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The University of Manchester

Faculty of Humanities

Research Support Services Handbook 2016-17:

School of Arts, Languages and Cultures

Contents

1. Introduction to Research Support Services (RSS) in the Faculty of Humanities

The Faculty of Humanities Research Support Service (RSS) is a dedicated team within the Professional Support Service. It exists to support academic colleagues to identify, prepare, submit and manage externally funded research awards and research consultancies ("Research Grants and Contracts"). The team is located in three Research Support Hubs, and each School has a dedicated Research Support Manager who oversees support for their School. In addition, each Hub has specialist staff that can assist with the many aspects of supporting a Research Grant throughout its Life Cycle.

In short, the RSS is available to assist with the administration and management of research grants and awards, in a professional and supportive manner, enabling colleagues to concentrate on their research.

This Handbook highlights the main steps involved when you apply for, and win, external funding for your research. It outlines the processes and support mechanisms in place to help you at every stage in the process, and provides signposts to further information, so that you understand what is required and how we can help you to apply for and manage a research grant, contract or consultancy.

If you have any query or issue related to research there are experienced RSS colleagues available to help. The dedicated email addresses below can be the first point of contact:

School of Arts, Languages and Cultures Research Support Service Hub:
salc.research@manchester.ac.uk

Arthur Lewis Research Support Service Hub: al.research@manchester.ac.uk
(Law, SEED, SoSS)

Manchester Business School Research Support Service Hub: research.services@mbs.ac.uk

2. The Life Cycle of a Research Grant Application and Award

There are many steps involved in the Life Cycle of a Research Grant from its inception to completion. The exact detail, and sometimes the sequence, can vary from project to project. However, the key elements are similar and an awareness of these steps can help you to develop your application and manage your award successfully, and RSS colleagues are there to assist and advise you at every stage of the Life Cycle of your project. The main stages are as follows

⇨ Bid Preparation ⇨ Approval ⇨Bid Submission ⇨ Application decision and Handover ⇨ Project Commencement ⇨ Project Award Management ⇨Project Award Closure.

3. Who Does What and What Support is Available?

There is a member of the RSS team to help you at every stage in the Research Project Life Cycle. This is summarised below, with **key elements and the primary contacts shown in bold**.

When you are at the early stage of planning an application you should contact the Research Support Manager for your School. They will ensure you receive all the support available for the different stages of preparing and submitting your application.

Table 1. Who Provides the Research Support at Each Stage in the Research Project Life Cycle?

Bid Preparation ⇩ Approval ⇩ Bid Submission	**Research Support Managers and Research Support Officers** Working with: • Business Engagement Manager • EU Funding and Development Manager • Knowledge Exchange and Impact Officers • IT Research Support • Research Data Management Services • HR
⇩ Application Decision and Handover ⇩ Project Commencement ⇩ Project Award Management ⇩ Project Award Closure	**Research Support Managers and Research Support Officers** Plus: **Senior Research Finance Officers and Research Finance Officers** Working with: • HR • Contracts Office • EU Project Management Service • University Research Ethics Committee (UREC) • IT Research Support • Knowledge Exchange and Impact Officers • Research Communications and Marketing Manager • Library Open Access Services

Research Support Managers

Research Support Managers (RSMs) are the senior PSS member of staff within each Research Support Hub. They lead and oversee all activity related to the School they support, which includes providing expert advice on all aspects of the process of research grant applications and the post-award management of research projects . RSMs work closely with School Research Directors to provide strategic and operational advice to Schools.

Research Support Officers

Research Support Officers (RSOs) are usually the primary contact and interface between the RSS and the researcher(s) who is preparing a research funding application. Their primary role is to advise on project costing and the submission requirements to ensure the application complies with University and funder rules. They will also advise you on what items you should consider building into your research project design, and direct you to the other parts of the team to provide the specialist input you may need (Knowledge Exchange and Impact, IT Research Support, Business Engagement, etc.).

When you are planning an application you should make early contact with the RSM and RSOs and work closely with them to ensure that you receive all the support available to help you prepare a well-designed and properly costed application.

Senior Research Finance Officers and Research Finance Officers

Senior Research Finance Officers (SRFOs) are responsible for the financial management of awarded research projects. Assisted by the Research Finance Officers (RFOs) they set up awarded projects on Oracle Financials, prepare and submit financial claims and statements to funders and provide financial reports and financial guidance to Principal Investigators.

Additional specialist support for pre-award project development and post-award delivery:-

Business Engagement Manager

The Faculty's Business Engagement (BE) Manager supports income generation and research activity with private sector companies, government and public sector organisations, and NGOs (non-government organisations), charities and other 'not for profit' social and cultural organisations across a range of activities including research projects, consultancy, knowledge exchange, sharing facilities, professional development and recruiting talent. The Faculty BE Manager is the initial contact point and works as part of a University-wide network, to manage key external relationships with private, public and third sector organisations to support the development of international and national collaborations. Internally, **the BE Manager is responsible for negotiating the contract and pricing with the external organisation on behalf of the researcher.** The BE team also works to raise awareness of relevant opportunities amongst University staff through communication, training and marketing activities.

EU Funding and Development Manager

The EU Funding and Development Manager is responsible for all European Commission funded projects within the Faculty, working closely with Research Support Managers and

Research Finance Officers within the Research Support Hubs. The EU Funding and Development Manager is responsible for the development of the Faculty's research funding portfolio from the European Commission and for leading on and/or advising on the strategic/operational elements of all EC research bids and awards to optimise income, maximise value-added engagement and ensure that the University is compliant with the requirements of the European Commission.

Note for EU funded projects (and other large consortium projects):
As well as specialist pre-award support for EU funding applications The University runs a post-award EU project management service. Advice on the scope of this service, and how this service can assist with the design of the project management aspect of your application, is available from your RSM.

Knowledge Exchange and Impact Officers

The Knowledge Exchange and Impact Officers work closely with Schools and take forward programmes of work that generate impact from excellent research, creating wider interest in the Faculty of Humanities research and establishing networks with external research users. Officers provide expert advice to academics on how to maximise impact from research projects, from the design stage of funding applications through to the management and delivery of the project's 'Pathway to Impact'. They also collate the evidence of our impact and coordinate and share best practice across the University.

