ESRC Impact Acceleration Account (IAA)  
Co-Production Fund  
Guidance Notes for Spring 2017 Call  
Weblink: http://www.ncl.ac.uk/hss/internal/impact/iaa/index.htm

A. Background
The ESRC has awarded Newcastle University funding through an Impact Acceleration Account to fund knowledge exchange (KE) and impact activities to enable academics to maximise the impact from their social science research and contribute to economic and societal development in their region and beyond.

B. Aims of the ESRC Impact Acceleration Account
The aim of the ESRC IAA is to support impact and knowledge exchange activities, which enable researchers at all levels to engage with the public, private and third sectors, to establish a sustainable support structure within the University to promote wider and more effective engagement with external organisations that will enhance impact. The target audience of the activity must therefore be non-academic stakeholders.

The Co-Production Fund is a responsive scheme, with an annual call, to fund two pilot projects per year based on the co-production of knowledge with external partners concerned (private organisations, public sector and third sector).

C. Eligibility
Applications are invited from any researcher active in the social sciences (whether or not they are ESRC grant holders) who, at the point of application, hold a current contract of employment as 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) with Newcastle University. Applications are welcomed from staff across all three Faculties.

The call is designed to be open to sectors that align with the ESRC Delivery Plan 2015-2016.

All projects must be able to demonstrate societal and economic impacts ranging from private sector, to public and third sectors.

Projects must be driven by non-academic stakeholders and be able to demonstrate the need for academic know how which is currently lacking. This funding will allow the organisation to innovate and it must be clear that funding cannot be accessed through any other means, e.g. external consultants.

These projects should lead to further collaboration between partners to maximise engagement and impact.

All projects must be strategic, innovative and impactful to both parties. They must be able to provide a step change within the organisation and prove how this makes a valuable contribution to the UK economy through increased profits or jobs sustained or created, whilst evidencing strong societal impact (see appendix 1).
D. Extent of the Co-Production Fund

1. The Faculty has allocated £20,000pa and matched funding will be sought from external partners.

2. IAA awards are made on the basis of individual project needs. We expect to fund two pilot projects per year (average £10k plus co-funding from project partner).

3. All costs must be fully and clearly justified and may include the following:
   a) Reasonable travel, accommodation and subsistence costs: in accordance with the University expenses manual at:  
      http://www.ncl.ac.uk/internal/finance/expenses/regulations/index.htm
   b) Equipment: Consumables directly related to the project may be eligible for funding, but must be fully justified. Where items of equipment are requested at substantial cost and are to be retained within the School, the School would ordinarily be expected to contribute 50% of the cost of these items.
   c) Salaries: For research fellows and research associates or exceptionally for teaching buy out for T&R staff or for salary costs of external partners where the activities proposed don’t form part of the organisation’s normal remit/services (NB this is likely only to apply to third sector organisations). If a named RA is an existing member of staff (already on payroll) being costed you must ensure salaries are costed at ‘actual’, not ‘banded’ rates by ensuring the ‘use Actual Salary’ option in MyPP is selected. If research fellows or associates are supported by research grants from bodies outside the University, the terms and conditions of their award/appointment must not preclude their acceptance of additional research funding.
   d) Other: The Panel will consider applications for costs such as registration costs at events, production of professional materials, room bookings, catering etc.

E. Assessment Criteria

1. Quality of the proposal; is it academically rigorous in terms of its methodology, reach and significance and generated by 2* quality research? In relation to KE networks, are there clear underlying themes and a clear need for the network?

2. Are there clear objectives and milestones and are the proposed activities deliverable within the timespan defined?

3. Are the proposed societal and economic outcomes and outputs of the proposal realistic and appropriate?

4. Does the proposal represent Value-for-Money?

5. Will the proposal develop sustainable relationships with an external organisation (s) and/or community (s) and/or research-user(s) and/or practitioner(s)?

6. 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)?

