North East ESRC Societal & Economic Impact Acceleration Fund
A Durham University - Newcastle University Collaborative Fund

Guidelines

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About
The North East ESRC Societal & Economic Impact Acceleration Fund (herein referred to as the Fund or the Scheme) is designed to support impact and KE activities arising from collaboration and co-production between Durham and Newcastle researchers aligned to the priorities of the Durham/Newcastle collaborative partnership. This scheme is jointly funded by Durham and Newcastle Universities as part of their respective ESRC Impact Acceleration Accounts (IAA). These guidelines detail how the Fund operates and how Durham and Newcastle researchers can jointly apply for funding.

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Objectives and Definitions

1. The Fund’s objectives are to:
   a) Strengthen existing collaboration between social science researchers at Durham and Newcastle Universities and/or explore the viability and sustainability of new partnerships;
   b) Support projects and initiatives arising from collaboration and co-production between social science researchers at Durham and Newcastle Universities in order to maximise the impact and influence of their research;
   c) Facilitate sustained, long-term engagement between Durham/Newcastle social science researchers and research users, external organisations, communities, practitioners and the public;
   d) Further embed impact and engagement within each University’s research culture and environment across the social sciences in order to underpin their respective Research Strategies;
   e) Contribute towards Durham and Newcastle Universities’ delivery of their respective key output and outcome targets for their ESRC Impact Acceleration Account, which are focused on the generation of societal and economic benefits from their social science research.

2. The key performance indicators (KPIs) for the Fund are listed in Appendix 3.

3. The Fund defines impact in accordance with the Research Councils UK’s definition of economic and societal impact, which is described at http://www.rcuk.ac.uk/ke/impacts/meanbyimpact/ (last accessed: 01/08/2014)

4. The Fund uses the ESRC definition of social science research as listed in Appendix 2 but is not limited to ESRC-funded researchers.

Operating Principles

5. The Fund has been designed around the following key principles:
   a) Flexibility // The Fund does not prescribe the types of activities and initiatives it will support: it is for applicants to put forward proposals that will best support the realisation of impact from their research, within the context of the Fund’s eligibility criteria, objectives, and key performance indicators (KPIs).
   b) Responsiveness // The Fund will initially have two calls per year but proposals may also be considered outside of these calls. The number of calls for funding will respond to the level of interest.
   c) Transparency // Awards from the Fund will be made in the most open and transparent fashion possible. Information relating to funded proposals will be made publicly available on the Durham/Newcastle ESRC IAA websites www.dur.ac.uk/esrciaa; www.ncl.ac.uk/hss/impact/iaa/

Supported Activities & Initiatives

6. The Fund is not prescriptive in the types of activities and initiatives that it will support but all proposals must be a joint collaboration between Durham and Newcastle researchers, building on their existing (either independent or joint) research in the social sciences (see Appendix 2 for the ESRC definition of social science).

7. The expected outputs, outcomes, and impacts for the North East ESRC Societal & Economic Impact Acceleration Fund are detailed in Appendix 3.

8. Applications are, in particular, encouraged from research sponsored by the ESRC to support the accelerated delivery and realisation of the project’s stated pathways to impact.

9. The Fund is able meet the costs of events, conferences, travel and other expenses arising from collaborating with external organisations and communities, both domestic and international; temporary
staffing appointments; and the production of policy and other non-academic publications. The Fund is not able to meet the costs of academic staff time.

10. The Fund will not support proposals that seek funding for primary research and consultancy activities. It is solely available to support impact and engagement activities arising from current and recent social science research or co-production/participatory action research.

**Levels of Funding Available**

11. The Fund is open for applications of typically between £1,000 and £10,000 in total value. Applications for values greater than £10,000 may also be considered.

12. Projects will normally be funded for up to 12 months. However, as the Fund is financed by the ESRC, successful applicants will be able to complete their approved project over multiple financial years if required, with the approved funds classified as external income within the University’s financial accounting system.

13. Projects will be jointly funded by both Durham and Newcastle Universities, with 50% funding contribution from each institution. Therefore, researchers from both institutions will be considered as joint-Principal Investigators and will be required to detail on their application form how the funds will be managed according to a 50-50% split between Durham and Newcastle.

