The University of York ESRC Impact Acceleration Account (York ESRC IAA)

GUIDANCE NOTES

SECTION 1: OVERVIEW

1.1 Source of fund: The Economic and Social Research Council (ESRC)

1.2 Total funding available: £928,000 (over 5 years)

1.3 Maximum size of award:
   - Fellowship & Secondment Scheme £50,000
   - General Call £35,000
   - Responsive Mode £1,500

These amounts are indicative. The York ESRC IAA Steering Group will consider larger applications. Please refer to Section 3 of this guidance.

1.4 Duration of funding: April 2014 – March 2019

1.5 Next deadline for applications:
   - General Call (incorporating Fellowship/Secondment Scheme): 21st November 2017
   - Responsive Mode: Applications accepted at any time.

1.6 Overarching aim of the fund:
Twenty-four universities, including the University of York (UoY), have been awarded an Impact Acceleration Account (IAA) by the Economic and Social Research Council (ESRC). The purpose of this scheme is to support social science-led knowledge exchange and
impact activities, grounded in research undertaken at UoY. Impact in this context is defined by Research Councils UK (RCUK) as 'the demonstrable contribution that excellent research makes to society and the economy'.

Funding can be awarded through the York ESRC IAA to support knowledge exchange, partnership building and ongoing engagement with a wide range of organisations, sectors and publics. Activities must be underpinned by research that falls within the remit of the ESRC.

1.7 Eligibility:
- The York ESRC IAA is open to all independent researchers across UoY. It is therefore not open to PhD students.
- Whilst managed by the Faculty of Social Sciences, applications are welcome from across UoY. Cross-faculty applications are particularly welcome.
- Whilst projects must adhere to the ESRC definition of social science, applicants need not have been in receipt of previous ESRC or RCUK funding.
- Applications must be led by a named member of staff, and are expected to include external non-academic partners as co-applicants.
- Fixed term members of staff can lead projects, so as long as their current contract is due to finish after the proposed end date of the project.
- Co-applicants from other HEIs are permitted, but if their institution is in receipt of an ESRC IAA, we would expect matched funding to be negotiated prior to submission.

1.8 Restrictions:
- Basic research cannot be supported through the IAA, unless it is explicitly co-produced with a view to the immediate uptake of findings by non-academic co-applicants.
- The IAA will not fund capital expenditure or the purchase of generic equipment (laptops, recording devices, etc).
- Whilst public engagement can form part of a proposal, the IAA will not fund general programmes of public engagement.
- PI and Co-I staff time cannot be claimed, unless applicants are based in a research-only department/unit (note: this restriction does not apply to the fellowship/ secondment scheme).
- ESRC-managed investments will not be eligible for IAA funding during their ESRC award period. Legacy activity for these investments, once their ESRC funding has come to an end, can however be supported.
- IAA funding cannot be used to fund or support Knowledge Transfer Partnerships (KTPs) or studentships of any type.

1.9 Links:
- ESRC IAA Overview
- ESRC impact Toolkit
- ESRC Guidance for Collaboration
1.10 Contact:

Departments are strongly encouraged to raise any questions about the form, scope or eligibility of a project with:

**Dr Chris Hewson**  
Social Sciences Research Impact Manager  
Research Centre for the Social Sciences  
Tel: 01904 321150  
Email: esrc-iaa@york.ac.uk
SECTION 2: BACKGROUND

2.1 The funder

The ESRC is a non-departmental public body (NDPB) established by Royal Charter in 1965, it receives most of its funding (£192 million in 2016/17) through the Department for Business, Energy and Industrial Strategy (BEIS). It is the UK's largest organisation for funding research on economic and social issues, supporting independent, high quality research which has an impact on business, the public sector and civil society. Its mission encompasses the following:

- to promote and support, by any means, high-quality research and related postgraduate training on social and economic issues
- to develop and support the national data infrastructure that underpins high-quality research
- to advance knowledge and provide trained social scientists who meet the needs of users and beneficiaries, thereby contributing to the economic competitiveness of the UK, the effectiveness of public services and policy, and the quality of life
- to communicate clearly and promote public understanding of social science

For further information, please visit the ESRC website.

2.2 The purpose of the fund

ESRC Impact Accelerator Accounts have been designed to support any regional, national or international knowledge exchange activity that fits within the ESRC’s remit. By devolving the management of IAAs to individual higher education institutions, funds can be used flexibly and rapidly, to support – amongst other things:

- Steps to improve long-term engagement and capacity building with the public sector, civil society, industry, small businesses, and the general public.
- The building of networks of co-production with potential users of academic research, in order to facilitate shared research outcomes and foster ‘real world’ impact.
- The movement and secondment of academics, and stakeholders, between higher education institutions and a range of public, private, and third sector organisations.
- The establishment of ‘proof of concept’ for any innovative products or practices emerging from social science research.
- Initiatives to drive culture change in within academia, with a specific focus on improving skills and capacities around user engagement.

