

# GUIDANCE FOR ASPIRING AND CURRENT PRINCIPAL INVESTIGATORS

ARTS, HUMANITIES AND SOCIAL  
SCIENCES AND NON-SCHOOL  
INSTITUTIONS

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## INTRODUCTION

Please note that the guidance below may slightly vary depending on your funder.

The guidance provided here is generic and provides an overview of basic steps and resources available to you while you plan and manage your new project.

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

- Building capacity within your research area
- Providing skilled PhD students with the opportunity to progress into postdoctoral positions
- Additional expertise and capacity to run a large and complex research project
- Supporting career progression, publications, management experience and impact opportunities
- Reputation
- Funding Department and University infrastructure (libraries, labs, salaries, etc.)
- Sustaining the Department and University long term, e.g. contributes to the Research Excellence Framework (REF).

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

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

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

**Please read therefore through the whole document before planning and submitting a research grant application to ensure that you have thought through the whole grant lifecycle.**

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

Please always also refer to funder specific guidance and terms and conditions of your award. Your Research Support Advisor or Research Grant Administrator may arrange a “project Start Up meeting” with you for large and complex grants, and will review the specifics of your award with you, covering issues such as funding schedule, reporting requirements, terms and conditions, etc.

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

## INTRODUCTION

Departmental Administrator or Research Grant Administrator.

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

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

## APPLYING FOR FUNDING

### Research Professional

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

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

The advanced search option allows searches via keywords, funding type, funder, etc. and it is easiest to **set up a weekly newsletter of bespoke funding opportunities in your subject area and to your needs**. Research Professional also provides a daily newsletter on political developments regarding Higher Education and their influence on researchers, national and internationally.

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

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

Please find a **basic introduction** to different types of research funding such as grants, fellowships and network funding [here](#).

A **Funding Booklet for Postdocs and Early Career Researchers** can be downloaded [here](#).

An table showing an Overview of **eligibility for standard research funding schemes** for the arts, humanities and social sciences is [available here](#)

For a list of available funding schemes for **international visits, international visitors and for network building** please see [here](#).

## APPLYING FOR FUNDING

### Eligibility

After deciding which funding type is most appropriate for your research ideas it is crucial to check funder eligibility before moving forward. Please ensure that your department is supportive of your application as the University is only able to submit research funding applications on this basis. The University may also have additional requirements for submitting an application such as match-funding requirements by the funder, institutional support letters or internal selection if only a limited number of applications can be submitted.

Commonly funder eligibility criteria refer to

- time since PhD (please note that some funders exclude career breaks such as maternity leave);
- whether or not presently in University affiliation;
- whether in permanent or temporary contract.

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

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

### School Research Facilitators

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

- discuss how to translate a research idea into a project
- learn about suitable research grant or research fellowship funding options for your research plans
- seek support with the writing of applications and would like feedback
- seek advice on funding bodies and their funding schemes
- build and fund a research network for interdisciplinary research, international projects etc.
- submit to the University internal peer review to receive first-hand comments from reviewers.

#### Dr Anna Cieslik

UK Funding

e: [anna.cieslik@admin.cam.ac.uk](mailto:anna.cieslik@admin.cam.ac.uk)

t: +44 (0)1223 761365

#### Dr Andrea Salter

EC and Overseas Funding

e: [acs87@cam.ac.uk](mailto:acs87@cam.ac.uk)

t: +44 (0)1223 764079

## APPLYING FOR FUNDING

### Due Diligence

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

Checks focus on the nature of the project, the funder, institution and the country where research is to be carried out. They consider a number of points such as links to the tobacco/weapon/gambling industries, violations regarding the environment, pollution, health, safety, links to potentially risky organisations, reputational issues, potential conflicts of interest, criminal behaviour, bribery.

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

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

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

### Costing Your Research Grant

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

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

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

## APPLYING FOR FUNDING

### Foreign Exchange Rates

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

Each award, for grants within scope - has a Sterling budget for the lifetime of that award - allocated when the contract is signed. This gives Sterling budget certainty to PIs for each relevant award. General overview and policy around forex:

<http://www.finance.admin.cam.ac.uk/policy-and-procedures/foreign-exchange-fx-management-research-policy>

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

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

Cambridge sets its own monthly exchange rates for Euros and Dollars. These can be found at the following location

<http://www.finance.admin.cam.ac.uk/key-dates-and-rates/foreign-exchange-research-policy-rates>.

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

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

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

## APPLYING FOR FUNDING

### Dedicated Administrative Support for Your Research Project

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

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

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

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

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

### Ethics

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

1. Involving human participants as the subject of research
2. Using personal data that is not in the public domain
3. Involving animals as the subject of research
4. Using human tissue

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

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

## APPLYING FOR FUNDING

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

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

### Application to HSS Research Ethics Committee

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

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

### Useful Information

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

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

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

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

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

The HSS REC Administrator can be contacted on [cshssethics@admin.cam.ac.uk](mailto:cshssethics@admin.cam.ac.uk), or 01223 766238.

## APPLYING FOR FUNDING

### Studentships

Not all funders provide funding for PhD studentships. In case the scheme guidance allows for the inclusion of PhD studentships, planning and budgeting for a student in your grant must happen at the application stage. Please liaise with your Research Grant Administrator to establish how PhD studentships can be effectively costed.

Note that if you are applying for a PhD student to work on your project, the length of the project must be long enough to financially support the student e.g. a PhD is typically three years, so you will need to plan for a minimum of a three year project. Please note supervisor's obligations for the supervision of PhD students and departmental processes and support.

### Travel Advice and Subsistence Rates

For national and international travel, please consider local costs for subsistence in light of the University guidance and make use of early booking to save costs where possible.

<http://www.finance.admin.cam.ac.uk/finance-staff/accounts-payable/expense-claims/subsistence-rates>

### Travel – Costs

Please view second class standard train or airfares and consider where possible early booking to minimise costs.