14. Applicants are encouraged to consider co-funding (cash or in-kind) of activities where possible. This type of commitment not only increases the reach of the funding but commits external partners to engage with the activities developed by researchers. Applicants are expected to demonstrate in their proposals that there is a genuine commitment from external partner organisations.

**Eligibility Criteria**

15. To be considered for support from the Fund, applicants and their proposed project must meet the following eligibility criteria:
   a) Applicants must be an independent researcher (on a research or teaching and research contract and undertaking independent research, leading or acting as principal investigator or equivalent on a research grant or significant piece of research work) at their respective institution (Durham or Newcastle University);
   b) Proposed activities and projects must align with the ESRC’s disciplinary remit (see Appendix 2) but is not limited to ESRC-funded researchers;
   c) Relevant underpinning social science research must be at or above the 2* quality threshold as defined by the last (2014) Research Excellence Framework (for Durham University staff, this research must be available, where possible, on Durham Research Online (DRO) and for Newcastle University staff, on ePrints). For research not yet published, and co-produced or participatory action research projects, confirmation that the research will be of 2* or greater quality will be required via departmental or disciplinary peer review processes.

**Application Process**

16. The deadline for full applications is TBC. We currently have a call for Expression of Interests open. Thereafter, calls for applications will be advertised via the respective institution’s websites: 
   www.dur.ac.uk/esrciaa; www.ncl.ac.uk/hss/impact/iaa/

17. To apply for support via the Fund, applicants must complete a North East ESRC Societal & Economic Impact Acceleration Fund Application Form (see www.dur.ac.uk/esrciaa; www.ncl.ac.uk/hss/impact/iaa/), within which the proposed activity/project is detailed. Completed forms
must be electronically submitted to both Newcastle and Durham University contacts (esrciaa@durham.ac.uk and clare.graham@ncl.ac.uk) for processing.

18. Applicants are advised to contact the IAA Managers (esrciaa@durham.ac.uk or Lorna.Taylor@ncl.ac.uk) for any specific advice and guidance in advance of submitting proposals to the Fund.

19. The IAA Managers will assess an application to ensure it meets the Fund’s eligibility criteria, liaising with the applicant if any initial issues arise, and will then forward on the application to the Fund’s Awards Panel for consideration.

20. The Fund’s Awards Panel chair alternates between Durham and Newcastle Universities’ ESRC Impact Acceleration Account Directors. The group consists of the IAA Directors plus at least one other member of academic staff from each university and at least two non-academic representatives from external organisations and communities. The Panel will meet a minimum of twice per year to assess applications for funding. The Awards Panel reports into, and is overseen by, the respective University’s ESRC IAA Steering Committees and is administered by the IAA Manager of the chair’s institution.

21. The Awards Panel reviews and assesses all applications against the Fund’s assessment criteria, which are detailed in Appendix 1. Applicants are strongly encouraged to take account of these criteria when preparing their applications.

22. The IAA Manager of the administering institution per call will notify the applicant of the Award Panel’s decision, with any relevant supporting feedback. Decision notifications will also be copied to relevant internal contacts (e.g. for Durham University applicants, notifications will be sent to the designated Impact Officer of the applicant’s host Department/School and for Newcastle University applicants, notifications will be sent to the School's Director of Research, Impact Champion and School Manager/Administrator).

Award Process

23. Where a proposal has been approved by the Awards Panel, the award-holder will be subsequently required to provide to the IAA Managers confirmation that their host Department’s/School’s or Faculty’s Ethics Committee (whichever is relevant for the institution) has considered and approved the project.

24. Successful awards will need to follow their institutional research project costings and set up processes, to receive the funds. The Newcastle PI should follow the standard NCL ESRC IAA Scheme process guidelines for the Newcastle monies & the Durham PI should follow the standard Durham ESRC IAA Scheme guidelines for the Durham monies.

25. The IAA Managers will liaise with the award-holder to handle any legal, compliance, intellectual property and Health & Safety issues arising from the project. Where stumbling blocks emerge in these domains, the Awards Panel will also be informed.

