

Carnegie Trust for the Universities of Scotland

- Background to the Trust
- Guidance for Assessors

About the Carnegie Trust for the Universities of Scotland

Origins

- Founded in 1901 by Scots American millionaire Andrew Carnegie to “benefit the Universities of Scotland and the youth of that country who desire the benefits of a University education”.
- Endowment of 10 million dollars in US Steel bonds.
- One of over 20 Trusts set up by Carnegie worldwide.
- The 3 other Trusts in the UK are:
 - Carnegie Dunfermline Trust (1903) supports projects/activities in Dunfermline & Rosyth.
 - Carnegie Hero Fund UK (1908) recognises civilian heroism.
 - The Carnegie UK Trust (1913) works to improve the lives of people throughout the UK and Ireland, by influencing policy, innovative practice and partnership work.



About the Carnegie Trust for the Universities of Scotland

GOVERNANCE

- Trust Deed recorded on 7th June 1901.
Trust incorporated by Royal Charter in 1902; updated in 1978.
- Governed by: 16 nominated Trustees, plus
15 ex-officio Trustees (Principals of the Scottish universities), the Lords Provost
of Edinburgh and Glasgow, and an assessor for the First Minister.
- Current Chairman: Sir David Edward KCMG, QC, FRSE, PC

STAFF

- 5 members of staff in Andrew Carnegie House, Dunfermline:
 - Professor Andy Walker, Secretary & Treasurer (CEO)
 - Dr Patricia Krus, Administrative Manager
 - Ms Kate Ellis, Bursar
 - Ms Barbara Bianchi, Administrative Officer
 - Ms Julianne Black, Administrative and Financial Officer



What we do

The original 1901 Trust Deed defines our activities and how income should be spent:

Clause A:

One half on the “improvement and expansion of the Universities of Scotland and opportunities for scientific study and research.”

Clause B:

Other half on payment of tuition fees for students of Scottish birth or extraction attending a Scottish University.

Clause A funding schemes

- Research Incentive Grants
- Collaborative Research Grants
- Carnegie Centenary Professorships
- Carnegie PhD Scholarships

Clause B funding schemes

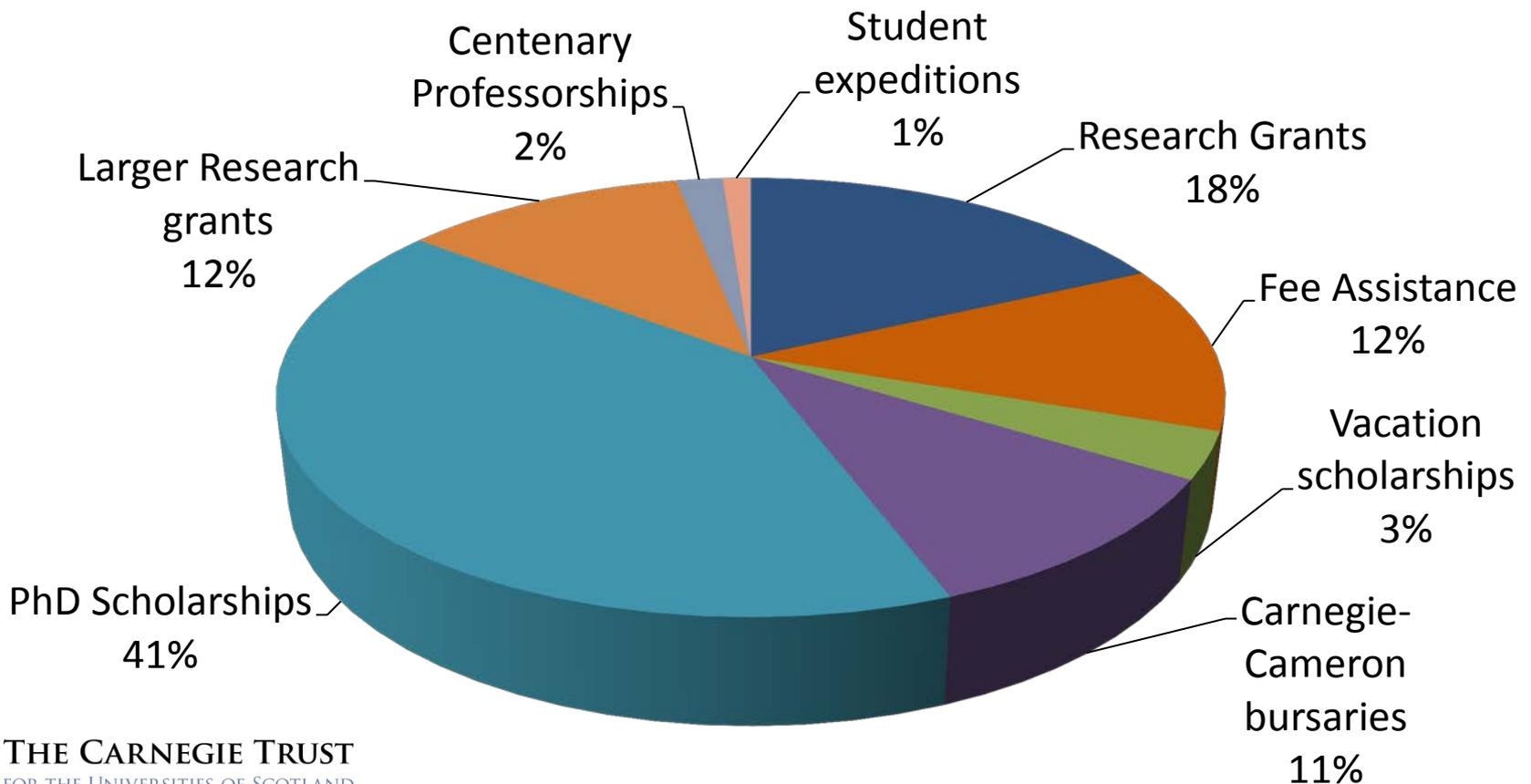
- Undergraduate tuition fees
- Vacation Scholarships
- Carnegie-Cameron PG Masters Bursaries