Standard costs for unspecified return travel in the UK could be in the region of £100; for Europe £250; internationally £1000; or indeed it could be higher or lower if reasonably justified.

### Remuneration of Temporary Workers Abroad

If you are planning to have members of your team to working abroad during the project, you will need to plan for remuneration of their work at the application stage in advance of the funding being received.

**Please note** the following information on eligible costs for international co-investigators and special conditions on eligible costs and salaries in Lower and Middle Income Countries (LMIC).

1. To pay an individual not resident in the UK on a freelance basis for work done overseas, the PI/department would need to complete a form called FD3 and a model contract letter which the worker signs and returns all documents to the University's tax office requesting them to declare the person self-employed for the job in question.
2. The worker then invoices for work carried out and Cambridge normally pay them by bank transfer. The work is treated as a service "bought in", so the commissioning department needs to charge 20% VAT.

## APPLYING FOR FUNDING

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

### Receiving Philanthropic Funding/Donations

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

### Media and Filming Costs

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

A few points to consider:

- a. modern cameras, video or still, can create very large files – these need to be stored in appropriate locations;
- b. editing can be extremely labour intensive - especially to create professional looking material;
- c. if you do have filming and/or editing requirements, please contact your local Computer officer to discuss your requirements and possible solutions.

You can download more information [here](#).<sup>1</sup>

### Websites and support

If you need a website for your project or your team there are a number of things to bear in mind, such as

- a. Hosting,
- b. Design,
- c. Maintenance.

If you need help with planning and developing a website contact:

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<sup>1</sup> <https://www.ahssresearch.group.cam.ac.uk/resources/ITsupportforwebsitemediaandfilm.pdf>

## APPLYING FOR FUNDING

- Your local Computer Officer/IT Team
- Your School IT Business Manager

School of Arts and Humanities: James Hargrave, [jeh202@cam.ac.uk](mailto:jeh202@cam.ac.uk)

School of the Humanities & Social Sciences: Jay Pema, [jp335@cam.ac.uk](mailto:jp335@cam.ac.uk)

One example of a cost you will need to run through Procurement will be the development of a website. If you are planning on having or using a website for your project, any costs will need to be planned and budgeted for at application stage. Potential set up costs can be viewed [here](#).<sup>2</sup>

### Procurement

For purchase of equipment and services (e.g. transcription, editing, etc.) please contact your Departmental Administrator as some items and services require provision of at least three competitive quotes. For forms for this purpose see the Procurement Services at the Finance Division <http://www.admin.cam.ac.uk/cam-only/offices/purchasing/forms/#quotes>.

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<sup>2</sup> <https://www.ahssresearch.group.cam.ac.uk/resources/ITsupportforwebsitemediaandfilm.pdf>

## APPLYING FOR FUNDING

### 1. Searching For Funding Opportunities

Investigate sources of research funding and funder background. Consult Research Professional ([www.researchprofessional.com](http://www.researchprofessional.com)) for opportunities

Speak to your Research Grant Administrator (RGA)/Departmental Administrator (DA) and School Research Facilitator –may have useful sponsor/scheme information.

<https://www.ahssresearch.group.cam.ac.uk/Research-support-contacts>

**Make sure you are familiar with Cambridge internal deadlines (Department, Research Office, support letters) as well as funder deadlines.**

**For Tenders:** Please immediately contact the contracts team at the Research Office to protect yourself from potential liability and unfavourable conditions that can harm your research and may jeopardise the University. <https://www.research-operations.admin.cam.ac.uk/about-us/contact-us>

### 2. Grant Planning

RGA/DA for costing of grant and departmental approval processes (e.g. consider impact on teaching load and administrative duties, HR related questions)

Inform RGA as early as possible about sponsor and collaborators on the grant; requires time to undertake due diligence checks and set up on the University's X5 costing and pricing tool X5.

If the grant will incur costs that are not eligible costs to the sponsor – how can these be funded? Impact on teaching and administrative duties? How can cost be met? Please discuss with your department.

### 3. Grant Writing

Allow for plenty of time to develop your research idea with your collaborators and where appropriate with non-academic partners. Seek feedback on draft proposals from colleagues, Research Facilitators and consider peer review, such as [Cambridge internal ESRC and AHRC peer review](#)<sup>3</sup> and rework your proposal – arriving at a well-developed, polished proposal can take months. Impact Facilitators (see below) may be able to help you to develop appropriate [Pathways to Impact](#).

### 4. Application Submission

(If requested by the funder) submit a request for an institutional support letter to [researchstrategy@admin.cam.ac.uk](mailto:researchstrategy@admin.cam.ac.uk) at least 4 weeks before the deadline.

Submit application for Research Office checks a minimum of 5 working days before deadline – please note that this deadline will be enforced from 1 October 2018. Please find more information and exceptions on the Research Office website.

<sup>3</sup> [https://www.ahssresearch.group.cam.ac.uk/resources/peer\\_review](https://www.ahssresearch.group.cam.ac.uk/resources/peer_review)

### RESEARCHER DASHBOARD

The Researcher Dashboard offers you a quick overview on the current state of finances and contracts on your research grant and applications as well as a list of the relevant contacts for managing your grant.

<https://researchdashboard.admin.cam.ac.uk/>.

### RESEARCH CONTRACTS

#### Contract Issues

The Contracts team in the Research Operations Office is responsible for drafting and negotiating research collaboration agreements on grants where Cambridge is the lead or collaborating institution.

- The Research Operations Office is the only authorised signatory for research agreements at the University.
- Do not sign contracts yourself - as the University is there to protect you and your research from liability.
- The Contracts Team acts on behalf of researchers and the University to negotiate terms which facilitate the partnership between University academics and research collaborators, whilst assessing and managing inherent risks.

