling budget for the lifetime of that award - allocated when the contract is signed. This gives Sterling budget certainty to PIs for each relevant award. General overview and policy around forex: http://www.finance.admin.cam.ac.uk/policy-and-procedures/foreign-exchange-fx-management-research-policy

International Co-Is requesting funds for their overseas institution should confirm costs to Cambridge in Pound Sterling at application stage before the grant is submitted.

Once the grant is awarded and activated, expenses should be charged to Cambridge in Pound Sterling, regardless of the currency in which the expenditure was incurred.

Cambridge sets its own monthly exchange rates for Euros and Dollars. These can be found at the following location http://www.finance.admin.cam.ac.uk/key-dates-and-rates/foreign-exchange-research-policy-rates.

For currencies outside the scope of the forex policy (see link above), the Research Grant Administrator costing the grant application is recommended to contact the University's Treasury & Investment team at the Finance Division for a suitable rate.

International institutions could use the inverse of these rates or use their own recommended exchange rate in order to provide costs to Cambridge in Sterling. This way the institution can factor in a buffer as required and have oversight of the amount of currency vs sterling requested.

The final budget needs to be signed off by the department and Research Office before submission. Please ensure that your department is involved as early as possible as it is the department that takes on the risk of exchange rate fluctuations for currencies outside the scope of the forex policy. The Research Office needs to be involved at the latest - one week before the external deadline but can also be involved earlier to advise your department.

Dedicated Administrative Support for Your Research Project

For large and complex projects it is highly recommended to include costs for dedicated administrative support for your project in order to help you organise recruitment, workshops or travel arrangements, day-to-day financial matters, etc. that cannot usually be covered by existing departmental administrators. Especially for larger and complex project, adequate administrative support should always be costed into the grant in order to ensure the smooth running of your research project.

Note these costs must be budgeted for in the initial award in advance.

These costs can be either be included as 'pooled labour' (e.g. on Research Council grants) which expands existing administrative support in your research centre or department or by recruiting specialised administrative staff such as a Project Administrator. Seek further advice from your Research Grant Administrator on the most appropriate option for your project.

Cambridge has an active network of project administrators across Schools in the Arts, Humanities and Social Sciences which can help to share best practice with new members and provides a highly-experienced pool of potential recruits.

Please contact the Humanities and Social Science Research Support Team (SRT) for more information about the network. HSSSRT@admin.cam.ac.uk

Ethics

Ethical considerations should be taken into account when planning your research and departmental research committees may want to consider these before they support a research funding application. Ethics checks have to be carried out before the research can commence. See Due Diligence. Formal Ethics approval is most likely needed if your research fulfils any of the following four cases:

1. Involving human participants as the subject of research

2. Using personal data that is not in the public domain

3. Involving animals as the subject of research

4. Using human tissue

Staff, or any other person conducting research on University premises, should seek advice from the local ethics committee or the ethics contact in the Department in which the research will be carried out.

You may be asked to complete a form and to provide participant information sheets and consent form, in addition to details of your research proposal. In most cases, ethics approval can be granted at the Department level.

Applications must be presented to the relevant Department Ethics Committee in the first instance. Cases that are particularly complex or sensitive, or those presenting a conflict of interest, will be referred by the Department Ethics Committee to the Humanities and Social Science Research Ethics Committee (REC) for formal review.

Please note, for Arts and Humanities, applications for ethics are run through the Humanities and Social Sciences Research Ethics Committee.

Application to HSS Research Ethics Committee

Applicants with cases being referred to HSS Research Ethics Committee (HSS REC) will be asked to complete the Committee's application form and provide details of their research proposal and participant information.

The Committee aims to deliver a decision in approximately three weeks; however, the process may take longer than this, particularly if revisions are required.

Useful Information

Further information about ethics in research and research integrity at the University of Cambridge can be found on the University's Research Office website.

The HSS REC draws primarily on the ESRC Framework for Research Ethics, which can be sourced from the ESRC website.

Please note that any research funded by the ESRC may be subject to an annual audit to gauge best practice; for more information, see http://www.esrc.ac.uk/funding/guidance-for-applicants/research-ethics/

The process for the Cambridge internal ethics approval for Arts, Humanities and Social Sciences is explained at http://www.cshss.cam.ac.uk/research-ethics-approval

The application form can be found http://www.cshss.cam.ac.uk/research-ethics-approval/proforma. Decisions are usually taken within three weeks.

The HSS REC Administrator can be contacted on cshssethics@admin.cam.ac.uk.

Studentships	Not all funders provide funding for PhD studentships. In case the scheme guidance allows for the inclusion of PhD studentships, planning and budgeting for a student in your grant must happen at the application stage. Please liaise with your Research Grant Administrator to establish how PhD studentships can be effectively costed.
	Note that if you are applying for a PhD student to work on your project, the length of the project must be long enough to financially support the student e.g. a PhD is typically three years, so you will need to plan for a minimum of a three year project. Please note supervisor's obligations for the supervision of PhD students and departmental processes and support.

Travel Advice and Subsistence Rates	For national and international travel, please consider local costs for subsistence in light of the University guidance and make use of early booking to save costs where possible. http://www.finance.admin.cam.ac.uk/finance-staff/accounts-payable/expense-claims/subsistence-rates

Travel – Costs	Please view second class standard train or airfares and consider where possible early booking to minimise costs.
	Standard costs for unspecified return travel in the UK could be in the region of £100; for Europe £250; internationally £1000; or indeed it could be higher or lower if reasonably justified.