Income and Expenditure

- The endowment valued at £67.9 million in 2012-13.
- Generated an income of £2.72 million in 2012-13.
- Plus donations and legacies from former beneficiaries and supporters.

Analysis of Grant Expenditure 2012-13



Grant Schemes in 2012-13 and 2013-14

Scheme name	No of Applications		No of awards		Amount	
	2012-13	2013-14	2012-13	2013-14	2012-13	2013-14
A:						
Research Grants	274	333	256	251	£441k	£436k
Larger (Collaborative) Grants	27	66	8	10	£256k	£375k
PhD Scholarships						
<i>Applications received</i>	121	173				
<i>New awards</i>			16	14		
<i>Tenure in</i>			43	55	£872k	£914k
Expeditions	12	14	12	14	£24k	£28k
Centenary Professorships	9	7	2	1	£40k	£51k
B:						
Carnegie-Cameron PG Bursaries			65	100	£244k	£350k
UG Fee assistance	185	103	154	74	£274k	£145k
Vacation Scholarships	176	144	93	87	£76k	£92k
Total					£2,227k	£2,391k



Research Schemes – recent developments

Following a major review, Trustees agreed a number of significant changes to the Research Schemes from 2014 onwards.

Research Grants: New scheme – known as “Research Incentive Grants”

Maximum grant value is to be increased from £2,500 to £7,500.

A Panel of Carnegie Research Assessors has been formed – from which referees and members of the Selection Committee are drawn. Emphasis on research quality.

(Final deadline for the old “small grants” scheme was 15 May 2014.

Increase of 9% in the number of applications, ahead of this deadline, noted.

251 awards made in total under the old scheme in 2013-2014.)

Collaborative Research Grants: Formerly known as “Larger Grants”, the maximum grant value will be increased from £40,000 to £50,000 in 2014-15.

(Following a modest publicity drive, number of applications for the 2014 grant round more than doubled – to 66, of which 10 could be funded (15%).)

Research Incentive Grants

1. TYPES OF RESEARCH PROJECTS

- **Short research projects**, either stand-alone or an initial study expected to lead to a more extensive project.
- Open to all academic fields.
- Projects can include the full range of research activities
- Exclusions: organisation of seminars/workshops/conferences, knowledge exchange or public engagement events, or facilitation of networks.