Standard collaboration agreements cover:

- a. publication and confidentiality procedures;
- b. intellectual property rights  
(<http://www.legal.admin.cam.ac.uk/how-we-can-help/copyright-compliance>);
- c. withdrawal/termination of the contract;
- d. limitations of liability;
- e. project governance and decision-making;
- f. chargeable costs and payment schedule; etc. which are important cornerstones of your collaboration.

### RESEARCH CONTRACTS

It is recommended that you contact the Contracts Team **at the earliest opportunity when applying for a tender** as submitting an application for tender confirms acceptance of the terms and conditions.

The Contracts Team can try to negotiate exceptions of such terms where no beneficial or in contradiction to charitable status, etc.

Please also contact your Department Administrator who will involve the Research Office when funding is awarded to ensure that the necessary agreements are in place before the project starts.

Please note that a collaboration agreement may still be required even if Cambridge is not transferring funding to collaborators, e.g. to ensure that project contributions are deliverable.

Contact details for the Contracts Team are on the Research Operations Office website: <https://www.research-operations.admin.cam.ac.uk/about-us/contact-us> ~ School of Arts Humanities Social Sciences

### Commercialisation/ Consultancy Work

If your work will lend itself to be commercialised or leads into consultancy work, Cambridge Enterprise can give you personalised legal and commercial advice.

Working with Cambridge Enterprise can protect you legally in your interactions with external parties. For contacts please see <https://www.enterprise.cam.ac.uk/about-us/our-team/consultancy/>

## HUMAN RESOURCES

### Hiring Project Staff

Project staff employed by the University are subject to the policies and procedures of Human Resources, including, but not limited to, probation, appraisals, redundancy, end of contract processes, and overseas working. Your Departmental Administrator is your central contact point who will liaise with the central HR team as required.

All Human Resources policies and procedures can be found on <https://www.hr.admin.cam.ac.uk/policies-procedures>.

### Staff Management

As PI you are likely to be responsible for project staff who will be line managed by you.

Full guidance on probation can be found on <https://www.hr.admin.cam.ac.uk/policies-procedures/probationary-arrangements/probationary-arrangements-contract-research-staff>.

Full guidance on appraisals can be found on <https://www.hr.admin.cam.ac.uk/policies-procedures/staff-review-and-development>.

Please find below line learning resources for managers provided by Personal and Professional Development (<http://www.ppd.admin.cam.ac.uk/online-learning>):

- Effective Staff Review and Development  
<https://www.training.cam.ac.uk/cppd/course/cppd-effectsrd>
- Giving Effective Feedback  
<https://www.training.cam.ac.uk/cppd/course/cppd-feedback>
- Managing Challenging Conversations  
<https://www.training.cam.ac.uk/cppd/course/cppd-feedback>
- Roles and Responsibilities  
<https://www.ppd.admin.cam.ac.uk/online-learning/leadership-essentials-management-responsibilities>
- Communicating Assertively  
<https://www.training.cam.ac.uk/cppd/course/cppd-selfassert>
- Prevent Training  
<https://www.vle.cam.ac.uk/course/view.php?id=117231>

## HUMAN RESOURCES

### End of Contract and other Changes to Project Staff

Should you experience any changes to project staff, e.g. due to maternity/paternity leave, long-term sickness please communicate this to your Departmental Administrator the funder as adjustments to the project could be negotiated.

Employing staff on unestablished fixed term contracts (e.g. research appointments) for 2 years or more would qualify staff for a redundancy payment on the expiry of the fixed term contract. Redundancy pay may be an eligible cost to certain funders and therefore costed into the project budget – please contact your Research Grant Administrator. Full HR guidance can be found on <https://www.hr.admin.cam.ac.uk/policies-procedures/redundancy-pay-notes-guidance-cambridge-only>.

Full guidance on the process of ending a fixed term contract can be found on <https://www.hr.admin.cam.ac.uk/policies-procedures/redundancy-pay-notes-guidance-cambridge-only/ending-fixed-term-contracts>.

Full guidance on overseas working can be found on <https://www.hr.admin.cam.ac.uk/policies-procedures/overseas-working>.

All HR contacts can be found on <https://www.hr.admin.cam.ac.uk/contact-us>.

The Personal and Professional Development team (PPD) delivers practical and relevant development opportunities to the staff and research students of the University of Cambridge. Courses include Recruitment Essentials and Leadership Essentials. All courses can be found on <https://www.ppd.admin.cam.ac.uk/>.

### Visiting Professors

Visiting professors will need to complete a Visiting Professor Form to have access to university site and services. These are processed by Human Resources. Your Departmental Administrator will be able to help you connect with HR should this be needed. Please contact them way in advance of any fixed arrangements being made.

## FINANCIAL

### Financial Control

It is crucial that you read the terms and conditions of your research award before you start your research project. Any reporting requirements and responsibilities will be outlined in this documentation.

In some cases the funder will not pay the awarded funding if reporting requirements (e.g. annually) are not met. Please do not financial reports yourself to the funder. Financial reporting will be supported by the Department and Research Office.

Where the University of Cambridge is the lead partner on an award, other partners will usually charge their expenses quarterly in arrears to Cambridge based on actual costs. This will be laid out in the contract between the organisations.

The University's Financial Regulations lay out the responsibilities and liabilities with regard to handling internal and external funds. For PIs, the Financial Procedures in Chapter 19 lay out the responsibilities between Research Office and Department.

Please read especially section 5 on managing your research grant.  
<https://www.finance.admin.cam.ac.uk/policy-and-procedures/financial-procedures/chapter-19-research-grants>

It is recommended to do cash flow planning for your project in order to map out and keep an overview of planned expenditure.

Your Department can provide you with monthly expenditure statements.

Please check these regularly, at least quarterly, to check whether your expenditure is in line with your plans or whether your cash flow needs to be adjusted.

Only expenses should be posted against the grant that is allowable following the terms and conditions of the funder. Please find more detailed information in Appendix 2 about audits and top tips how to record auditable information for your project.