7. Is the proposal significantly (50%+) within the ESRC Disciplinary Remit?

8. Does the proposal align to and support the ESRC IAA key performance indicators?

9. Will the proposal enhance the University’s research culture and environment?

10. 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.

F. Process
1. There will be one competition during each academic year, for the Co-Production Scheme.
2. Applications must be made on the application form and can be under one, two or all three of the funding strand headings.
   There is no limit to the number of applications from each School per competition.
3. Applicants are required to discuss their project with the Faculty’s, ESRC Impact Acceleration Account Officer Dr Eve Forrest and your School Impact Champion before submission.
4. The normal process for costing external awards should be followed. Applicants should cost their proposals in MyProjects Proposals (please keep at P-stage only) in liaison with their School office.
   Please ensure Clare Graham is added as a project team member for support purposes.
   Please select the following proposal funding and pricing templates:
   - **Funder:** ESRC
   - **Pricing template:** 100% fEC excluding inflation (with Directly Allocated costs removed in final adjustment). Please email hass.researchteam@ncl.ac.uk if you have any queries.
5. Applicants are required to discuss their project with their Research Director and Head of School in relation to strategy and staffing implications. Applications should have support from the School and must be ranked by the Director of Research, confirmed by the Head of School. Impact applications should be ranked separately from applications exclusively for KE networks and/or engagement.
6. Standard conflict of interest considerations will apply. Where the Research Director is an applicant or a collaborator on the relevant project, he or she will not be involved in the process nor have access to the relevant School documentation, and the Head of School will submit the form in lieu of him or her. Where the Head of School is an applicant or a collaborator on the relevant project, he or she will not be involved in the process nor have access to the relevant School documentation, and the Research Director will submit her or his ranking without Head of School confirmation. Where both the Research Director and the Head of School are applicants or collaborators on the relevant projects, the School ranking will be made by the Deputy Head of School or, when one is not available (or he or she is also affected by conflict of interest), a suitable person (or persons) nominated by the Dean of Research and Innovation.
7. A signature of support for the project should be included from all stakeholder partner organisations. This can be in the form of an email attachment.
8. Completed forms should be submitted electronically to hass.researchteam@ncl.ac.uk by the deadline date on the application form.
9. Applications will be considered by the Newcastle ESRC IAA Fund Awards Panel meeting as stipulated on the application form. The panel comprises the IAA Director (Dean of Research and Innovation), three research users, two Newcastle Institute for Social Renewal impact champions, plus other members of the ESRC IAA Management Group. The awards panel will rank the applications and allocate funding up to the total available for that call.
10. Applicants will normally be informed of the results within two weeks of the awards panel meeting.
11. Successful applicants will be asked to use the impact section of MyProjects to record activity in relation to their award.
12. Successful applications will be asked to provide information about their project for publicity purposes within the Faculty and may be asked to participate in CPD events.
13. Funded project holders will be required to submit three reports on provided templates during the project as follows, which will be considered by the Newcastle ESRC IAA Steering Group and at Management Group Meetings:

- A brief interim progress report, mid-way during the project, will be required and will outline progress against the milestones in the application form and the relevant KPIs.
- A two-page end of project report outlining how the objectives of the project and the relevant KPIs have been met to date will be required no later than four weeks following the official completion date.
- A final report will be required 12 months after your project’s end date to give an update on outputs.

14. Exceptionally, applications for “urgency funding” will be considered between calls where opportunities arise that require an immediate decision. Chair’s action will be taken in such instances after electronic consultation with panel members.

G. Terms and conditions of awards

1. Successful candidates are expected to start the impact outputs and activities as soon as possible and to complete them within 12 months of the official start date.

2. Successful candidates are required to consider any ethical issues relating to their application and comply with the University procedures for ethical review process.
   - For awards set up with a RES account, the preliminary ethics section on MyPP will need to be completed and if this indicates ethics are required, please complete the University Ethics Form.
   - For all projects set up with an OSR account please complete the University Ethics Form.