Research Incentive Grants

2. APPLICANT ELIGIBILITY

- Academic member of staff on open-ended or fixed-term contracts.
- End date on fixed-term contracts must be 6 months after the end of the funded research period.
- Applicant must have time and resources to undertake the research – as confirmed by HoD/S. Contract staff supported directly by an external funder should seek clearance from that funder before applying.
- **Special consideration** will be given to **Early Career Researchers** i.e within 5 years, excluding breaks, of starting independent academic career. (Calculated on a pro-rata basis for part-time staff.)

Research Incentive Grants

3. CRITERIA AND EXPECTATIONS

- Planned research must be of **excellent quality** and expected to be of **benefit** to one or more of the universities of Scotland.
- Project will lead directly to research outputs (e.g. high-quality academic publications and/or international conference presentations) and possibly other outcomes (e.g. new research tools/methodologies, grant applications to other funders, etc).

4. PROCESS AND FINANCE

- Two deadlines a year:
 - 15th September
 - 15th March
- Applications to be endorsed with an official sign-off from the applicant's HOD/S; budget verified by the appropriate university officer (e.g. from Research Office).
- Maximum value is **£7,500** and minimum value £500.

Research Incentive Grants

5. ELIGIBLE COSTS

- Travel, accommodation and subsistence for the principal investigators, collaborators or participants in the research activities
- Salary costs of a research assistant, technical or administrative staff directly supporting the research activities
- Survey costs
- Laboratory consumables
- Minor equipment
- Dissemination costs: for publication or presentation at a conference of the research results.

Notes

- **Exclusions:** PI's own time, indirect/estates costs, other overheads
- Dissemination should represent a small portion of the budget (max. 20%).
- All costs must be incurred during the lifetime of the grant.

Collaborative Research Grants

Formerly known as the Larger Grants Scheme

1. TYPES OF RESEARCH PROJECTS

- Joint research projects that bring together researchers from more than one Scottish university to develop new lines of study or to advance significantly existing areas of expertise.
- Open to all academic fields.
- Projects can include the full range of research activities
- **Exclusions:** organisation of seminars/workshops/conferences, knowledge exchange or public engagement events, or facilitation of networks.

Collaborative Research Grants

2. APPLICANT ELIGIBILITY

- Each partner university should identify a Principal Investigator, one of which will act as the Lead Applicant.
- The Principal Investigators will be full members of academic staff on open-ended or fixed-term contracts.
- End date on fixed-term contracts must be 6 months after the end of the funded research period.
- Applicant must have time and resources to undertake the research – as confirmed by HoD/S. Contract staff supported directly by an external funder should seek clearance from that funder before being included as a PI.
- Collaboration with organisations other than the Scottish universities is welcome but they are not eligible to receive direct funding from the Trust.

Collaborative Research Grants

3. CRITERIA AND EXPECTATIONS

- Planned research must be of **excellent quality** and expected to be of **benefit** to at least two of the universities of Scotland.
- Project will lead directly to research outputs (e.g. high-quality academic publications and/or international conference presentations) and possibly other outcomes (e.g. new research tools/methodologies, grant applications to other funders, etc).

4. PROCESS AND FINANCE

- One deadline a year: 31st January
- Applications to be endorsed with an official sign-off from the applicant's HOD/S; budget verified by the appropriate university officer (e.g. from Research Office).
- Projects running between 1 to 3 years
- Maximum value is **£50,000**.