It is good practice to aim for a full reconciliation of your research grant expenses at least 12 months before the end of the grant end date. Your department can support you in this process.

This will help you to identify whether the grant is likely to be over budget in particular cost categories or whether you are likely to underspend. In consequence you can adjust the project activities and possibly ask your funder for a (non-cost) extension of your grant in order to make use of additional underspend funding.

## FINANCIAL

### Extending your Research Grant

You can only extend your research grant beyond the end date stated in the award letter with permission by the funder. In most cases the funder may agree to do so if there are no cost implications.

Please contact your department to check the available finances and re-budget the project accordingly in order to ensure that sufficient funds are available. You can either contact the funder directly or ask your contact at the Research Office to do so on your behalf. In any case please involve your department and the Research Office in the conversation.

## PROJECT MANAGEMENT

### Project Management Software Tools

Project management tools can be helpful to keep an overview of required activities in multiple strands of a project and plan where a number of people are involved in delivering a set of outputs.

There is a plethora of software solutions for project management on the market (some free of charge). A selection of tools include the following:

#### **Asana**

<https://asana.com>

Asana is one of the easiest ways for teams to track their work and progress. From tasks and projects to conversations and notifications – easy to use and get going.

Perfect for day-to-day actions and progress

#### **Trello**

<https://trello.com>

In Trello, Projects are presented by boards, which contain lists (corresponding to task lists) and contain cards (corresponding to tasks).

Perfect for creative thinking and day-to-day actions and progress.

#### **Nirvana**

[www.nirvanahq.com](http://www.nirvanahq.com)

Nirvana is similar to Asana, based on the GTD (Getting things done) principles. Based on 'next' actions and helps individuals to plan and prioritise their tasks.

Perfect for individuals planning and prioritising.

### Project Timetable

In order to plan and visualise how different project activities relate to each other as well as show how the project unfolds over time it is advisable to provide a clear timetable for the project already at application stage.

This can be achieved, for example, in the form of a Gantt chart which allows the ability to convey the feasibility of a project within a given time frame to the funders and assessors and can help you to 'hit the ground running' when the project is awarded and activated. Try for example <https://ganttpro.com>.

In your planning it is advisable to allow for time slippage due to recruitment issues (allow for at least one month of advertising; and up to 3 months until the new staff might be available).

## Travel - Insurance

The University provides travel insurance for employees and registered post-graduate students of the University of Cambridge whilst travelling abroad on University of Cambridge business.

Cover is also provided for graduate students registered with the University of Cambridge and for undergraduates of the University of Cambridge and official volunteer workers travelling on supervised departmental fieldtrips outside the UK.

Currently no charge is made for this cover, the costs being met by the University's insurance budget.

However and most importantly, employees, registered post-graduate students and departments (in the case of fieldtrips) are required to apply for cover using the appropriate application process before travelling.

**Note:** when planning for field work, an assessment may need to take place; especially regarding students completing field research.

Depending on the country and location of the field work an assessment may be required for health and safety for insurance considerations as well as duty of care.

The various application processes are listed below:

<http://www.admin.cam.ac.uk/offices/insurance/travel/>

## Travel Advice and Visa Information to Conduct Research in another Country

<https://www.gov.uk/foreign-travel-advice>

If you or your project staff are intending to spending more than six months in a year in another country, a number of complex issues which need to be considered and requirements met. These include ensuring that:

- The individual has the right to work in the country concerned.
- Whether the individual will need to pay UK tax and national insurance or be subject to the rules in the host country has been resolved.
- The impact of the individual working overseas on UK law relevant to their employment has been determined.
- A risk assessment has been carried out to ensure that the proposed place of work is appropriate, fit for purpose and does not pose unacceptable risks to the individual's health and safety.
- The individual has any equipment required to complete the work to be carried out.
- The individual has appropriate health treatment provision and is covered by liability insurance.

## GUIDANCE FOR PRINCIPAL INVESTIGATORS

For these reasons please study the guidance on the following website and attachments carefully and involve your Departmental Administrator for HR advice as early as possible.

<https://www.hr.admin.cam.ac.uk/policies-procedures/overseas-working>

### Visas

Visas may be required for those working on your project here or on location. Contact your Departmental Administrator to assist in the best process for you and your project. Most funders would allow the cost for travel visas to be included in the project budget.

Additional guidance from HR can be found on visa issues, <http://www.hr.admin.cam.ac.uk/hr-services/immigration>

Below is a general overview of guidance – please note that the information is subject to the policy of the Home Office and subject to change so please refer to your department and HR for most up to date advice.

## COMMUNICATIONS AND IT

### Communications

For any communication queries regarding your project, contact your departmental communications contact. Your department RGA can connect you with this individual.

If you would like guidance how to respond at media interview requests or how best to place stories in the media please consult the following guidance <http://www.communications.cam.ac.uk/staff/working-media>.

If you are approached to give an interview or commentary on a public media platform, radio or television please contact the University's Communications Office. The Communications Office would also be able to advise you on how to promote particular news stories via the University website.

### Using the University of Cambridge Brand and Logos

If you are using the University logo please follow the following guidelines <https://www.cam.ac.uk/brand-resources/guidelines>.

There are also a number of templates that could be useful for your work. Please note that funders to your research may also have particular requirements regarding branding and may request you to credit their organisation on your website or publications.

## PUBLICATIONS AND RESEARCH DATA

In order to be able to submit research publications for REF-purposes please follow the instructions on open access: <https://www.openaccess.cam.ac.uk/>

### Open Data

<https://www.data.cam.ac.uk/faq>

Different funding organizations have different definitions of research data to reflect disciplinary differences and many expect research data to be shared at the end of a project's funding.

As every research area is different, there are various types of data generated and consulted, which exist in multiple formats. Therefore, the definition of "research data" also differs.