26. Details of successful projects, as provided in the application form, will be published on the Durham and Newcastle ESRC IAA websites: www.dur.ac.uk/esrciaa/; www.ncl.ac.uk/hss/impact/iaa/

27. Details of engagement events and activities undertaken by awards projects will be listed on the Durham and Newcastle ESRC IAA websites as a calendar of engagements.

28. Once the approved project has been confirmed, a new, dedicated account will be set-up, through which all expenses incurred will be charged. Fifty percent of the funds will be held at Durham University (RF account) and 50% at Newcastle University (RES or OSR account). It will be for the award-holders and their host Department/School to manage their share of the approved funds appropriately and to record expenditure. At the end of the project the account will be reconciled and closed, with any unspent funds returned to the joint fund.
29. During the life of the project, award holders are required to submit an interim report to the IAA Managers. Templates for interim reports will be provided.

29. After the completion of an approved project, award-holders must complete and submit a project completion report, including expenditure, using the North East ESRC Societal & Economic Impact Acceleration Fund Project Completion Report Form (templates for Completion Reports will be provided). Via this Report, award-holders will be required to detail the success (or otherwise) of their activities, including performance against the outputs and outcomes detailed in their original proposal and the ESRC IAA KPIs. It is recognised that outputs and outcomes from a project may be realised later into the future, and such considerations should be included by the award-holder in their report.

30. Project completion reports will be considered by the respective university’s Steering Group and also the joint management group who administers the North East Fund. Reports may be published internally to demonstrate the impact of the ESRC IAA. Where details of a project are to be disseminated externally, the appropriate IAA Manager will notify and liaise with the award-holder.

Terms and Conditions of Award

31. By submitting an application, successful award holders are agreeing to the following terms and conditions:
   a) Award holders are expected to provide materials suitable for publication on the Durham and Newcastle ESRC IAA websites; a summary of their initiative at the start of the project and a summary of their activities and impact at the end of the project;
   b) Award holders’ information and application will be shared with other ESRC IAA award holders and prospective applicants;
   c) All award holders and other colleagues associated with the project must be willing to participate in future capacity building events to share their experience and develop expertise;
   d) Award holders must keep the IAA Managers informed of any external events or activities being organised for the particular project in order to ensure the calendar of engagements is up to date and that full reporting is enabled;
   e) All projects must comply with the ESRC IAA reporting requirements and award holders must ensure appropriate probity in managing the finances and expenditure of awards;
   f) The ESRC IAA Director and/or the IAA Manager may request information from an award-holder on their approved project at any time;
   g) The award is non-transferable;
   h) Any assets purchased with the award will remain property of the purchasing institution unless pre-approved by the Awards Panel;
   i) Successful Newcastle University applicants will be asked to use the impact section of MyProjects to record activity in relation to their award.
Appendix 1 // Assessment Criteria & Methodology

Assessment Criteria

1. All eligible proposals will be considered and assessed by the Awards Panel against the following criteria:

   **Criterion 1 //** Is the underpinning research (or proposed co-production of research) of the appropriate standard? I.e. is it academically rigorous in terms of its methodology, reach and significance?

   **Criterion 2 //** Are the proposal’s anticipated activities deliverable within the timespan defined?

   **Criterion 3 //** Are the anticipated societal and economic outcomes and outputs of the proposal realistic and appropriate?

   **Criterion 4 //** Does the proposal represent Value-for-Money in terms of the proposed outputs and outcomes it is anticipated will be generated?

   **Criterion 5 //** Is the proposal likely to develop sustainable relationships with an external organisation(s) and/or community(s) and/or research-user(s) and/or practitioner(s)?

   **Criterion 6 //** Is the proposal likely to develop sustainable relationships/partnerships between Durham and Newcastle University researchers?

   **Criterion 7 //** Will the proposal leverage additional resources (both financial and non-financial) from an external organisation(s) and/or community(s) and/or research-user(s) and/or practitioner(s)?