Collaborative Research Grants

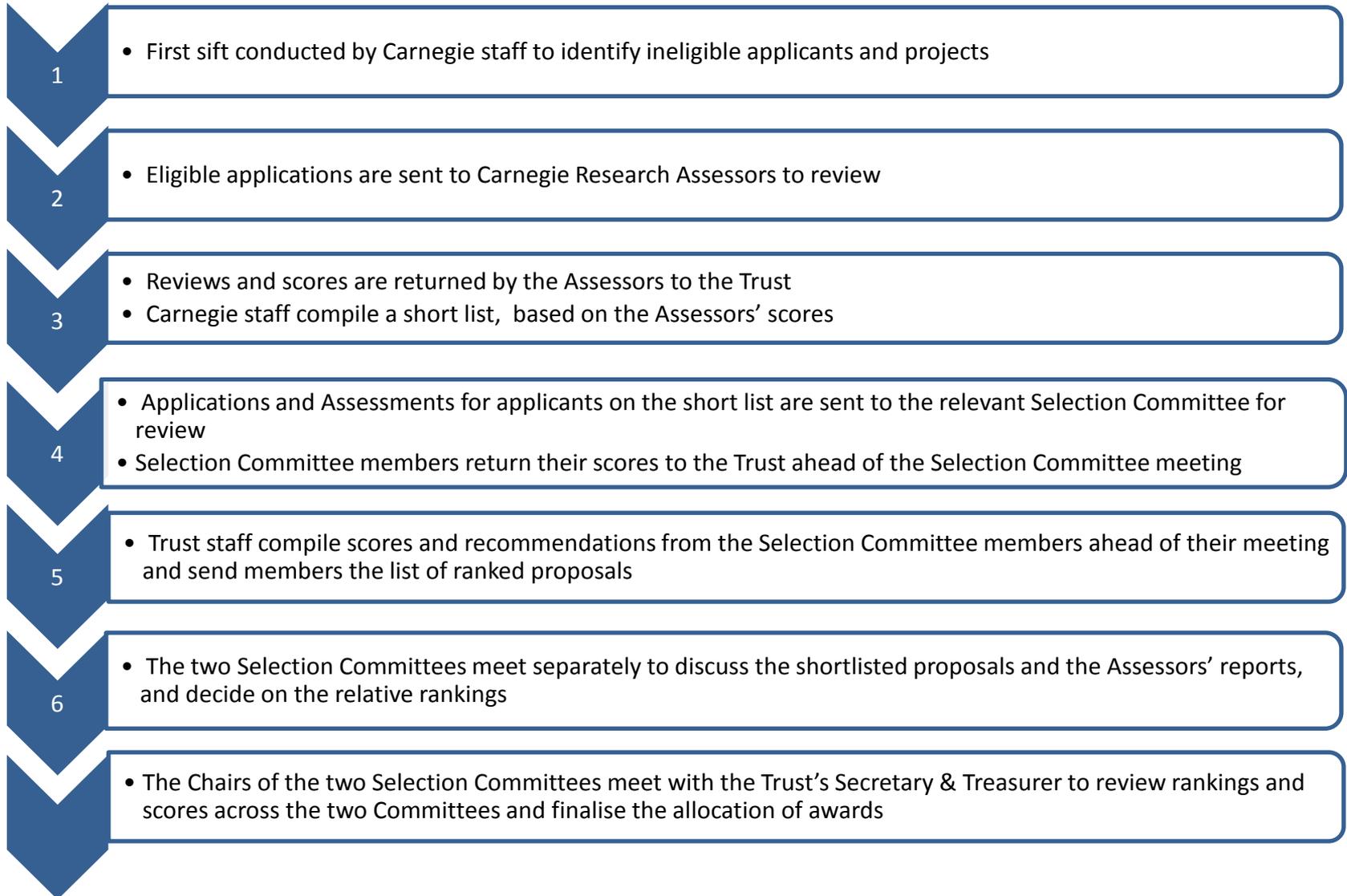
5. ELIGIBLE COSTS

- Salary costs of a research assistant, technical or administrative staff directly supporting the research activities
- Survey costs
- Laboratory consumables
- Minor equipment
- Travel, accommodation and subsistence for the principal investigators, collaborators or participants in the research activities
- Dissemination costs: for publication or presentation at a conference of the research results.

Notes

- **Exclusions:** PI's time, PG studentships, indirect/estates costs, other overheads
- Dissemination should represent a small portion of the budget (max. 20%).
- All costs must be incurred during the lifetime of the grant.