Research Communications and Marketing Manager

The Research Communications and Marketing Manager is responsible for developing and delivering communications and marketing strategies to promote the Faculty's Research themes and activity. A particular focus is to provide professional expertise and advice to the Faculty's Research Institutes and Centres to ensure distinctive, effective and integrated communications marketing solutions, including focused messaging and content across all print, digital and social media, best use of film, imagery, illustrations and info-graphics. The manager leads a Faculty Research communications network to enable the sharing of best practice and combined use of resource to help meet local and Faculty-wide objectives.

IT Research Support Team

The IT Research Support Team provides the following support:

- ***Research project planning for funding applications:*** Consultation with academics regarding proposed bids to funding bodies. This includes ensuring IT aspects of the bid are robust; determining whether a proposed website would be static only or dynamically driven by a database; suggesting available technologies for the dissemination of data where the academic may not be aware of them; estimating the effort and cost of any website and/or database for inclusion in the bid's budget; preparation of the technical plan and/or data management plan required by the funding body; checking for any Data Protection issues.

- ***Support for successful bids:*** detailed specification of IT deliverables; design of bespoke database where appropriate; development, testing, and implementation of IT deliverables to a high standard; assistance with archiving or data; ongoing support to ensure the deliverables remain working and available for as long as technically possible.

Full details about the scope of service provide by IT Research Support can be found here:

Support from the IT Research Support Team

Additional Support for Project Development

See sections on: Research Data Management Services, HR.

Additional Support for Project Delivery

See sections on: HR (appointments etc), Contracts Office, University Research Ethics Committee (UREC), Library Open Access Services.

4. Preparing Your Funding Application

a. Funding opportunities

You are encouraged to contact your Research Support Hub to seek advice about the most appropriate funding opportunities for you to apply for to support your research plans.

The Faculty's Research Support Service identifies, advertises and targets funding opportunities to relevant colleagues across the Faculty. These opportunities are announced via email and a complete calendar of current and forthcoming funding opportunities is circulated each month to Heads of School and School Research Directors to inform School planning. These funding opportunities are detailed and regularly updated in the *Research Funding Opportunities* section of the Faculty's intranet:

Research Funding Opportunities

You can also create personalised funding email alerts and access further information using the University's institutional subscription to *Research Professional*, which on-campus can be accessed directly without a login, or off-campus can be accessed by registering with the website using an "@manchester.ac.uk" email address. Full details are available here:

Research Professional

b. Planning and Approval

It is crucial that you allow sufficient time for the development and preparation of a new application. You should contact RSS colleagues at the very earliest stage in your planning to ensure appropriate support and time can be dedicated to the application. It is essential that internal approval processes are followed and internal deadlines are adhered to.

All applications require approval and sign-off, so timelines for this need to be factored into the submission preparation.

- All applications will require approval at School Level, with Head of School sign-off after consultation with the Head of your unit (ie Discipline area, Division or Institute).

In addition:

- Faculty Level approval is required if the application is over **£1 million** in value: the application must also be approved by the Faculty Research Office and the Deputy Dean (Research) and by the Head of Faculty Finance
- University Level approval is required if the application is over **£5 million** in value: the application must also be approved by the Vice-President for Research following Faculty and School approval.

Some individual schemes require approval at different levels regardless of value (eg European Research Council applications), and the RSS team will advise you if this applies for the application you are preparing and will provide the requisite advice and support throughout the process.

c. Costing and Pricing

The costing and pricing of a research project application is one of the most important elements of the process which RSS colleagues provide. All applications must be costed by RSS staff to reflect accurate and current costs. Applicants should not recycle previous costings for new applications. RSS staff follow the University cost recovery policy and are expert in costing applications to ensure they comply with funding eligibility guidelines. RSS staff have access to specialist costing tools and experience of previous successful applications, and will structure budgets in an appropriate and competitive manner, ensuring principles of Full Economic Costing are followed correctly (see Appendix 1 for "What is Full Economic Costing? (fEC)"). In addition there is a specific University policy for the costing and pricing for research contracts classified as 'business engagement'[1] contracts, which RSS colleagues are responsible for implementing and will work with you accordingly to ensure these requirements are followed.

Further details about Costing and Pricing considerations can be found in Appendix 2 "Cost Recovery from Research Grants and Contracts: Strategic considerations when applying for external funding".

d. Research Data Management

The University of Manchester Research Data Management (RDM) Policy was introduced in January 2014 and is designed to support you in the management of your research data. As part of your application submission you will need to prepare a data management plan using either your funder's template or, if none is available, a template provided by the RDM team. To make the process of creating, storing and sharing a data management plan as straight forward as possible an online data management planning tool is available:

Online Data Management Planning Tool

The Research Data Management team at The University of Manchester Library is available to support and advise you on any aspect of your RDM. Researchers can contact the team by email, researchdata@manchester.ac.uk or phone, 275 7853.

Further guidance can be found at:

Support from the Research Data Management team

[1] Business engagement encompasses a range of potential partners: private sector companies, government and public sector organisations, and NGOs (non-government organisations), charities and other 'not for profit' social and cultural organisations whose primary purpose is something other than the support of higher education or research funding.

The following link might be of particular help, as it sets out, step by step what you need to do:

[Research Data Management – What do I need to do?]

e. Pathways to Knowledge Exchange and Impact

Funding bodies require applicants to develop detailed plans explaining how they envision their research impacting on society beyond the academic world. For example, the ESRC suggests the following definitions of different types of Impact:

- Academic Impact - The demonstrable contribution that excellent social and economic research makes to scientific advances.

- Social and economic Impact - The demonstrable contribution that excellent research makes to society and the economy. Fostering global economic performance, and specifically the economic competitiveness of the UK Increasing the effectiveness of public services and policy Enhancing quality of life, health and creative output.

The Faculty has dedicated Knowledge Exchange and Impact Officers who can provide expert advice to colleagues in this area. All RSS Hubs have access to examples of previously successful impact strategies that can be shared to help stimulate and develop plans.

f. Peer Review

In an increasingly competitive funding environment, the chances of success can be improved through timely, high-quality peer review. All applications for funding are expected to be peer reviewed in line with Faculty policy and so it is important that you factor this stage into the timeline for preparing your submission. The deadlines for peer review for Research Council large thematic calls and European Research Council funding are set by the Faculty or School and are announced by the Research Support Services. For such calls you are usually expected to submit an 'intention to bid' notification to enable peer reviewers to be arranged in advance.