Proposals can be submitted to the General Call and the Fellowship/Secondment Scheme which will be announced at least twice a year (usually, April/May & October/November), and the Responsive Mode (open all year round).

Within each General Call, one or more highlighted schemes may be outlined. Applicants are encouraged to focus their applications on one of these schemes, although the York ESRC IAA Steering Group will continue to support high quality applications in all areas.

2.3 Success criteria and the selection panel
The panel assessing the applications will consist of the York ESRC IAA Steering Group, with additional input from DRCs where specialised feedback is required. The panel will assess submissions based on the criteria below:

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Details</th>
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<tbody>
<tr>
<td>Clear aims and objectives</td>
<td>o Links to applicants’ high quality/original research</td>
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<td></td>
<td>o The effective utilisation of requested resources</td>
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<td></td>
<td>o A convincing of pathway to impact</td>
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<tr>
<td>Benefit to partners</td>
<td>o Appropriate levels of involvement and substantive support from partners</td>
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<td>o The degree to which relationships will be enhanced, fostered and sustained</td>
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<tr>
<td>Feasibility &amp; Sustainability</td>
<td>o Fit with ESRC requirements</td>
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<td>o Coherent project/work plans</td>
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<td>o The timeliness of proposed activities and follow-on plans.</td>
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*For a full list of York IAA / ESRC IAA KPIs, please refer to the appendices at the end of this guidance document.*
SECTION 3: APPLICATION CRITERIA

3.1 Am I eligible to apply?

Applications must be underpinned by original research conducted by the PI or research cluster named, include external non-academic partners, and clearly convey what the proposed impact and/or knowledge exchange activities are expected to achieve.

For the General Call, the amount applied for should be in excess of £1,500, with an indicative upper limit of £35,000. Applicants who seek additional funds are welcome to discuss their proposal with the Social Sciences Research Impact Manager prior to submission. A project may last any length of time,* but both timings and funds requested must be proportionate and clearly justified within the application. Interdisciplinary applications are encouraged, as are proposals which address any highlighted schemes within the call.

For the Fellowship/Secondment Scheme, projects will be funded at cost. Applicants are strongly encouraged to discuss proposed scope and time-scales with the Social Sciences Research Impact Manager, alongside their departmental research facilitator, prior to submission. The scheme has been designed to promote bi-directional fellowship/secondment activities between external organisations and UoY, building and strengthening existing relationships and facilitating opportunities for upskilling and long-term collaboration. How the scheme is ultimately utilised will reflect the needs and interpretation of individual departments and their external partners. We welcome creativity. It is strongly recommended that applicants seek a mentor within the host institution if seeking a secondment out of UoY. As with the General Call, all applications to this scheme will be required to delineate a clear set of objectives and outcomes.

The Fellowship/Secondment Scheme will pay for buy-out of staff time for departments/units that are not research-only. However, matched funding and/or financial support from both external partner organisations and UoY departments, to supplement the IAA contribution, is normally expected. This can be in the form of a direct cash contribution and/or a quantified in-kind contribution. For public and third sector organisations, apposite in-kind contributions alone are satisfactory.

For the Responsive Mode, up to £1,500 can be claimed. This strand has been designed to be ‘light touch’, permitting applicants to react to opportunities as they arise, with submissions accepted at any time. We particularly welcome small-scale knowledge exchange activities held within a tight timescale, designed to influence local, regional or national debate or respond to significant events. The expectation is that all funds and activities will be used/have taken place within three months of the application being made.* Notice of acceptance will usually be received within seven days.

*All spend must be concluded before 31st December 2018.

3.2 Can costs for current employees be covered by this grant?

PI and Co-I staff time cannot be claimed, unless applicants are based in a research-only department/unit (this restriction does not apply to the fellowship/secondment scheme). The IAA can be used to employ/extend fixed term contracts of employment. However, a clear business
case must be made with respect to the suitability of the candidate for the work package(s) outlined within the application.

3.3 How can I be sure my project is eligible?
Applicants should read the guidance notes and application form thoroughly, and are urged to discuss their application with their departmental research facilitator well ahead of the deadline.

3.4 What are the key requirements for my application?
Please refer to the application form, addressing any technical queries to the Social Sciences Research Impact Manager.

3.5 What cannot be funded?
Please refer to the application form, alongside Section 1.8 of this guidance document.

3.6 What are the limits of the scale and expenditure for my project?
The limits are outlined above. Applicants who feel that their proposed project does not comfortably fit within these strictures – either in terms of finance or scope – should address any specific queries to both their departmental research facilitator, and the Social Sciences Research Impact Manager. In exceptional circumstances, larger projects may be funded. It may also be possible to fund projects between general calls, if a clear and pressing case can be made.