Assessment process



Carnegie Research Assessors

- Recruited mainly from within the Scottish academic community.
- Cover all subject fields of research at the Scottish universities.
- Include previous CTUS grant holders as well as reviewers for Research Councils or the Royal Society of Edinburgh.
- Assessors are invited to review a number of submissions, scoring each proposal according to set assessment criteria.
- Each proposal will be reviewed at least twice.
- Assessors will review a maximum of three proposals per round and six proposals per year.

Selection Committees

- Two Selection Committees will be convened each round:
 - i. Committee A: Arts, Humanities and Social Sciences
 - ii. Committee B: Science, Medicine, Engineering and Technology
- Membership will be drawn from the Panel of Assessors.
- The Committee Chair will be selected for that meeting alone, appointed on the basis of his or her relevant experience.
- Committee members will not act as first stage reviewers
- They will receive the shortlist of proposals in their broad area of expertise and the comments and scores from the reviewers.
- Ahead of their meetings, the Selection Committee members will be asked to review a subset of all the proposals and assessments and make recommendations for funding. Their recommendations will be returned to the Trust and compiled into a single ranking spreadsheet. The Trust will distribute the compiled list to members of the Committee 48 hours before the meeting.
- At the meeting of the Selection Committee proposals will be discussed and ranked using the same criteria as applied by the assessors. Committee members will be asked to report on the subset of proposals sent to them.
- Meetings will be held at Andrew Carnegie House in Dunfermline.



Final Selection Group

- After both Selection Committees have met, the two Committee Chairs will meet with the Secretary and Treasurer of the Trust.
- This Group will be asked to assess the relative quality of the two ranked lists prepared by the Committees and to draw up a single, overall, ranked list for that round of applications.
- The allocation of awards will be determined on the basis of this final list and the available budget.

Assessment criteria

Assessment criteria are the same for both schemes with two basic differences:

- Research Incentive Grants:

The applicant's career stage will also be taken into account, alongside assessment of the overall quality of the proposal

- Collaborative Research Grants:

Account will be taken of: the added value gained through the collaboration, and the suitability of the consortium members and the project leader with regard to their experience and expertise.

Criterion 1: Significance and Originality

Expectations:

- A clearly specified research question/hypothesis
- Addressing a significant scientific, societal or intellectual issue
- An original research project (from an international perspective)
- Clearly filling gaps in, or extending, existing knowledge
- Potential benefit to the university's research programme, or expected to impact on industry, culture or public policy, or more widely

Additional features:

- A prospect of opening up new areas of study
- Potential to further strengthen research in a particular field within the Scottish universities (strategically significant)
- Likely to contribute to the university's future REF submission

Criterion 2: Feasibility

Expectations

- Applicant has the necessary expertise and experience
- Specified research methodology and activities are appropriate for the project to yield results
- Support is being provided by the applicant's university, e.g.:
 - Making available facilities, resources and/or the PI's time
 - Making a direct financial contribution to the project
 - Making an indirect contribution, e.g. the cost of the PI's time, general overheads, etc
- Requested funds are appropriate for the scope of the project and essential for its successful completion.
- The budget demonstrates value for money.



Criterion 3: Outcomes and outputs

Expectations

- Proposed research outcomes are relevant and of sufficient scope
- The academic outputs are anticipated to be of high quality and sufficient strength, e.g. likely to be included in future REF

Additional features:

- Project is likely to open up a new area of research, leading to the preparation of larger grant applications to other funders.
- Anticipated impact through industrial applications, cultural events, or public policy development.

Overall quality

An overall quality assessment will be made on the basis of the above criteria.

This will take the form of an overall score, arrived at on the basis of the proposal's strengths and weaknesses in relation to each individual criterion.

Scoring

Each assessment criterion to be scored on a scale of 0 to 5

Score	Description
6	Demonstrates outstanding merit and excels in all relevant aspects of the assessment criterion
5	Excellent, fully meets the assessment criterion
4	Very strong, meets the assessment criterion in most respects
3	Strong, broadly meets the assessment criterion
2	Good but with some weaknesses
1	Of some merit but too many weaknesses to meet the criterion satisfactorily
0	Below standard, does not meet the assessment criterion; intellectually, technically or scientifically flawed; or insufficient information with which to properly assess



Points to consider when assessing proposals (1)

- **Conflict of interest:**
 - Please check whether you might have a conflict of interest concerning a proposal sent to you. A list of potential situations where conflict of interest might arise is provided in the Guide for Assessors
 - Please discuss any such case with the Trust office.
- **Quality of the proposed research:**
 - Main objective of the Trust is to support excellent research of benefit to the Scottish universities.
 - This should be the main concern when assessing proposals.
 - Your background knowledge and experience should inform your judgment of the quality of proposals. If you are unsure about your ability to review a particular proposal, please speak with the Trust.