In SALC the expectation is that your Divisional Research Coordinator will be available to review any application, and then more formal Peer Review is arranged for all Fellowships and applications over £30,000. Full details are available here:

[School of Arts, Languages and Cultures – Peer Review Policy]

g. Submission

All applications must be submitted via the Research Support Service. This ensures the application has the appropriate approval and has been prepared in accordance with both funder and University regulations. Without the formal approval of the University (that is provided via the RSS) any subsequent award might not be able to be accepted by The University.

In practical terms the RSS will be familiar with the submission process, which is often online and requires specific accounts or passwords. They will provide final checks before submission to help ensure all necessary elements are included in the final submission.

5. Research Grant and Contract Awards: School Policy on Workload Adjustment

Principal Investigator and Co-Investigator time is built into the project design and associated budget in funding applications. Each School has its own policy on workload adjustment to enable those with research grants or contracts to successfully manage and deliver their funded project. It is important that colleagues understand their School's policy and seek any clarification with their Head of School early in the application process to avoid any subsequent misunderstandings.

The School of Arts, Languages and Cultures policy can be accessed here:

School of Arts, Languages and Cultures – Workload Adjustment Policy

6. Project Management of an Award

In the happy event of a new award it is important that all the relevant parts of the University are informed and engaged in a timely manner.

The first crucial step is that you inform your Research Support Hub of the award and provide any documentation you have received so far. You should also share the good news with your unit head (Discipline/Division/Institute) and your School Research Director and Head of School!

Setting up a new award can be complicated but the RSS is experienced in providing all the necessary support and ensuring that the relevant colleagues are involved.

a. Set-up – account code (including sub-contracts)

An account code is required for project expenditure to commence. Once the RSS team has all the necessary award documentation an award file and then an account code can be generated. For an award held exclusively within one School this is a relatively simple and quick process and can be completed within one week. It is more complicated if the award involves partners from other institutions or is a sub-contract from another institution or organisation, because a sub-contract has to be agreed in advance of an account code being set-up. This stage has the potential to generate delays, because we are reliant on outside organisations to complete the required tasks. RSS colleagues will keep you updated throughout the process and any potential issues will be flagged and escalated as needed.

Once an account is set-up, the RSS team will arrange a brief start-up meeting to discuss the continued support available and to identify any potential difficult or unusual elements of the award. If a meeting is not arranged, a start-up email will be sent to the Principle Investigator (PI) setting out essential information. A PI can request a meeting at any point to discuss their award.

b. Research Ethics Approval

All research projects conducted by University staff or students that involve human participants in a way that might harm, disturb or upset them (however slight the possibility) or where they can be deemed to be in a vulnerable or disadvantageous situation, must receive approval from the University Research Ethics Committee (UREC), or a designated screening panel using an agreed Template at School level. No work on a research project that involves ethical issues can take place until pre-screening has been fully completed and, if required, formal ethical approval has been obtained. Your RSS will advise on the procedure you should follow.

Full details about the School's initial pre-screening process are available here:

School of Arts, Languages and Cultures – Research Ethics Procedures

In addition further information about the University's Research Governance, Ethics and Integrity team can be accessed via their webpages here:

Research Governance, Ethics and Integrity

c. HR and Staff Appointments

As part of the initial checks relating to a new award, the RSS team will work with the Principal investigator to identify and action all appointments (or contract extensions) with the Human Resources (HR) directorate. The RSS staff assist in the process by helping with the necessary internal approval forms (e.g. Job Descriptions and Advert) in addition to taking responsibility for chasing and updating all parties on the progress of appointments.

For reference details about the appointment process are available here:

Recruiting New staff – Policies and Procedures

d. Support for Activity – expenditure, procurement, claims etc.

Each grant requires different levels of support throughout its Life Cycle. Some require, for example, dedicated Research Associates or Administrators. However not all grants justify dedicated staff to support the administrative elements of an award and therefore they require support from existing PSS colleagues, either from within the RSS, the School or other organisational unit.

In SALC support with expenditure on grants is available to help ensure the award runs as smoothly as possible. Wherever possible items should be purchased or arranged through the Research Support Office. This is particularly important if you are considering engaging the services of an external person or organisation, as it is essential that they are either set up as a supplier or engaged in the correct manner. Therefore to ensure goods and services are arranged in a timely manner please contact the following colleague for support:

Abigail Saffer (abigail.saffer-2@manchester.ac.uk)

Abigail supports funds relating to Research Grants for colleagues in the following Divisions:

Art History, Drama and Music
Archaeology, Religions and Theology, Classics & Ancient History
English, American Studies & the Centre for New Writing
History

Fiona Daniel (fiona.daniel@manchester.ac.uk)

Fiona supports funds relating to Research Grants for colleagues in the following Divisions:

Language-Based Area Studies
Languages and Intercultural Studies
Linguistics & English Language

e. Financial Management and Reporting

It is important that Principal Investigators (PIs) manage and monitor the current and predicated expenditure on their award(s). The Senior Research Finance Officers and Research Finance Officers in each Hub support them in this task by providing up to date management reports on research grants. Each of them is responsible for a set of live awards.

RSS aim to provide timely reports directly to colleagues throughout the project, and can also generate reports on request. The PI can also access information directly from *My Research*, and are encouraged to review and seek advice or clarification about their budgets and expenditure throughout the project.

My Research is accessed via the *My Manchester* Staff Portal:

My Manchester

Full details about *My Research* are available here:

My Research – Handy Guide

RSS colleagues also lead on providing final expenditure reports. In addition to providing regular expenditure reports, the RSS team will contact those PIs with large projects six and three months before a scheduled end date to discuss the final expenditure plans and start reviewing and preparing final financial reports. This is a key area where multiple members of the team will be involved in helping resolve any final expenditure issues and discuss possible extensions or project alterations.

7. Open Access Publishing and The University *eScholar* Repository

Open Access (OA) means that items of scholarly work are made available online, in a digital format, at no charge to the reader and with limited restrictions on re-use.