3. Successful candidates are required to contribute to the HaSS Research Impact Blog, writing one article, preferably in collaboration with any partners, about their project work. Your blog piece can be discussed with Dr Eve Forrest.

4. The award will be withdrawn if a successful candidate subsequently leaves the University.

5. The balance of an award outstanding at the end of 12 months will automatically revert to the Fund, unless prior warning and justification is given to the Dean of Research and Innovation.

6. Successful projects will be listed on the Faculty ESRC IAA website.

7. A RES/OSR account and impact project will be set up in MyProjects on award and funds transferred into this account, usually at the end of the project and on submission of your final report.

8. Where there are cash contributions from external organisations, a collaboration agreement must be drawn up in conjunction with the Grants and Contracts team. School admin support are responsible for managing any cash contribution funding and liaising over collaboration agreements.

9. That Schools will administer the spend against the allocated funds and reports will be run by the Research and Impact Support Officer in the Faculty to monitor spend.

10. Spend of your allocated funding from the ESRC IAA award may vire between requested headings, for valid reasons, as long as the outputs are achieved. Any major amendments to your budget plan, where you would like to use your award to cover new/additional outputs should be pre-approved by the IAA Manager. On these occasions, please email hass.researchteam@ncl.ac.uk with full details on the project budget amendment request.

11. Any equipment, materials or books purchased from the award shall remain the property of the University.
12. The Faculty reserves the right to review and to terminate an award at any time.

KPI's for Co-Productions  Appendix 1

ESRC have set a number of KPIs for the overall Impact Accelerator Account. Some of these are directly related to the Co-production funding stream and academic staff will be asked to report on Outputs, Outcomes and Impacts both during and at the end of their awards (depending on length of award) giving evidence in all categories.

Outputs

- Cash and In-kind contributions from non-academic partners  
  (amount from each partner, which partners?)
- Joint publications with non-academic partners  
  (how many publications? where published?)
- Value of co-produced research in terms of early stage spin-outs
- Number of CPD programmes developed  
  (what are these? With who? Aimed at who?)
- Any proof of concept projects developed
- Number of collaborative projects developed and number of new partners participating
- Number of strategic events
- Any case studies developed
- Number of staff engaging in co-production activities

Outcomes

- Number of partners who pursue further collaborations  
  (who are they?)
- Any spin outs and what the external investment in the spin out is
- Value of Income generated through co-production
- Extent and reach of CPD programmes
- Any increase in investment and engagement with non-academic organisations
- Increase in volume of collaborative activities and engagement activities

Impacts

- Has there been any employment or wealth creation resulting from the co-production
- Any change in policy and practice
- Increase in the R and D budget of the non-academic partner
- New business models for non-academic partners
- Cost savings in non-academic organisations
- Increase in co-produced research
- Any increase in commercialisation and business and stakeholder engagement.
### Appendix 2 RCUK IAA Reporting Matrix¹

