



## SAMS/BAM Research and Capacity Building Grant Scheme 2021

### EXAMPLE CONTRACT

The Society for the Advancement of Management Studies (SAMS), and the British Academy of Management (BAM) offer <Principal Investigator Institution> a grant for <Principal Investigator Name> to undertake a research project in collaboration with <Co-Investigator Name> at <Co-Investigator Institution> entitled 'Project Title' funded through the SAMS/BAM Research and Capacity Building Grant Scheme. The Contract shall commence on <project start date> and shall end on <project end date>.

SAMS and BAM have agreed to support the project from <project start date> at a total maximum cost of £<total funding budget>. The total amount requested for the grant will be paid to <Principal Investigator Institution> in three instalments as specified in Annex 1. The first payment shall be made at the commencement of the project upon submission of an invoice, with subsequent payments at the start of the second year, and upon submission and approval of an End of Grant Project and Financial Report. Additionally, any underspend against grant funds already received by <Principal Investigator Institution> will be returnable to SAMS and BAM upon submission of the End of Grant Project and Financial Report.

<Principal Investigator Institution> will issue an invoice for the Annual Award Payment quoting '<Grant Reference Number>', the project year, and the project year dates. Payment shall be made within 30 days of receipt of the invoice subject to SAMS and BAM being satisfied that any amounts claimed are proper and in accordance with the project's agreed budget. Payment will be made via BACS and will not be issued until a signed contract is received.

#### **Please note the following summary requirements:**

Successful Grant Holder(s) are required to fulfil the following key conditions upon being awarded the grant:

The Principal Applicant and *all* Co-Applicants based in schools of management and business must:

- Be a BAM Member and maintain valid BAM Membership for the duration of the project.
- Acknowledge SAMS and BAM's support for the project in any publication (written or electronic) that arises as a direct result of the project.
- Inform SAMS and BAM of further research that arises as a result of the project.

- Submit a bi-annual 'Interim Project and Financial Report'. This is to ensure that the project is proceeding as planned and to update SAMS and BAM regarding how much of the funding has been spent or committed. Lists of transactions under each of the key budget headings included in the application will be required. The agreed budget is included within Annex 1
- Submit an 'End of Grant Project and Financial Report' of no more than 3,000 words within two months of the completion of the project.
- Present at least one paper on the research outcomes at the BAM Annual Conference during the life of the project or within one year of completion of the project. If there is any reason that this is not possible, the Applicants must notify BAM and SAMS in writing and explain the circumstances. Costs for attendance at the conference cannot be claimed against the grant.
- Grant holders may be expected to report to the BAM Vice Chairs: Research and Publications Subcommittee to discuss research progress.
- The lead institution is responsible for monitoring the conduct of the award and ensuring that ethical standards are met. In cases where the research is not completed or ethical standards are not met, recipient organisations will not be eligible for any future funding through this grants scheme.

### **Terms & Conditions of the SAMS/BAM Research and Capacity Building Grant Scheme**

The Terms and Conditions outlined in Annex 3 are intended to ensure that the grant is available for the project as agreed by SAMS and BAM; secondly, that SAMS and BAM are informed promptly of any significant changes in the project being supported and permission is sought where necessary; and thirdly, that SAMS and BAM receive a detailed account of the outcomes of the project.

## **Applicant Agreement**

I confirm that all the information provided in the Application Form is true and valid. I have read and accept the Terms and Conditions of the Award and the BAM Privacy Policy, and I understand the requirements of me as the Principal Investigator of the project.

<b>Full Name</b>	
<b>Role</b>	
<b>Signature</b>	
<b>Date</b>	

## **Institutional Agreement**

I confirm that all the information provided in the Application Form is true and valid. I have read and accept the Terms and Conditions of the Award and BAM's Privacy Policy.

<b>Name and Address of Organisation</b>	
<b>Full Name</b>	
<b>Role</b>	
<b>Signature</b>	
<b>Date</b>	

## British Academy of Management Agreement

<b>Name and Address of Organisation</b>	
<b>Full Name</b>	
<b>Role</b>	
<b>Signature</b>	
<b>Date</b>	

## Society for the Advancement of Management Studies Agreement

<b>Name and Address of Organisation</b>	
<b>Full Name</b>	
<b>Role</b>	
<b>Signature</b>	
<b>Date</b>	

## **ANNEX 1 : Agreed budget and reporting requirements**

The agreed budget is included in this Annex together with the work plan for the research project. Please ensure that expenditure is incurred in line with the agreed budget, and the financial guidance set out in Annex 2.