OA started to gain prominence during the late 1990s with the advent of public access to the Internet, combined with the ability to copy digital material and make it available online at no cost (with copyright holder consent). At the same time, subscriptions to traditional scholarly journals have been rising at a rate far above inflation, putting pressure on library budgets, prompting cancellations and reducing access to knowledge.

There are two Open Access (OA) options available to you.

Gold OA is where the:

- publisher makes the published work freely available via their website;
- version of work made available is the publisher's post peer-review final version;
- online version is made immediately available following acceptance for publication;
- publisher may apply an Article Processing Charge (APC) to cover publication costs.

Green OA is where the:

- author agrees for their published work to be made freely available via an institutional or discipline-specific repository;
- version of work made available may be pre peer-review (pre-print, draft) or post peer-review (post-print author's or publisher's);
- online version may be subject to an embargo depending on the publisher's,
- article is made OA without payment of an APC.

The University of Manchester Library provides full support for OA publication; further details and information are available here:

Open Access at Manchester

The University repository is called Pure and you can access and update your publications in *eScholar* from here:

Pure

Note: Open Access publishing requirements post-REF2014
HEFCE have confirmed that in the next REF exercise journal articles and conference proceedings (with an International Standard Serial Number [ISSN]) accepted for publication

after 1 April 2016 must be deposited in an institutional (e.g. the University's eScholar) or subject repository on acceptance for publication (and no later than 3 months after this date).

8. Guidance on Citations and Bibliometrics

Citations serve as one indicator of the impact and influence of your research.

- Citation analysis provides not only quantitative information (how many times have I been cited?) but also qualitative information (eg am I being cited in fields outside my own main area?)

- Citation analysis can be one factor (among many) in influencing future publication strategies, by showing whether the citation impact of past research has any apparent link to where it was published

The Library's Citation Analysis service can provide:

- Training and guidance enabling you to assess the citation impact of your own research

- A consultancy service carrying out citation analyses for specific research groups or research areas

If you have any questions please contact: uml.researchcitationanalysis@manchester.ac.uk
You can consult The Library's bibliometrics introductory guide and online training here:

Bibliometrics – an overview

Journal Impact Factors

9. Consultancy Policy

Research consultancies can provide an avenue for researchers to build Knowledge Exchange and Impact from their research, and to develop follow-on research projects. The Life Cycle of a research consultancy is similar to that of a research grant, and the RSS team will provide the same pre-award and post-award support as detailed in this handbook.

The University consultancy policy was revised and approved in July 2014 and is available here. The Faculty guidelines are being revised accordingly and will be re-launched before the end of 2014. A handy Research or Consultancy decision tree is available as an Appendix to this document (see Appendix 3).

Also, Appendix 4 contains details on the current Faculty policy on Personal Reserve Accounts.

10. Feedback and Comments

The Faculty's Research Support Service is determined to provide a supportive and proactive service that meets the needs of academic colleagues as they prepare applications and manage awards. We are keen to receive any comments or suggestions and to answer any questions you may have, therefore please do not hesitate to contact your School Research Support Manager or Jonathan Starbrook, Head of Faculty Research Support Services about any aspect of the details covered in this Handbook (see Appendix 5 for full Contact Details).

Appendices

Appendix 1 – What is Full Economic Costing (fEC)?

Appendix 2 - Cost Recovery from Research Grants and Contracts: Strategic considerations when applying for external funding

Appendix 3 – Research award or Research Consultancy? Decision Tree

Appendix 4 - Guidance for the Treatment of Individual Reserves

Appendix 5 – Contact Details - Humanities Research Support Services team

Appendix 1 - What is Full Economic Costing (fEC)?

Introduction

The Government's Spending Review of 1998 granted additional funds to Higher Education, but also imposed conditions upon Institutions to transparently report their costs. The Transparent Approach to Costing (TRAC) is the method by which Higher Education Institutions fulfil this obligation. It requires that the expenditure shown in the University accounts be allocated in full to the activities of Teaching, Research and Other.

i.e. All costs of the University, including all the central salaries, costs and general University overheads (GUO) which by their nature cannot be attributed directly to one of these, have to be allocated to one of the 3 income streams.

Full Economic Cost

By allocating all University costs against the 3 income streams we arrive at the full economic cost (fEC) of those activities and are able to show which of them generate a 'real' surplus and which do not.

The rationale is that if e.g. the buildings were not maintained, the power bills were not paid and there was no central administration to ensure compliance with the many statutory and regulatory requirements imposed on the University, there would be no teaching, research or any other activity. To only use the direct costs associated with (say) teaching i.e. largely academic time, to calculate how much a course costs to put on, is to significantly underestimate the cost; a course has to be costed using the full economic cost, including all the costs that are not directly attributable, but without which the course could not be run at all.

TRAC helped to demonstrate that research was under-funded, when the full economic costs were calculated. This led to the proposal that the reporting of TRAC, which was only at institutional level, should be extended to project level i.e. each research grant, to identify at a lower level where the underfunding was occurring.

The purpose of project level reporting is to ensure that, taking one year with another, HEIs recover the full economic cost of the research projects they undertake and therefore, that their research programmes are sustainable.

How is fEC added to grants?

Every year a TRAC exercise is performed which calculates the total cost of research across the University when all the costs that are not directly attributable are allocated to it. These indirect costs are split between costs derived from maintaining the part of the Estate deemed to be supporting research and other indirect overheads allocated to research. A rate per member of staff is then calculated for Estates and other overheads, representing the amount of overhead they need to recover in addition to the cost of their time, if the University is to cover the full economic cost of doing research. This rate is applied to grant applications pro rata according to the amount of time the member of staff is budgeted to spend on the research. If these costs were not added, grants would not be fully costed and the University's research would not continue to be sustainable.

Implications for the University

Where a member of staff on a T&R contract spends a proportion of their time on research but none of it is funded, their share of all the costs of doing research across the university are not recovered (in this case, their own pay as well as all the associated Estates and overhead costs) and research across the University will make a 'real' loss, which has to be made up elsewhere if research is to be sustained.

Whilst it is true that the University receives HEFCE QR income, this is not to cover the cost of unfunded research in the University. It is intended to compensate the University for the loss of Estates and overhead recovery on grants from charities, who do not pay these costs.