3.7 What should the duration of my project be?
Project timescales should be proportionate to the funds requested, and the work-plans outlined. Projects can span accounting years (i.e. 31st July), but spend must be concluded three months before the end of the York IAA funding period (i.e. 31st December 2018).
SECTION 4: PRACTICALITIES

4.1 How will the call be disseminated?

The call will be circulated through a targeted email campaign, and via the UoY and Research Centre for the Social Sciences (ReCSS) websites. Deadlines for the General Call and the Fellowship/Secondment Scheme will be clearly disseminated with a reasonable amount of time allowed for submission.

4.2 How do I submit my application form?

Forms are to be submitted to esrc-iaa@york.ac.uk by 5pm on the day of the deadline.

There is now a single form for the IAA. To streamline the process, applicants to the Responsive Mode will not be expected to provide the same level of detail.

Additional information may be requested of applicants subsequent to submission, in order to assist the York ESRC IAA Steering Group in their deliberations.

4.3 Whom do I approach for a permission to apply / “sign-off” requirements?

Please ask your Chair of the Departmental Research Committee (DRC) to provide a signature. In signing off an application, the DRC also confirms their agreement with the applicant’s assessment of any ethical implications of the project. Heads of Department (HoDs) must also provide a signature agreeing to any departmental resource implications. By signing off each application, the HoD is confirming that the application is accurate, and that the department could support all bids requiring departmental resource if they were to be successful.

Please also provide signed letters or emails from each external non-academic co-applicant, confirming any cash or in-kind support they will be providing.

4.4 How will I access the awarded funds?

Upon notification of award, you will be supplied with a project specific work order.

4.5 How will my funding be monitored and are there any practicalities I need to know about after the project finishes?

Each project will be required to produce an end of project report and, for any projects with allocated funds over £10,000, an additional mid-point report.

Each project, and any related report on its outcomes, should to be entered into PURE. This information will be used to report institutionally to the ESRC (the RCUK IAA reporting matrix will be circulated with the award letter, and can also be found below in Appendix 2). The details of any specific indicators, which must be monitored and included in the final report, will be sent to successful applicants when their funding commences. It is a requirement of the York ESRC IAA funding stream to report relevant indicators back to the ESRC. Any failure to report may be a relevant consideration when determining future applications for funding.
## SECTION 5: TIMELINE

<table>
<thead>
<tr>
<th>Upcoming deadlines</th>
<th>Activity</th>
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<tbody>
<tr>
<td>4 September 2017</td>
<td>General/Fellowship Calls Open (2017/18 – Call 1)</td>
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<tr>
<td>21 November 2017</td>
<td>Application submission deadline</td>
</tr>
<tr>
<td>30 November 2017</td>
<td>Selection panel meet (York ESRC IAA Steering Group)</td>
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<td>(by) 12 December 2017</td>
<td>Applicants notified</td>
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<tr>
<td><strong>February 2017 (tbc)</strong></td>
<td>General/Fellowship Calls Open (2017/18 – Call 2)</td>
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<tr>
<td><strong>April 2017 (tbc)</strong></td>
<td>Application submission deadline</td>
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Please find below our KPIs, as outlined to the ESRC in the original York ESRC IAA Business Plan.

### To increase the degree of stakeholder engagement with Social Sciences at York and more specifically to expand engagement with the City of York and the wider region.

- **Number and type of (private, third, public sector) organisations engaged with in Yorkshire and Humber**
- **Number and type of new organisations engaged with in Yorkshire and Humber**
- **Number of academics engaging with each organisation**
- **Number of external fellows and secondments through the Fellowship and Secondment Scheme**
- **Amount of leveraged funds raised from stakeholder organisations**

### To expand engagement with policy makers, practitioners and lay communities outside the University and to increase the impact of our Social Science research on policy regionally and nationally.

- **Number of organisations involved with in each of the areas of policy, practitioners and lay communities**
- **Number of references to York-related activity in Hansard**
- **Number of references to York research in policy documents**
- **Number of policy and advisory committees with York participation**
- **New areas of interaction and exploration with partners**

### To promote Co-production of knowledge through diverse collaborative links with non-academic partners.

- **Number of Co-production projects undertaken**
- **Number of organisations engaged in co-production**
- **Amount of funding brought in through co-production activity**
Appendix 1b: Revised York Key Performance Indicators (KPIs)
(April 2018 - March 2019)

Please find below our revised KPIs, as outlined to the ESRC in our case for additional IAA funding, covering the period April 2018 to March 2019. These give a good indication of what we expect from award holders, and what as an institution we are required to report against. A full list of KPIs is available in Appendix 2.