Points to consider when assessing proposals (2)

- **Scoring and comments**

- Please give a score for each assessment criterion.
- Please give comments as appropriate.
- The Trust requests that the final overall assessment of the proposal does include general comments alongside the score.
- Scores and comments from assessors will inform the judgment of the Selection Committee members.

- **Using the scores**

- Please use the full range of available scores, as appropriate
- Please avoid giving half points or, for example, 4+. The score given can be moderated by the associated comments.

Points to consider when assessing proposals (3)

Case for support

- Please assess each proposal on its own terms, based on the submitted material and the applicant's ability to argue his or her case for support.

Contextualising the proposed research

- Using your own expertise, please provide a judgment as to how a particular proposal fits within the current work undertaken in your field.

Strengths and weaknesses

- Please note where a proposal matches a criterion particularly well;
- Please draw attention to logical flaws, omissions or contradictions.

Feedback to Applicants

- Assessors' comments may be communicated to applicants, if the latter request feedback.
The form also contains a section in which assessors may include comments which they wish to see remain confidential to the Trust.
- Any comments fed back to applicants will be unattributed.
- Please take care not to include information that might reveal your own identity

Practical details

- Assessment forms will be available in the following formats:
 - MS Word
 - Fillable PDF (Adobe)
 - Open Office
- Proposals will be sent in PDF format to assessors as an attachment to an email. If you prefer a different delivery method, speak to Patricia.
- Assessors will be given up to 3 weeks to review in the first reviewing stage
- Selection Committee members will be given up to 4 weeks to review papers in advance of the meeting.
- Selection Committee members will receive all proposals to be discussed at the meeting, together with the assessments for each proposal.



Terms of service

- Length of service
 - A term of 1, 2 or 3 years in the first instance. At the end their first term of service, Assessors will be asked if they wish to continue.
- Confidentiality
 - Information pertaining to reviewed proposals and assessments should remain confidential.
 - Please keep your completed reviews in a safe and secure place.
- Feedback to the Trust
 - Any comments or suggestions on how we might improve these new processes will be much appreciated.

Contact details

For further information contact:

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Professor Andy Walker

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FAQs (1)

- **Q: How important is “impact” for the Trust?**
 - A: The Trust welcomes proposals that may have an industrial, scientific, societal or intellectual impact for non academic end users of research. However, we equally welcome proposals that aim to have a purely scientific or intellectual impact in their academic field.
- **Q: Will feedback be given to applicants?**
 - Yes, unattributed comments from assessors will be given to applicants who ask for feedback.
- **Q: What if the assessor wishes to provide some confidential comments to the Trust**
 - A: Using the appropriate section of the form, assessors may include comments that they wish to share only with the Trust.
- **Do assessors have to check the eligibility of applicants?**
 - A: The Trust will do a first sift in the office. If you do spot something we have missed, please let us know.

FAQs (2)

- **Q: How will an applicant's status as an Early Career Researcher be taken into account in the assessment process?**
 - A: Everything else being equal, preference will be given to ECR when making the funding allocation decisions.
- **Q: Can an assessor evaluate their own ability to review a particular proposal?**
 - A: Yes, the assessment asks assessors specifically to indicate how confident they are in assessing each proposal allocated to them.
- **What is the Trust's policy on Open Access or research data storage and sharing?**
 - The Trust does not require awardholders to publish their outputs in Open Access. If they wish to include Open Access charges as part of the requested budgets, they may do so up to the limit of 20% for dissemination costs.
 - Likewise does not impose requirements on awardholders to store and share data for future research. It is up to the applicants to decide if they wish to do so.