It is also true that research should enhance the quality of teaching and that it is therefore reasonable for teaching to 'subsidise' some unfunded research, but TRAC data also shows that publicly funded teaching, predominantly Home/EU undergraduates, does not generate a significant surplus. The University can therefore only continue to afford to do a significant amount of unfunded research if non Home UG income streams, on which a surplus is generated, are maintained and increased. These streams are predominantly from International and post graduate (taught) students and 'other' income e.g. consultancy. These are all areas increasingly under threat. It is therefore essential to the long term sustainability of research at the University that there are increases in funded research income and that all such grants are fully costed to recover the full amount of overhead applicable to the grant.

The 80:20 Rule

Whilst the amounts recoverable on grants vary according to the funder, research councils tend to pay only 80% of the full economic cost. Where a large application is made comprising mostly directly incurred costs (RAs directly charged to the grant, non-pay etc) with little directly allocated time (the PI and CoI time) then the overhead and estates costs becomes a relatively small part of the full cost. As only 80% of that full cost is paid to the University, the overhead that is recovered first offsets the 20% of the DI costs not received and only then starts to cover the overheads and Estates costs it is intended to cover.

It is important to try to raise the amount of PI and CoI time on applications relative to the amount of DI cost to maximise the real recovery of University costs.

Appendix 2 - Cost Recovery from Research Grants and Contracts: Strategic considerations when applying for external funding

INTRODUCTION

This document provides:

1. Definitions of the terms used in (a) Full Economic Costings for grant applications, (b) the Research Proposal Approval Form, and (c) the Research section of the Faculty/School Management Accounts.

2. Examples to show the effects for University income of (a) including different kinds of costs, e.g. non pay v pay, and (b) applying to different funding bodies and schemes, since they provide very different levels of support.

1 DEFINITIONS

a) Terms used in Full Economic Costings (fEC)[1]

The Full Economic **Cost** (fEC) represents the cost of all resources necessary to undertake an individual project, including an adequate investment in the organisation's infrastructure.

In general, the fEC of a project is made up of several cost components, some of which are identified by those undertaking the project (e.g. staff time and travel) and some that are automatically calculated (i.e. institutional charges such as estates rates, calculated per individual).

These cost components are grouped under the following headings:

- Directly Incurred (DI) costs
- Directly Allocated (DA) costs
- Indirect costs

Directly Incurred costs

These include both staff and non-staff costs. If the project did not take place then the expenditure would not have been incurred, e.g. a post-doc for the project.

DI costs can usually only be estimated for project applications but actual costs are recorded on each project account during the project life. Expenditure records are validated internally and can be subject to audit by either the funding body and/or the university auditors.

DI Staff Costs

For staff working 100% of their time on a research project (regardless of whether they are full time or part time university staff), their salary costs are classed as DI. Such staff include research assistants, dedicated technicians, and administrative support staff.

[1] The definitions for 'Full Economic Costs' are adapted from 'Trac/fec' at http://www.staffnet.manchester.ac.uk/services/finance/trac-fec/fec

Appendix 2 - Cost Recovery from Research Grants and Contracts: Strategic considerations when applying for external funding

DI Non-Staff Costs (non-pay costs)

Examples of non-staff items include equipment (purchased specifically for a project), travel costs, workshops, fieldwork, etc.

Directly Allocated costs

These are costs that would have been incurred even if the project had not taken place. For example, the salary costs for PIs who are permanent academic staff. These costs are usually charged to the projects on the basis of estimates rather than actual costs.

DA Staff Costs

The Principal Investigator (PI) and Co-Investigator (Co-I) estimate their time to be spent on the project. Costs are then applied to the grade of staff.

DA Non-Staff (Indirect) Costs

Estates Rate

Estates costs include the costs of repairs and maintenance of buildings and premises equipment, premises staff (cleaners, etc), utilities, rates, rents, security and safety, cleaning, buildings insurance, buildings depreciation, and an infrastructure adjustment. These Estates costs are charged to projects as a £ per full time equivalent (FTE) of all academic and research staff (not support staff unless they are performing research).

Two Estates rates are calculated and used at Manchester, one for laboratory departments, and one for non-laboratory (classroom) departments. The latter is the one used in the Faculty of Humanities.

Indirect Rate

This covers non-specific costs charged across all projects not otherwise included as Directly Allocated costs. These costs are necessary for underpinning research but cannot be allocated to individual projects.

They include the costs of the support time (of academics) not directly involved with the project, the costs of non-academic staff (technicians, clerical and administrative staff) in academic departments, the costs of equipment in academic departments, the costs of general office and basic laboratory consumables, the costs of central and distributed computing, the costs of central services such as library and learning resources (including staff and extra costs) and other central support such as Finance and HR.

They exclude the estates costs of academic departments, and any cost that is a scholarship, bursary, or fee remission for Post-graduate Students.

They are charged as a £ per FTE for all academic and research staff undertaking research (not support staff unless they are undertaking research).

One indirect cost rate is calculated and used at Manchester.

b. Terms used on the Research Proposal Approval Form

Income Recovered from Funder/Price

On the Research Proposal Approval Form the price is shown as '[Income] Recovered from Funder'.

The **price** represents what the funder is willing to pay, i.e. the **price** can be equal to, lower or higher than the Full Economic **Cost**. For example,

Research Councils will pay 80% fEC

- Charities will usually pay Directly Incurred costs only
- European Commission (Horizon 2020) pays indirect costs at 25% of staff costs and non-staff costs

University Contribution

The University Contribution, sometimes referred to as the School contribution, is calculated as follows:

Full Economic Cost – Income recovered from Funder

Percentage Recovery rate

The percentage recovery rate is calculated as follows:

Income received from Funder/Full Economic Cost

This is an indicator of the level of subsidy that the university will have to undertake for any particular project; the higher the percentage the lower the university's subsidy.

c. Terms included in the Management Accounts

Funder's contribution

The Contribution shown in the Management Accounts refers to the funder's contribution towards the university's fixed costs, less any school contribution towards the project. It is calculated as follows:

DA Staff + DA Estates + Indirect Costs – School contribution[2]

[2] School contribution is the University's subsidy

Contribution rate

This is an indicator of how much the funder contributes to the university beyond the project's directly incurred costs. It is expressed as a percentage of the actual income of the funder and the higher the percentage the better the contribution. It is calculated as follows:

Funder's contribution / Income received from the funder

An understanding of contribution rate, and how this varies according to funding schemes and changes in project budgets, is best obtained from examples.