A cross-disciplinary definition of research data as used by the Office of Scholarly Communication is: *"information that is collected or created to develop claims made in academic literature"*.

This includes quantitative information and qualitative statements collected by researchers in the course of their work by experimentation, observation, interview and other methods, or information derived from existing sources. Data can be:

- Raw or primary data (direct from collection)
- Secondary data processed from primary data for subsequent analysis or interpretation (e.g. cleaned up data or an extract from a larger data set)
- Data derived from existing sources where the copyright is externally held

Further information on the policies around Open Access and Open Data can be found at the Office of Scholarly Communications website <https://osc.cam.ac.uk/>.

### Data Management Plans – Technical Plans

There is dedicated support at the Office of Scholarly Communications for preparing Data Management Plans or equivalent with examples of plans from successful bids and a service to have a draft DMP checked by an expert. (See also Open Data) If further questions emerge in the <http://www.data.cam.ac.uk/DMPsupport>

### Data Storage

The University offers a number of recommended data storage and data exchange solutions for research projects.

Recommended solutions depend on the level of confidentiality of the data and have to comply with the relevant data security requirements.

Please find more information here including indicative costs for these solutions.

[https://www.ahssresearch.group.cam.ac.uk/resources/data\\_storage](https://www.ahssresearch.group.cam.ac.uk/resources/data_storage)

## REPORTING

### The Case for Future Budgeting

It is crucial that you read the terms and conditions of your research award before you start your research project. Any reporting requirements and responsibilities will be outlined in this documentation.

### Financial Reporting

In some cases the funder will not pay the awarded funding if reporting requirements (e.g. annually) are not met. Please do not financial reports yourself to the funder. Financial reporting will be supported by the Department and Research Office.

### Audits

All major funders expect recipient institutions of research funding to provide assurance that funds are spent efficiently and in a cost-effective manner. Any external audit requirements will be included in the terms and conditions of each award. External audits will be arranged by the Research Operations Office and auditors may need to visit departments to check invoices and payroll information.

The Research Operations Office will contact departments to arrange these visits. Our most common grant audits are for EC-funded grants, Technology Strategy Board, Research Councils, National Institute for Health (US) and some major UK charities e.g. Wellcome Trust, Cancer Research UK. Some research projects are subject to financial audits as a funder requirement. Scientific (technical) and management risk audits may also take place. Please find more detailed information in Appendix 2 about when to expect an audit and best practice guidance when encountering an audit.

The Research Office Audit and Compliance team is available to assist you in this process. Please contact them if you are approached by a funder or by a funder's appointed auditor with regard to arranging an audit and speak to your Departmental Administrator.

<https://www.research-operations.admin.cam.ac.uk/managing-research-projects/audit-overview>

The audit process usually includes the following steps

- Sampling selection
- Preparation and pre-visit arrangements
- On-site visits
- Post visit queries
- Post audit report

## REPORTING RESEARCH OUTPUTS

### Symplectic

Symplectic/Elements is the University's research information management system, and provides a closed environment within which Cambridge researchers can create a profile and share information within the University of Cambridge community. Symplectic/Elements is used for REF submission as well as facilitate uploads into ResearchFish.

### ResearchFish

ResearchFish is a harmonised research outcomes gathering system used by an increasing number of UK funders including all seven Research Councils.

- Reporting through ResearchFish is required annually and typically required up to five years after the end of the grant.
- A submission is required every year, even if no new outputs have been generated; a nil return.
- The responsibility to report stays with the PI.
- There are sanctions for non-compliance of research fish submissions, including with-holding of active funding, and restrictions of future applications to the funder.
- Reports are taken into account when applying for new Research Council funding.
- As funders have agreed on a harmonised question set (common outcomes), researchers are able to re-use the information entered across multiple funders.
- Please avoid submitting confidential information through ResearchFish as the returned data will be made publically available.

Major funders; RCUK (AHRC, BBSRC, ESRC, MRC, NERC, EPSRC, STFC), BHF, CRUK, NIHR and NC3Rs all have a submission period **from early February to mid-March every year**. Submissions of research outcomes can only be made during this period.

Regular updates on your University of Cambridge Symplectic account can ease this process as ResearchFish allows for bulk uploads from Symplectic during specified periods prior to the submission period.

Other funders who use ResearchFish have their own/different submission periods throughout the year.

You will receive email notification from your funder when a submission period is open or when one is due.

Guidance from the Research Operations Office on use of ResearchFish can be found online at: <http://www.research-operations.admin.cam.ac.uk/managing-research-projects/research-projects-start-end/final-reporting/research-outcomes-and>

Further information on ResearchFish developments can be found on the ResearchFish website at: <https://www.researchfish.com>.

Submitted research outcomes of RCUK funded awards are made available through the RCUK Gateway to publicly funded research at: <http://gtr.rcuk.ac.uk/>.

This platform enables institutions and organizations to screen research results and connect with researchers to launch collaborative projects.

For any enquiries, contact the Research Operations Office support team at [rfcam@admin.cam.ac.uk](mailto:rfcam@admin.cam.ac.uk).

### Open Access

Open Access is making publicly funded research publicly available so researchers and interested people who are not in well-resourced institutions can also see our research outputs.

**There is more information online** at: <http://osc.cam.ac.uk/open-access>

The cost of open access publications under Research Council Grants and the Wellcome Trust, for example, are covered through block grants that are held by the University Library.

HEFCE policy requires peer-reviewed articles and conference proceedings with an ISSN to be available through an institutional repository when they are accepted for publication, to be eligible for the next REF.

**Manuscripts** need to be deposited to [www.openaccess.cam.ac.uk](http://www.openaccess.cam.ac.uk) **no later than three months after acceptance**. Researchers will need to submit their own manuscripts into [Symplectic Elements](#) and the Open Access team will check your funder and journal policies and REF compliance. If payment for open access publication is needed, the team will advise and will advise accordingly.