<table>
<thead>
<tr>
<th>Activity (including)</th>
<th>Outputs (including)</th>
<th>Outcomes (including)</th>
<th>Impacts (including)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Secondees, Placements, Visits²</strong>&lt;br&gt;Reporting must include information on the sector of the non-academic partner (and the size of corporate partners)</td>
<td>• Number of secondment projects (inward/outward)</td>
<td>• Number of partners who go on to pursue further collaborations with RO following secondment/ placement/ visit</td>
<td>• Jobs and/or increased turnover, profit and exports from/of new products and/or processes</td>
</tr>
<tr>
<td></td>
<td>• Cash and in-kind contributions from non-academic partners</td>
<td>• Investment in further engagement following secondment</td>
<td>• Policy and/or practice change</td>
</tr>
<tr>
<td></td>
<td>• Joint publications with non-academic partners</td>
<td>• Future employment destination of secondees or others from the RO</td>
<td>• Increased R&amp;D expenditure of non-academic partner</td>
</tr>
<tr>
<td><strong>Early Stage Commercialisation</strong>&lt;br&gt;This can include social enterprise, joint ventures and spin outs</td>
<td>• Number of patents filed and disclosures received</td>
<td>• Investment gained in activity</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Number and value of licensing agreements</td>
<td>• Number of spin-outs/social enterprise/joint ventures established</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Number of Proof of Concept (Poc) projects</td>
<td>• External investment in spin-outs/social enterprise/joint ventures</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Value of co-produced research</td>
<td>• Number of Poc projects funded by others</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Number of market assessments completed</td>
<td>• Licenses completed</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Number of prototypes/ tool kits/ test beds/ beta software produced</td>
<td>• Income generated (included through consultancy fully funded by non-academic organisation)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Number of CPD Programmes developed</td>
<td>• Extent and reach of CPD Programmes</td>
<td></td>
</tr>
<tr>
<td><strong>User Engagement</strong>&lt;br&gt;Reporting must include information on the sector of the non-academic partner (and the size of corporate partners)</td>
<td>• Number of collaborative projects supported by IAA (and number not supported)</td>
<td>• Increase in range of research investors in the RO</td>
<td>• Jobs and/or increased turnover, profit and exports from/of new products and/or processes</td>
</tr>
<tr>
<td></td>
<td>• Agility and rapidity of funding for time-bound activity</td>
<td>• Increase in research investment and engagement with non-academic organisations</td>
<td>• Increased R&amp;D expenditure of non-academic partner</td>
</tr>
<tr>
<td></td>
<td>• Number of new partners participating in collaborative projects/proposals</td>
<td>• Increase in the number of projects that continue beyond initial engagement</td>
<td>• New business models in non-academic organisations</td>
</tr>
<tr>
<td></td>
<td>• Number of new collaborative projects/proposals following engagement through IAA funding</td>
<td>• Increase in volume and value of collaborative activities (e.g. Innovate UK, KTP etc)</td>
<td>• Cost savings in non-academic organisations</td>
</tr>
<tr>
<td></td>
<td>• Cash and in-kind contributions from partners</td>
<td></td>
<td>• Policy and/or practice change</td>
</tr>
<tr>
<td></td>
<td>• Number of industry visits</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Number of strategic events participated in (both ways)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Joint publications (academic and other) with non-academics</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Driving Culture Change</strong>&lt;br&gt;Reporting must cover all research career stages and career types (including professional services) as well as all areas of knowledge exchange (from Public Engagement to engaging with the Private Sector).</td>
<td>• Number of enquiries received from staff</td>
<td>• Increase in number of researchers participating in KE/ Impact/ commercialisation activity</td>
<td>• Increased number of secondees</td>
</tr>
<tr>
<td></td>
<td>• Value of joint investment in IAA activities from within the RO (financial and broader resources)</td>
<td>• Increased income from impact activities</td>
<td>• Increased co-produced research</td>
</tr>
<tr>
<td></td>
<td>• Number of academics trained</td>
<td>• Increased number of engagements</td>
<td>• Increase in range of research investors in the RO</td>
</tr>
<tr>
<td></td>
<td>• Number of staff engaging (success rates for opportunities)</td>
<td>• Increase in resource requested from RCUK for Pathways to Impact</td>
<td>• Increased commercialisation and business/stakeholder engagement</td>
</tr>
<tr>
<td></td>
<td>• Case studies developed</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Number of events and attendance</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Number of people completing surveys/interviews</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Engagement with other institutions (with and without IAs)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Complementarity between multiple IAs and other funding, including between structures and processes</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

¹ IAA's are not expected to deliver against every point in the matrix (as not all may apply to their IAA). RCS will capture the gross outputs for IAA's as an innovation support mechanism. The reporting matrix covering the numbers of meetings, events and projects must be supplemented by a narrative explaining the nature and quality of these developing relationships.

² With a visit being less formal than the others, but an engagement that is part of relationship, project or capacity building