2. EXAMPLES

A typical grant might fund

- PI staff time, e.g. 20% of a professor's salary
- Research assistant, e.g. 100% post-doc
- Non-pay costs, e.g. travel and consumables for both PI and post-doc

Including the institutional costs the Full Economic Cost of this project is shown below

	Expenditure	£
A	DI Staff costs (PDRA)	45,000
B	DI Non Pay (travel, consumables)	20,000
C	DA Staff costs at 20%	20,000
D	DA Estates costs	9,440
E	Indirect costs	41,953
F	**Total cost of the project**	**136,394**

Appendix A provides details of the key calculations for school contribution, % recovery rate, funder's contribution and contribution rate, as defined above for the following scenarios:

- This standard project budget funded by RCUK
- This standard project budget funded by RCUK, with additional £20,000 non-pay costs
- This standard project budget funded by RCUK, with additional £20,000 DA staff costs
- This standard project budget funded by the European Commission
- This standard project budget funded by the European Commission, with additional £20,000 non-pay costs
- This standard project budget funded by the European Commission, with additional £20,000 DA staff costs

Appendix 2 - Cost Recovery from Research Grants and Contracts: Strategic considerations when applying for external funding

Summary of results

	Example 1 RCUK Standard	Example 2 RCUK Extra non pay	Example 3 RCUK Extra DA staff costs	Example 4 EU Standard	Example 5 EU Extra non pay	Example 6 EU Extra DA staff costs
School contribution	£27,279	£31,279	£32,992	£30,144	£25,144	£33,709
% Recovery rate	80%	80%	80%	78%	84%	80%
Funder's contribution	£44,115	£40,115	£66,967	£41,250	£46,250	£66,250
Contribution rate	40%	32%	51%	39%	35%	50%

Observations from the data:

- The % recovery rate from the RCUK **remains constant** at 80% regardless of the changes in the non-pay or DA staff costs budgets.
- Increasing the non-pay budget by £20,000 **reduces** the funder's contribution and contribution rate when the funder is RCUK
- Increasing the non-pay budget by £20,000 **increases** the funder's contribution but **reduces** the contribution rate when the funder is the European Commission. This is because the EU funds 100% of the non-pay costs and these costs also attract indirect costs.
- Increasing the DA staff time budget by £20,000 significantly **increases** the funder's contribution and contribution rate whether the funder is either RCUK or European Commission; the increase is more.

Lizzy Langton – June 2014
Approved by HSRC 25 June 2014

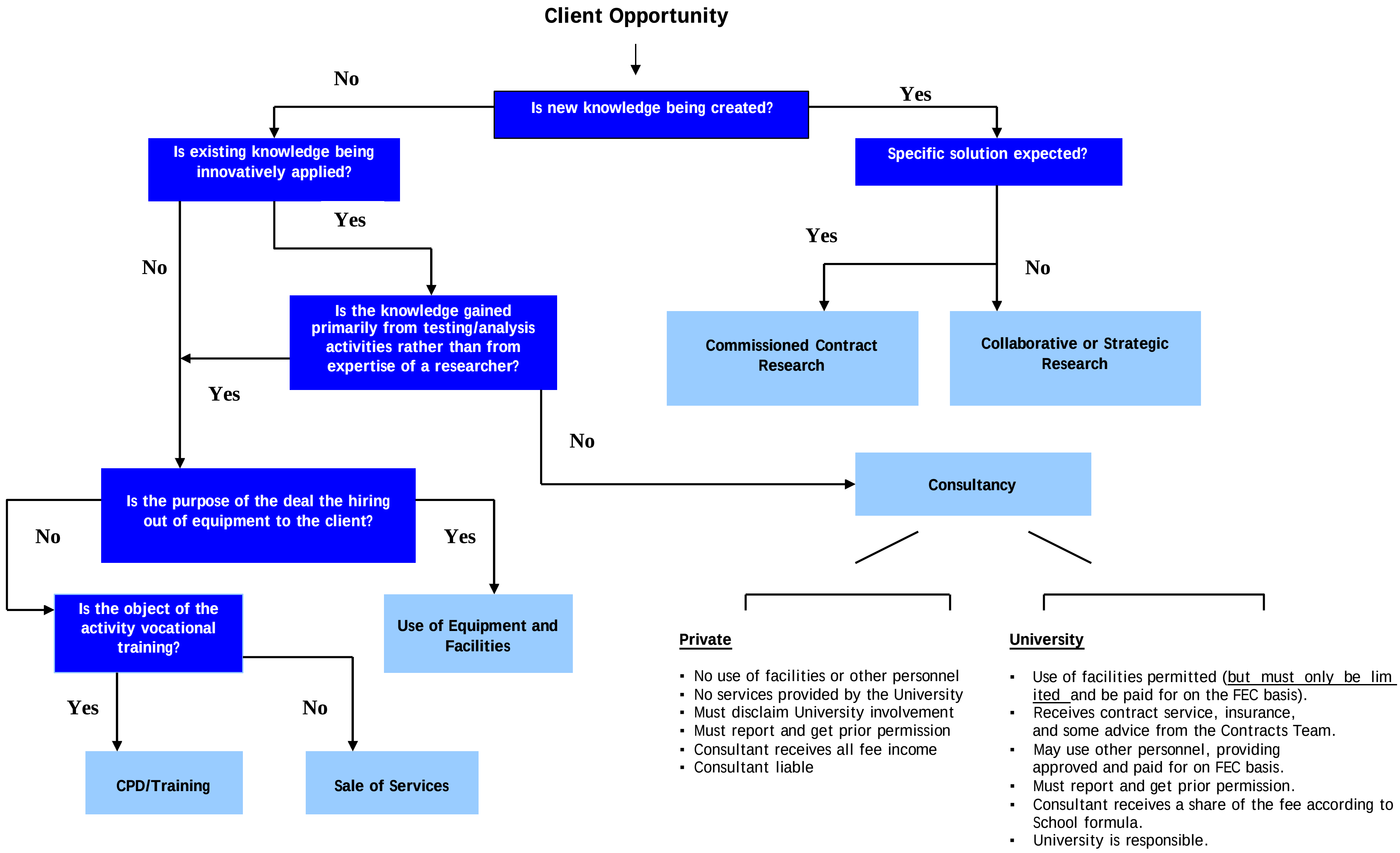
Appendix 2 - Cost Recovery from Research Grants and Contracts: Strategic considerations when applying for external funding