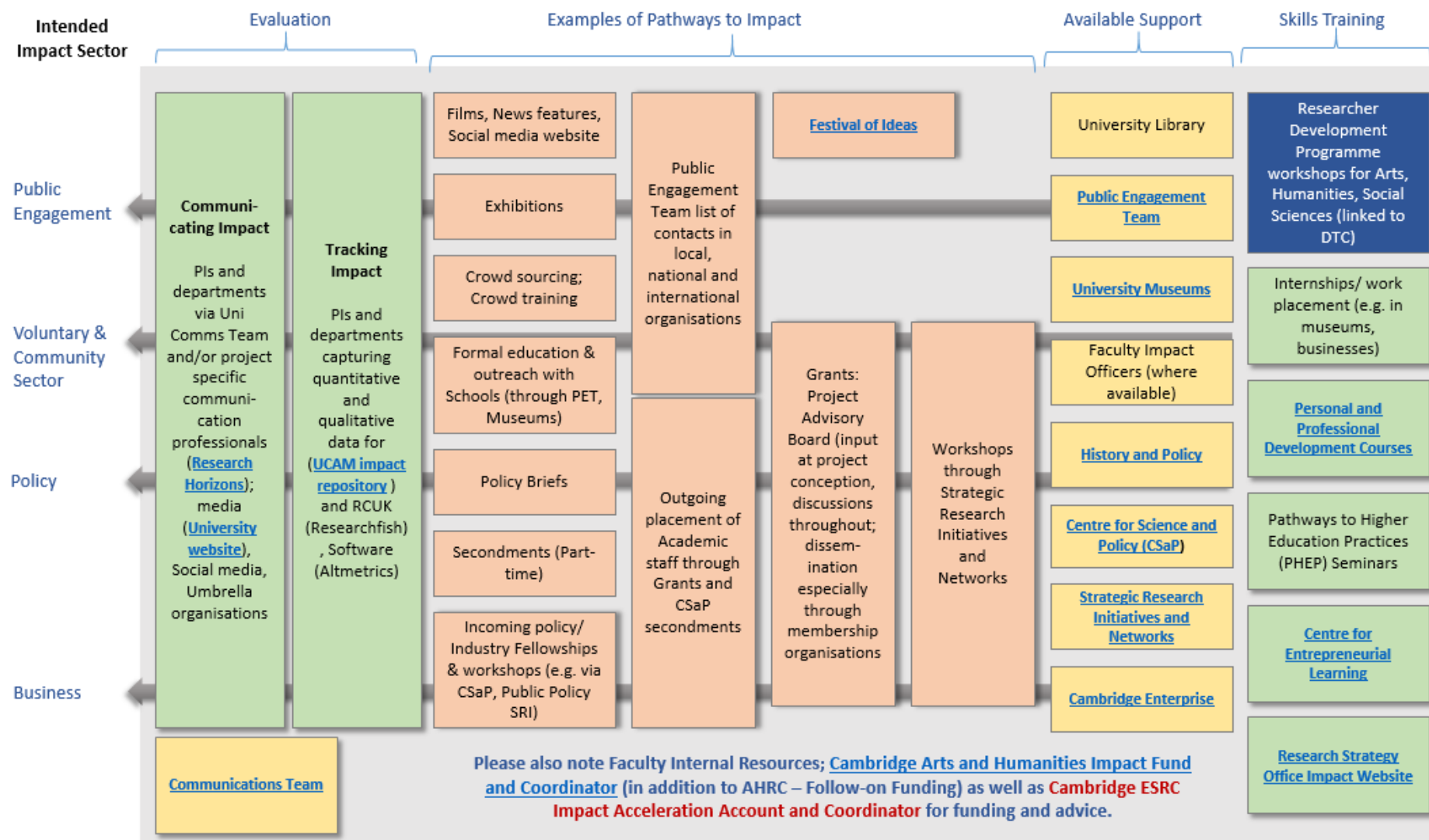
**Please note:** Open Access Policy applies only to outputs accepted from **1 April 2016**. Outputs accepted prior to that date are not expected to meet open access requirements, but will still be eligible for submission to the REF provided they fulfil any other REF eligibility criteria.

Frequently Asked Questions about open access from Cambridge researchers can be found online at: <http://osc.cam.ac.uk/open-access/faq-about-open-access>.

HEFCE also provides an FAQ page at: <http://www.hefce.ac.uk/research/oa/FAQ/#general>.

For more information, please email [info@openaccess.cam.ac.uk](mailto:info@openaccess.cam.ac.uk).

# APPENDIX 1: PATHWAYS TO IMPACT SUPPORT IN ARTS, HUMANITIES AND SOCIAL SCIENCES AT CAMBRIDGE



## PATHWAYS TO IMPACT – WEBLINKS

### Research Horizons

<http://www.cam.ac.uk/research/research-at-cambridge/research-horizons>

### University website

<http://www.cam.ac.uk/>

### UCAM Impact Repository

<https://www.research-strategy.admin.cam.ac.uk/impact/recording-impact/impact-repository>

### Communications Team

<https://www.communications.cam.ac.uk/>

### Festival of Ideas

<https://www.festivalofideas.cam.ac.uk/>

### Public Engagement Team

<https://www.cam.ac.uk/public-engagement>

### University Museums

<https://www.museums.cam.ac.uk/about-us/contact-us>

### History and Policy

<http://www.historyandpolicy.org/>

### Centre for Science and Policy (CSaP)

<http://www.csap.cam.ac.uk/>

### Strategic Research Initiatives and Networks

<http://www.cam.ac.uk/research/research-at-cambridge/strategic-research-initiatives-networks>

### Cambridge Enterprise

<https://www.enterprise.cam.ac.uk/>

### Personal and Professional Development Courses

<https://www.training.cam.ac.uk/cppd/>

### Centre for Entrepreneurial Learning

<https://insight.jbs.cam.ac.uk/category/insight/entrepreneurship-insight/>

### Research Strategy Office Impact Website

<https://www.research-strategy.admin.cam.ac.uk/impact/routes-impact>

### Cambridge Arts and Humanities Impact Fund and Coordinator

<https://www.ahssresearch.group.cam.ac.uk/AH-Impact-Fund>

## APPENDIX 2: AUDITS – CONTRACTUAL AND FUNDER VISITS

Different research funders operate different kinds of audit types which can be defined as ‘contractual audits’ and ‘funder visits’.