| To increase the degree of external stakeholder engagement with Social Sciences at York. |
| Number and type of local, regional, national and international organisations engaged, academics involved in engagement, and value of engagement |
| Number and type of organisations engaged with in Yorkshire and Humber |
| Number/attendance for public/targeted events and activities |
| Number and range of internal and external fellowships/secondments |
| Cash and in-kind contributions from both internal sources and external non-academic partners |

| To expand staff engagement with policymakers, practitioners and lay communities outside the university |
| Number and range of UoY staff engaging in social sciences impact activity |
| Number and departmental range of cross-disciplinary social science-led collaborations |
| Attendance in social sciences impact training |
| New areas of interaction and exploration with partners |

<p>| To promote the co-production of knowledge that leads to impact. |
| Number of co-production projects undertaken |
| Commitment to co-produced research with external non-academic partners |
| Evidence of benefits to external non-academic partners, including financial benefits, monitored through case studies |
| Evidence of policy or practice change in external non-academic organisations, with policy change monitored through case studies |</p>
<table>
<thead>
<tr>
<th>Activity</th>
<th>Outputs</th>
<th>Outcomes</th>
<th>Impacts</th>
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| Secondments, Placements, Visits (see above) | OP1- Number of secondment projects (inward/outward)  
OP2- Cash and in-kind contributions from non-academic partners  
OP3- Joint publications with non-academic partners | OC1- Number of partners who go on to pursue further collaborations with RO following secondment/placement/visit  
OC2- Investment in further engagement following secondment  
OC3- Future employment destination of secondee or others from the RO | IMP1- Jobs and/or increased turnover, profit and exports from/of new products and/or processes  
IMP2- Policy and/or practice change  
IMP3- Increased R&D expenditure of non-academic partner |
| Early Stage Commercialisation | OP4- Number of patents filed and disclosures received  
OP5- Number and value of licensing agreements  
OP6- Number of Proof of Concept (PoC) projects  
OP7- Value of co-produced research  
OP8- Number of market assessments completed  
OP9- Number of prototypes/ tool kits/ test beds/ beta software produced  
OP10- Number of CPD Programmes developed | OC4- Investment gained in activity  
OC5- Number of spin-outs/social enterprise/joint ventures established  
OC6- External investment in spin-outs/social enterprise/joint ventures  
OC7- Number of PoC projects funded by others  
OC8- Licenses completed  
OC9- Income generated (included through consultancy fully funded by non-academic organisation)  
OC10- Extent and reach of CPD Programmes | IMP4- Jobs and/or increased turnover, profit and exports from/of new products and/or processes  
IMP5- New business models in non-academic organisations  
IMP6- Cost savings in non-academic organisations  
IMP7- Policy and/or practice change |
| User Engagement | OP11- Number of collaborative projects supported by IAA (and number not supported)  
OP12- Agility and rapidity of funding for time-bound activity  
OP13- Number of new partners participating in collaborative projects/proposals  
OP14- Number of new collaborative projects/proposals following engagement through IAA funding  
OP15- Cash and in-kind contributions from partners  
OP16- Number of industry visits  
OP17- Number of strategic events participated in (both ways)  
OP18- Joint publications (academic and other) with non-academics | OC11- Increase in range of research investors in the RO  
OC12- Increase in research investment and engagement with non-academic organisations  
OC13- Increase in the number of projects that continue beyond initial engagement  
OC14- Increase in volume and value of collaborative activities (e.g. Innovate UK, KTP etc) | IMP8- Jobs and/or increased turnover, profit and exports from/of new products and/or processes  
IMP9- Increased R&D expenditure of non-academic partner  
IMP10- New business models in non-academic organisations  
IMP11- Cost savings in non-academic organisations  
IMP12- Policy and/or practice change |
| Driving Culture Change | OP19- Number of enquiries received from staff  
OP20- Value of joint investment in IAA activities from within the RO (financial and broader resources)  
OP21- Number of academics trained  
OP22- Number of staff engaging (success rates for opportunities)  
OP23- Case studies developed  
OP24- Number of events and attendance  
OP25- Number of people completing surveys/interviews  
OP26- Engagement with other institutions (with & without IAAs)  
OP27- Complementarity between multiple IAAs and other funding, including between structures and processes | OC15- Increase in number of researchers participating in KE/Impact/commercialisation activity  
OC16- Increased income from impact activities  
OC17- Increased number of engagements  
OC18- Increase in resource requested from ESRC for Pathways to Impact | IMP13- Increased number of secondments  
IMP14- Increased co-produced research  
IMP15- Increase in range of research investors in the RO  
IMP16- Increased commercialisation and business/stakeholder engagement |