Appendix A

Line	RCUK Project	Example 1 £	Example 2 £	Example 3 £
	Expenditure			
A	DI Staff costs (PDRA)	45,000	45,000	45,000
B	DI Non Pay (travel, consumables)	20,000	40,000	20,000
C	DA Staff costs at 20%	20,000	20,000	40,000
D	DA Estates costs	9,440	9,440	11,014
E	Indirect costs	41,953	41,953	48,945
F	**Total cost of the project**	**136,394**	**156,394**	**164,959**
	Income			
G	Income from the RCUK (80%)	109,115	125,115	131,967
H	School contribution	27,279	31,279	32,992
		136,394	**156,394**	**164,959**
I	**Recovery rate**	80%	80%	80%
J	**Contribution as per the management accounts**	44,115	40,115	66,967
K	**Contribution rate as per the management accounts**	40%	32%	51%
L	**Academic fte (used in the calculation of indirect costs)**	1.2	1.2	1.4

Line	EU funded project	Example 4 £	Example 5 £	Example 6 £
	Expenditure			
A	DI Staff costs (PDRA)	45,000	45,000	45,000
B	DI Non Pay (travel, consumables)	20,000	40,000	20,000
C	DA Staff costs at 20%	20,000	20,000	40,000
D	DA Estates costs	9,440	9,440	11,014
E	Indirect costs	41,953	41,953	48,945
F	**Total cost of the project**	**136,394**	**156,394**	**164,959**
	Income			
G	Income from the EU	106,250	131,250	131,250
H	School contribution	30,144	25,144	33,709
		136,394	**156,394**	**164,959**
I	**Recovery rate**	78%	84%	80%
J	**Contribution as per the management accounts**	41,250	46,250	66,250
K	**Contribution rate as per the management accounts**	39%	35%	50%
L	**Academic fte (used in the calculation of indirect costs)**	1.2	1.2	1.4
M	**Indirect costs claimable from EU**	21,250	26,250	26,250

Appendix 3 – Research award or Research Consultancy? Decision Tree



Document dated May 2008

Adapted from HE-BCI guidelines

Appendix 4 - Guidance for the Treatment of Individual Reserves

Introduction
This document sets out to provide some clarity around the definition and utilisation of "Individual Reserves".

The guiding principle for our treatment of this issue is that if an individual chooses to bring money into the University that could have been taken personally, it is felt that the individual should have **some** influence over how the funds are spent. However, the expenditure must be in line with University strategic priorities and charitable objects, and is still subject to the usual budgeting and forecasting processes.

The University has legal and statutory obligations in relation to public funds, and all expenditure reported within the University must conform to those legal and statutory requirements.
It is important to note that Individual Reserves are still University funds, not personal funds belonging to the individual. Personal funds must be paid directly to the individual, who is responsible for paying any tax and national insurance arising.

It should also be noted that if the individual could fully direct how Individual Reserves are spent without any need to comply with an agreed approval process, then HMRC would still deem the individual liable for tax and national insurance on these funds. If funds come via the University, tax and national insurance will be deducted.

Full implementation of this new guidance on Individual Reserves began in 2011/12 financial year (commencing August 2011) following widespread consultation.

Definition
Individual Reserves are defined as income 'earned' by individuals, **which they could have chosen to be paid to them in a private capacity**, but which they have chosen to be paid directly to the University to be used for academic purposes.

Individual Reserves can include:
- Fees in relation to their membership of a Board of Directors, NHS Trust Board, expert panel or similar.
- Royalties and similar arrangements, where an academic is entitled under some form of revenue sharing agreement to receive a personal share of royalties from the exploitation of IP.
- Donations or honoraria for speaking at an external conference, external lecturing, or editing a journal.
- Examiner fees for acting as an external examiner. This does NOT include validation activities carried out on behalf of the University.
- A "cash" prize which an individual chooses to pass on to the University.
- A share of consultancy contribution, subject to the 'University Policy on staff undertaking consultancy and other outside commitments'.

Individual Reserves do **not** include:
- "Ends of grants or contracts". Grants and contracts are obtained in the course of an academic's primary employment by the University, and are subject to contractual and regulatory conditions.

Appendix 4 - Guidance for the Treatment of Individual Reserves

- Full Economic Cost (fEC) recovery on grants. fEC is not new or additional funding, but contributes to the overheads and institutional costs incurred in carrying out research activity and as such is recovering costs already incurred and cannot be spent more than once.
- Clinical trials. Expenditure in relation to clinical trials should be budgeted in the normal way and any apparent surpluses must not be allocated to individual reserve accounts.

Utilisation of Individual Reserves

Expenditure from Individual Reserves must be budgeted for as part of the preparation of the School budgets, like any other expenditure and may be restricted or reduced during the budget process or in the budget year, if budgetary constraints are necessary. [The funds do not 'disappear' from the reserve account and will remain as part of the balance, it may just not be possible to spend them as planned, but they may be budgeted for expenditure in a subsequent year]. As with all budgeted expenditure it must be approved by the Head of School and/or Dean of Faculty.

It is recognised that it can be difficult to predict the timing of certain expenditure due to its nature, so schools should budget for Individual Reserves expenditure either specifically, where planned expenditure is known and approved, or as part of their consideration of sums budgeted for personal research allowances/seedcorn funds/research development funds or other non-specific expenditure. Where Schools are able to meet their financial obligations, a small reserves contingency may be created to allow unbudgeted expenditure from these accounts.

Funds are also available via Faculty SIRF and where expenditure from an individual reserve has been limited by the School because of financial constraints, account will be taken of the fact that 'additional' income was generated by the bidder when the bid is considered at Faculty.