Contractual	Funder Visit
Required by grants Terms & Conditions	Initiated by funder
Normally threshold based	Funder select the auditors
Cambridge appoint the independent auditing firm	Can be project specific or across portfolio of grants

## Contractual Audits

As part of the reporting process on some research projects, there may be a requirement to include an independent report prepared by an external auditor of factual findings according to the term and conditions of grant. For such audits, the Research Office appoint the auditors and arrange the audit.

Funders who require this and the audit triggers and associated costs are listed below:

Audits as requested by Funder and Appointed by the Research Office		Recoverability of the Audit Fee
EC FP7	Mandatory for every claim (interim or final) in the form of reimbursement of costs whenever the amount of the EU contribution is equal or superior to <b>EUR 375,000</b> when cumulated with all previous interim payments.	Yes, with the exception of VAT
H2020	Required by a beneficiary only at the end of a project, where total EC contribution (excluding indirect costs) is equal to, or higher than €325k.  However, the University has an audit policy recommending interim audit on any grant exceeding €325k on direct cost.  In such cases, the cost of audit is split between interim and final audit.	Yes
Innovate UK	<ul style="list-style-type: none"> <li>Grants over £2m: required for all claims to the funder</li> <li>Grants £500k- below £2m: required with first and last claim to the funder and at each anniversary of the project</li> <li>Grants £100k- below £500k: first and last claims only</li> <li>Below £100k: last claim only</li> </ul>	Not recoverable

Department for Education	For all grants at the end of each financial year.	Yes
US federal funds (A133- Single audit )	Required when an entity is in receipt of federal funds of \$750,000 or more per fiscal year.	Yes

## Funder Visits

There are some funders (or their appointed auditors) who conduct audits which cover departmental processes and the financial transactions of specific research projects in order to guarantee that expenditure has been incurred according to their terms and conditions of the particular award.

These visits can span several days and all funders have the right to audit the research they fund. If any Principal Investigator or Departmental Administrator is approached directly by a funder or by the funder's appointed auditor, they should contact the Audit and Compliance Team at [CROCompliance@admin.cam.ac.uk](mailto:CROCompliance@admin.cam.ac.uk) at Research Operations immediately.

Below is a list of funders who have previously conducted project audits on University of Cambridge awards and their audit strategy. Note that all funders have the right to audit the research they fund.

## Funder Audits

EC	Annually – the number of sampled grants varied between 1 to 13 between 2014 and 2016
CRUK	At least once every three years for an Institution that receives more than £1m per year.
RCUK	Funder Assurance Programme (FAP) Audit every 3 years for top 50 recipients.
Wellcome Trust	Currently undertakes a grant audit every three years in partnership with the RCUK FAP Audit. They retain the right to conduct additional grant-level audit (e.g. for Centres) and to audit the University outside the RCUK partnership. However they have recently appointed a new Head of Internal Audit and are reviewing their audit strategy.
Royal Society	Annually- since 2016, the Royal Society runs an annual audit programme on randomly selected grants.
NIH	As of the date of writing this manual, UCAM has not had an audit conducted by NIH; however some other UK universities have been audited by NIH and it is possible that our grants are selected for audit at any point of time.

# GUIDANCE FOR PRINCIPAL INVESTIGATORS

## Financial Audits

Common documents that will be reviewed	Tips to Principal Investigators
Copies of invoices and expense claims	Keep them and pass them in a timely manner to your DA
Billing report and reconciliation with submitted claims	Ensure all expenditure is posted to the grant in a timely manner and include a clear description showing the precise purpose of the expense with regard to the project
Back up for personnel costs, including signed and authorised timesheet, contract of employment and any subsequent contract extension or contract change letters	Timesheet should reflect the actual hours worked and filled in regularly.
Evidence of compliance with <a href="#">Travel Policy</a>	Business flight? Only if flight is longer than 8 hrs, working within 3 hours of landing, prior Head of Department approval is required. Taxis? Need to be justified. US federally funded? Follow <a href="#">Fly America Act</a> for air travel claim.
Evidence of following <a href="#">Procurement Policy</a>	What is the value of purchase? Should it go to tender? Is there a need for 3 quotes?
Evidence of using asset on grant	Estimation is not accepted by most funders. Keep a log of usage of the equipment showing percentage of the use for the grant
Backing calculation for unit price used in internal invoicing For internal invoices, some funders might want to see the backing calculation for the unit price to ensure no mark-up or overhead is included.	Check with the facility manager / internal provides if they have this information.
Evidence of due diligence checks/sub recipient monitoring	Ensure you document evidence of scientific monitoring of sub-awardees

## Technical (Scientific) Audits

Degree of fulfilment of the project work plan and deliverables for the relevant period