Remuneration of Temporary Workers Abroad	If you are planning to have members of your team to working abroad during the project, you will need to plan for remuneration of their work at the application stage in advance of the funding being received.
	Please note the following information on eligible costs for international co-investigators and special conditions on eligible costs and salaries in Lower and Middle Income Countries (LMIC).
	1. To pay an individual not resident in the UK on a freelance basis for work done overseas, the PI/department would need to complete a form called FD3 and a model contract letter which the worker signs and returns all documents to the University's tax office requesting them to declare the person self-employed for the job in question.

1. The worker then invoices for work carried out and Cambridge normally pay them by bank transfer. The work is treated as a service "bought in", so the commissioning department needs to charge 20% VAT.

2. If someone does not have a bank account, a Western Union transfer might work. For service charges of a total larger than £1,000 the department is required to get dispensation from the Finance Division. Please ask your department for further advice

Philanthropic Funding/Donations

If you are aware of or in contact with a potential donor for your research area then please contact your Head of Department and involve the University's Development Office CUDAR. CUDAR will carry out due diligence before entering into any agreement with a potential donor and can give you advice on appropriate costs for activities or posts covered through donations as well as all legal requirements.
https://www.philanthropy.cam.ac.uk/contact-us/university-office

Media and Filming Costs

Although the cost of photography and filming (e.g. via mobile phones) has dropped considerably please carefully consider the costs about storage and editing when preparing your project budget at the application stage.

A few points to consider:

a. modern cameras, video or still, can create very large files – these need to be stored in appropriate locations;

b. editing can be extremely labour intensive - especially to create professional looking material;

c. if you do have filming and/or editing requirements, please contact your local Computer officer to discuss your requirements and possible solutions.

Websites and support	If you need a website for your project or your team there are a number of things to bear in mind, such as
	a. Hosting,
	b. Design,
	c. Maintenance.
	If you need help with planning and developing a website contact:
	o Your local Computer Officer/IT Team
	o Your School IT Business Manager
	o School of Arts and Humanities: James Hargrave, jeh202@cam.ac.uk
	o School of the Humanities & Social Sciences: Jay Pema, jp335@cam.ac.uk
	One example of a cost you will need to run through Procurement will be the development of a website. If you are planning on having or using a website for your project, any costs will need to be planned and budgeted for at application stage. Potential set up costs can be viewed here.[1]
Procurement	For purchase of equipment and services (e.g. transcription, editing, etc.) please contact your Departmental Administrator as some items and services require provision of at least three competitive quotes. For forms for this purpose see the Procurement Services at the Finance Division http://www.admin.cam.ac.uk/cam-only/offices/purchasing/forms/#quotes.
Open Access / Open Data	1. Open Access: In order to be able to submit research publications for REF-purposes please follow the instructions on Open Access: https://www.openaccess.cam.ac.uk/
	2. Open Data and data management guidance Sharing your Data | Research Data Management (cam.ac.uk)

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[1] https://www.ahssresearch.group.cam.ac.uk/resources/ITsupportforwebsitemediaandfilm.pdf

Grant Planning	RGA/DA for costing of grant and departmental approval processes (e.g. consider impact on teaching load and administrative duties, HR related questions)
	Inform RGA as early as possible about sponsor and collaborators on the grant; requires time to undertake due diligence checks and set up on the University's X5 costing and pricing tool X5.
	If the grant will incur costs that are not eligible costs to the sponsor -
	▪ How can these be funded?
	▪ Impact on teaching and administrative duties?
	▪ How can cost be met?
	Please discuss with your department.
Grant Writing	Allow for plenty of time to develop your research idea with your collaborators and where appropriate with non-academic partners. Seek feedback on draft proposals from colleagues, Research Facilitators and consider peer review, such as Cambridge internal ESRC and AHRC peer review[2] and rework your proposal – arriving at a well-developed, polished proposal can take months. Impact Facilitators (see below) may be able to help you to develop appropriate Pathways to Impact.
Application Submission	(If requested by the funder) submit a request for an institutional support letter to researchstrategy@admin.cam.ac.uk at least 4 weeks before the deadline.
	Please note from 1 October 2018 a compulsory 5 working day deadline will be enforced. You will be able to continue to develop the academic case until 24 hours before the funder deadline if finances and relevant information are submitted 7 working days before the funder deadline.

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[2] https://www.ahssresearch.group.cam.ac.uk/resources/peer_review

Training Tools and Guidance

1. Leadership training alongside staff management training available via PPD, for example this

2. Grant Spend Management Guidance for PIs - Apr 22.docx and for departmental/project administrators; department provides monthly expenditure statements to PI

3. Timesheet guidance (where required)

4. Project management training and tools (Asana), including project timetables https://ganttpro.com

   Asana https://asana.com Asana is one of the easiest ways for teams to track their work and progress. From tasks and projects to conversations and notifications – easy to use and get going. Perfect for day-to-day actions and progress Trello https://trello.com In Trello, Projects are presented by boards, which contain lists (corresponding to task lists) and contain cards (corresponding to tasks). Perfect for creative thinking and day-to-day actions and progress. Nirvana www.nirvanahq.com Nirvana is similar to Asana, based on the GTD (Getting things done) principles. Based on 'next' actions and helps individuals to plan and prioritise their tasks. Perfect for individuals planning and prioritising.