   **Criterion 8 //** How closely does the proposal align and support North East ESRC Societal & Economic Impact Acceleration Account key performance targets/indicators?

Assessment Methodology

2. Proposals are not anticipated to be able to meet all of the criteria listed in Paragraph 1, but the Awards Panel will be seeking to ensure applicants score positively against the core criteria that focus on the deliverability and effectiveness of proposals.

3. The Awards Panel will adopt an open and expansive appetite for risk, innovation and entrepreneurship when considering proposals, in balance with the need for securing Value-for-Money. This approach is designed to encourage and support proposals that are novel in design and whose ultimate success is consequently more uncertain than more traditional and/or conventional impact and engagement projects.
## Appendix 2 // ESRC Disciplinary Remit

<table>
<thead>
<tr>
<th>Subject</th>
<th>Topic(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Demography and human geography</td>
<td>a) Demography</td>
</tr>
<tr>
<td></td>
<td>b) Human geography</td>
</tr>
<tr>
<td>2. Development studies</td>
<td>c) Area and development studies</td>
</tr>
<tr>
<td>3. Economics</td>
<td>d) Economics</td>
</tr>
<tr>
<td>4. History</td>
<td>e) Economic and social history</td>
</tr>
<tr>
<td>5. Education</td>
<td>f) Education</td>
</tr>
<tr>
<td>6. Environmental planning</td>
<td>g) Environmental planning</td>
</tr>
<tr>
<td>7. Linguistics</td>
<td>h) Applied linguistics</td>
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<tr>
<td></td>
<td>i) Comput./corpus linguistics</td>
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<tr>
<td></td>
<td>j) Phonetics</td>
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<tr>
<td></td>
<td>k) Psycholinguistics</td>
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<tr>
<td></td>
<td>l) Sociolinguistics</td>
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<tr>
<td></td>
<td>m) Languages and linguistics</td>
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<tr>
<td></td>
<td>n) Linguistics (general)</td>
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<tr>
<td>8. Management and business studies</td>
<td>o) Management and business studies</td>
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<tr>
<td>9. Political science and international studies</td>
<td>p) International studies and relations</td>
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<td></td>
<td>q) Political science</td>
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<tr>
<td>10. Psychology</td>
<td>r) Psychology</td>
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<tr>
<td>11. Social anthropology</td>
<td>s) Social anthropology</td>
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<td>12. Social policy</td>
<td>t) Social policy</td>
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<tr>
<td>13. Social work</td>
<td>u) Social work</td>
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<tr>
<td>14. Sociology</td>
<td>v) Science and technology studies</td>
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<tr>
<td></td>
<td>w) Sociology</td>
</tr>
<tr>
<td>15. Law and legal studies</td>
<td>x) Socio legal studies</td>
</tr>
<tr>
<td>16. Tools, technologies and methods</td>
<td>y) Social statistics, methods and computing</td>
</tr>
</tbody>
</table>

**Source**

(Accessed 31/07/2014)
Appendix 3 // Key Performance Indicators of the North East Fund

The Key Performance Indicators (KPIs) for the North East ESRC Societal & Economic Impact Acceleration Fund are listed below.

<table>
<thead>
<tr>
<th>Outputs</th>
<th>Outcomes</th>
<th>Impacts</th>
<th>Evidenced By</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Number of collaborative projects funded</td>
<td>• Number of new partnerships between Durham and Newcastle social science researchers established</td>
<td>• Development and strengthening of joint impact and KE activities between Durham and Newcastle.</td>
<td>• Securing positive testimonials from collaborators on the impact generated from IAA-funded activities</td>
</tr>
<tr>
<td></td>
<td>• Increase in impact and KE activities of established partnerships</td>
<td>• Enhancement of Newcastle’s and Durham’s expertise and reputation in undertaking research with impact</td>
<td>• Generating a number of high-quality case study examples demonstrating the level and nature of the impacts achieved</td>
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<tr>
<td></td>
<td></td>
<td>• Contribution to wealth creation, public policy, social inclusion and civic engagement.</td>
<td>• Surveys and/or interview data capturing external views on impact of event/activity</td>
</tr>
</tbody>
</table>