Continued relevance of the objectives

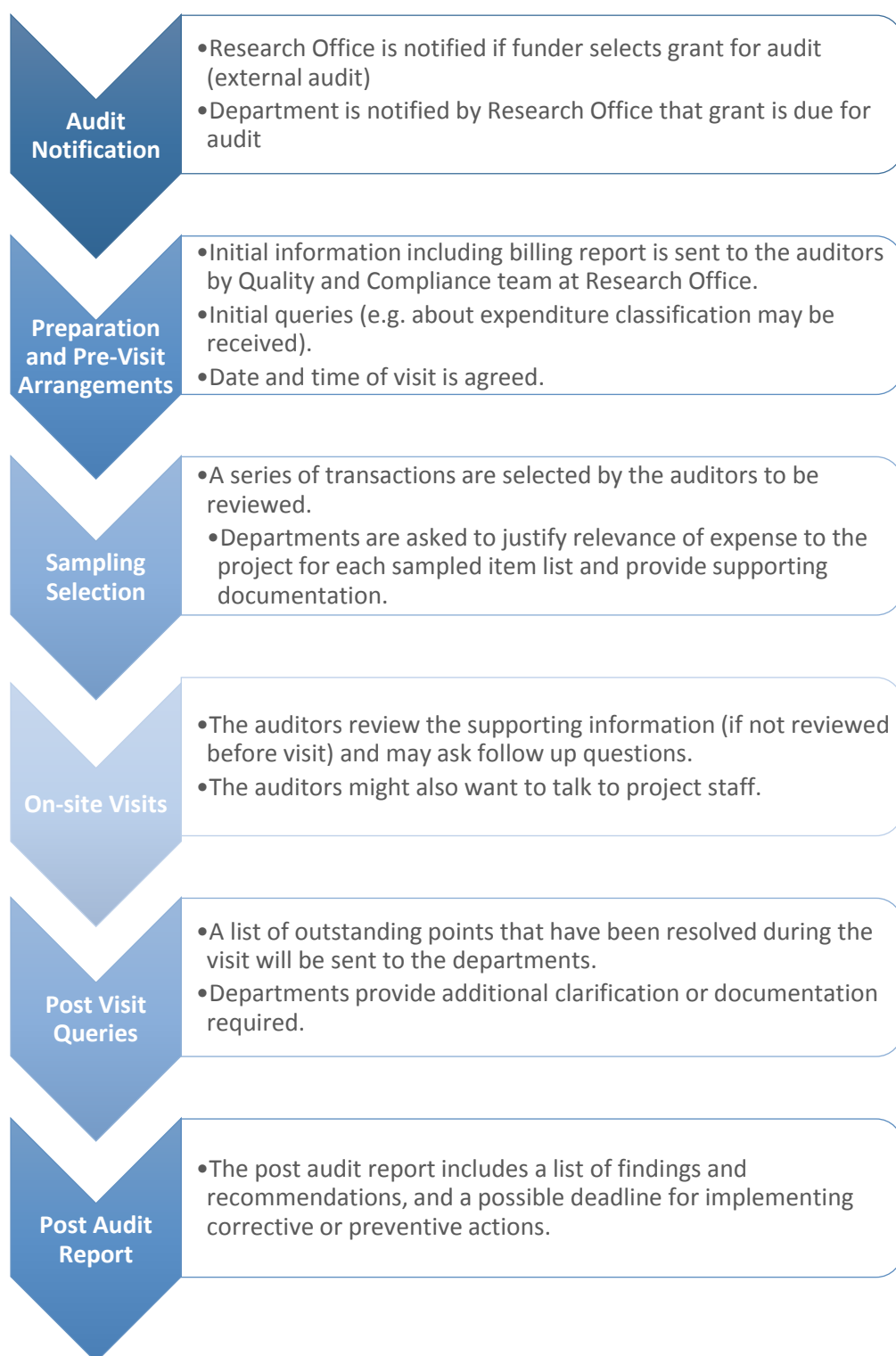
Management procedures and methods of projects

The beneficiaries' contributions and integration within the project

Use of resources in relation to the achieved progress

Expected impact of the project with focus on dissemination

## GUIDANCE FOR PRINCIPAL INVESTIGATORS



## BEST PRACTICE GUIDANCE FOR AUDITABLE INFORMATION

A few things to consider when preparing the initial grant budget and how to be prepared for an audit throughout the project:

1. Read and understand the sponsors terms and conditions and ensure that these are adhered to
2. Consistently review expenditure on the grant to ensure costs are eligible; check with your department
3. Keep all the required records: e.g. invoices, quotes, meeting minutes, timesheet, communication of absence records, etc.
4. If you are not sure of the answer - seek support

What costs are allowed?

To ensure the cost you are proposing in your budget is in line with the terms and conditions of your funding, ask yourself:

1. Was it included in the original Justification of Resources/Proposal?
2. Was it subsequently awarded?
3. Is it of direct benefit to the research and proper use of public funds?
4. Is it economic, necessary and solely attributable to the project?
5. Is it not deemed to be an excessive expense?

Time sheets

In many cases a time sheet must be completed by everyone working/employed/paid out of the grant, including those employed 100% of their time - check the specifics of your award Terms & Conditions.

1. Timesheets have to show the 'actual hours' worked on the project and the actual total productive hours worked (across different projects and tasks)
2. Timesheets should also record unproductive time such as leave
3. Timesheets must be reconcilable with the absences for holidays, illness, travels or others
4. Time taken for work-related travel must be supported by appropriate evidence, e.g. conference documentation, project meeting notes etc.

# GUIDANCE FOR PRINCIPAL INVESTIGATORS

## When making travel claims

Ensure any travel is necessary, and that it clearly relates to the project. When making a travel claim you will need to follow the relevant section of financial procedure.

1. Be aware of the University guidance on Travel and Subsistence, in particular the additional requirements for business class travel and using taxis
2. Be aware of funder specific requirements on travel; for example US federal grants, US flagship carrier or those in open skies agreement need to be used
3. Be specific when accounting for travel expenses (who travelled where and why) and provide adequate receipts

## Expense claims

1. Do not charge alcohol to the award
2. Credit card receipts are not eligible as evidence of expenditure incurred. An itemised receipt is required with the VAT separated out
3. List the names those attending the dinner/event, why they are there and how their participation relates to the project

## Procurement

Any project expenses must be directly related to the project and be described in the Description of Work, e.g. if the conference includes dinner, state this in the Description of Work at application stage, or ensure your conference programme and advertising make this clear, and include with the audit documentation