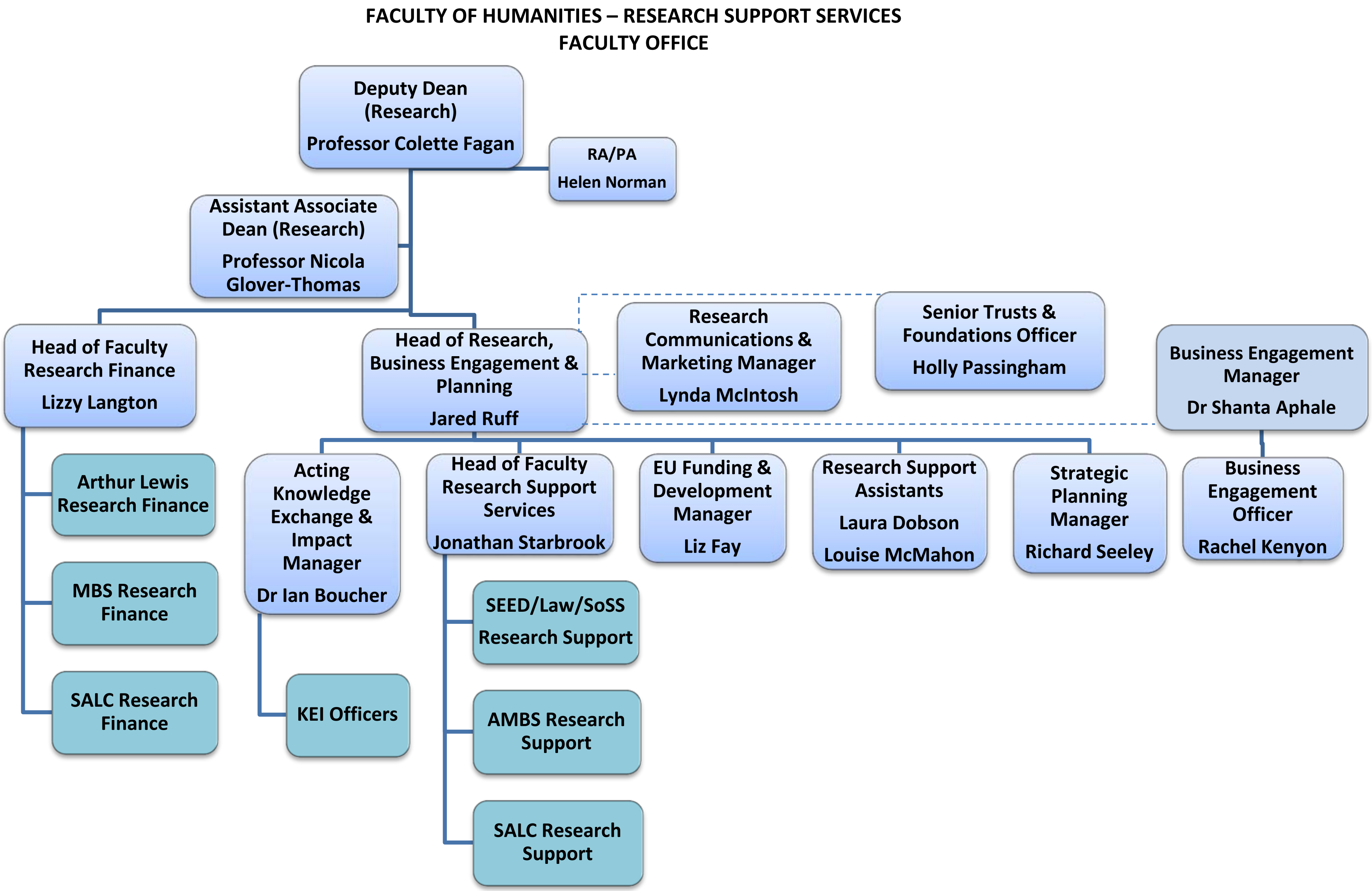
Historic balances

Balances held in Reserve accounts prior to the implementation of this guidance will be dealt with on a case by case basis, with Schools and/or Faculties taking reasonable steps to establish whether the balances were established in line with the University policy and that they are subsequently utilised and managed in line with the policy and best practice.

Further questions

Specific guidance about the accumulation and acceptable use of individual reserves can be obtained from your Head of School Finance or the Head of Faculty Finance.

Appendix 5 – Structure and Contact Details - Humanities Research Support Services team



Last updated November 2016

Appendix 5 – Structure and Contact Details - Humanities Research Support Services team

FACULTY OF HUMANITIES – RESEARCH SUPPORT SERVICES
RESEARCH SUPPORT HUBS

SALC Research Support Hub
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RSM - Raksha Parmer
SRFO - Karina Moulinec-Rojas

RSO - Alison Plumb, Edward Salter
RFO - Edith Toth
RSAs - Fiona Daniel, James Mawdesley, Rhiannon Rothwell

SEED/ Law/ SoSS Research Support Hub
(al.researchhub@manchester.ac.uk)

RSMs - Louise Gorton (Law), Elaine Edwards (SEED),
Gillian Whitworth (SoSS)
Patricia Gorham (SEED + Ethics)
SRFO - Paul Henshall

RSO - Melanie Canham, Susie Chesher, Marta Fole, Hannah Head, Joanna Jozefiak, Jill Lee Borrett, Leo Tarasov
RFO - Alica Alaksova, Pat Hayder

AMBS Research Support Hub
(research.services@mbs.ac.uk)

RSM - Kellie Gallagher
SRFO - Matthew Warrington (also supports SEED/ Law/ SoSS Hub)

RSOs - Linzi Stirrup, Lucy Valentine
RFO - Lynne Worrall

Knowledge Exchange & Impact Officers
Carly Chadwick (SEE, SoSS + temporarilyLaw), Louise Murphy (AMBS),
Lucy Stone (SALC)

RSM - Research Support Manager; SRFO - Senior Research Finance Officer
RSO - Research Support Officer; RFO - Research Finance Officer
RSA - Research Support Administrator

Last updated November 2016

Appendix 5 – Structure and Contact Details - Humanities Research Support Services team

FACULTY OF HUMANITIES – RESEARCH SUPPORT SERVICES
CONTACT DETAILS

Name	Title	Internal telephone number	Email address
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Last updated November 2016

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