The invoicing schedule is as follows:

- <Beginning of project year 1> – Invoice for £50,000 upon commencement of project
- <Beginning of project year 2> – Invoice for £50,000 upon commencement of year 2 of project and submission of Interim Project and Financial Report 2
- <3 months after end of project – Invoice for balance of up to a maximum of £<balance of agreed budget> subject to submission and approval of End of Grant Project and Financial Report

The reporting schedule is as follows:

- <mid-point of project year 1> – Interim Project and Financial Report 1
- <end of project year 1> – Interim Project and Financial Report 2
- <mid-point of project year 2> – Interim Project and Financial Report 3
- <end of project year 2> - Interim Project and Financial Report 4
- <mid-point of project year 3> - Interim Project and Financial Report 5
- <2-months after end of project> – End of Grant Project and Financial Report

*\*\*\*NB – these schedules may change subject to final agreed budget and project duration of the awarded project*

## **ANNEX 2: Financial Guidance**

### **Extract from SAMS/BAM Applications Guidance, Financial Guidelines and Terms and Conditions – July 2020**

The SAMS/BAM Research and Capacity Building Grant Scheme Awards Committee will evaluate applications submitted based on the following financial principles and funding criteria. SAMS/BAM is committed to funding a number of grants under these Schemes, dependent on the quality of submissions received, to a maximum value of **£150,000 per funded project over 2 to 3 years.**

- 1.1 The Grant cannot support full economic costing of projects, given SAMS/BAM's position as Registered Charities but reasonable salary costs can be claimed.
- 1.2 The Grant will be contracted between SAMS/BAM and the Principal Investigator's Research Office.
- 1.3 The Principal Investigator's organisation will need to issue an invoice to the BAM Grants Administrator to claim the grant.
- 1.4 The Grant holder(s) must not commit any expenditure prior to the contract being issued and the period of grant having commenced. All expenditure must have taken place within the dates of the project and been accounted for within two months of the project end date.
- 1.5 Priority will be given to applications that demonstrate value for money and financial clarity.

### ***Eligibility of costs under the Grant Scheme***

2. **Staff costs (research salaries and project support): The following items *may be covered* under the Grant Scheme**

- 2.1 Principal Investigator and Co-Investigator salary and employers' NI and Pension costs
- 2.2 Research Assistants and other research staff to enable delivery of the project
- 2.3 Student stipends (e.g. to cover a PhD studentship associated with the project)
- 2.4 Project administration

**Excluded costs:**

- 2.5 FEC estates and indirect overheads ***may not be claimed*** under the Grant Scheme

3. **Travel, Accommodation and Subsistence (including conference attendance): The following items *may be covered* under the Grant Scheme.**

**3.1 Accommodation, Travel and Subsistence**

Applicants should provide estimates of, and justification for all accommodation, travel and other subsistence costs directly relating to the project.

**3.2 Accommodation:** Applicants should obtain reasonably priced hotel accommodation in accordance with their own institution's travel and subsistence policy.

**3.3 Travel:** Travel should be by the most economical means of transport, taking in to account any specific accessibility needs. Applicants should book early and take advantage of cheaper advance tickets, where possible. SAMS/BAM expects that travel will be at the lowest available fare, which should normally be economy/standard travel.

**3.4 Conference attendance:** SAMS/BAM may consider expenses relating to conference attendance if the following criteria apply:

3.4.1 The theme and subject of the conference is of direct and particular relevance to the application; and

3.4.2 There are no other sources of funding available to the applicant.

**4. External services (transcription, translation, data collection, other subcontracts)**

4.1 Assistance in transcription, translation, data collection and data inputting may be funded from the grant if the following conditions are met:

4.1.1 The costing must be based on a quote from an official source, such as a professional transcription service that is used by the host organisation. The quote must accompany the application and must be dated and include the hourly rate and estimated number of hours.

4.1.2 The application must include details of how the estimated number of hours has been calculated.

**5. Consumables and materials: The following items *may be covered* under the Grant Schemes if sufficient justification is provided:**

5.1 Stationery

5.2 Computing consumables (e.g. USB data sticks, CDs), equipment rental charges and software fees or purchases specifically required for the project

5.3 Specialist publications that cannot be obtained through the applicant's institution

**6. Equipment and hardware: The following items *may be covered* under the Grant Scheme if sufficient justification is provided:**

6.1 Laptops for field research

6.2 Digital recorders

6.3 Camera and video equipment

**Excluded costs:**

6.4 Standard computers that would be provided as standard for existing or new employees will not be covered.

7. Other research costs: **will be considered on a case by case basis.**

**Exceptional Items:** The following items ***may be covered*** on an exceptional basis under the Grant Schemes if sufficient justification is provided:

7.1 Subject/interviewee incentives

7.2 Cost of microfiche records

7.3 Specialist reprographic services

7.4 Copyright permission fees

## ANNEX 3: Terms and Conditions

### 1. General

- 1.1 The Principal Investigator and all Co-Investigators who are based in schools of management and business must be current BAM members at the time of application and must remain so for the duration of the project.
- 1.2 Previously unsuccessful applicants may not submit an application that is substantially the same as applications previously submitted to this Scheme.
- 1.3 Grants must be used solely for the purposes set out in the application as agreed by SAMS/BAM and cannot be transferred to another individual or used for a different purpose.
- 1.4 The Principal Investigator will be responsible for the conduct of the work. The host organisation administering the grant is responsible for the employment of staff working on the project, their terms and conditions, and for providing appropriate facilities for the work.
- 1.5 The Principal Investigator must ensure that all necessary ethical committee approvals, agreements about access, licences and requirements of regulatory authorities are in place before the project begins and are maintained for the full duration of the grant.
- 1.6 Projects are expected to last from 24 to 36 months (36 months maximum) and must begin no earlier than June 2021.
- 1.7 No additional funding from SAMS/BAM will be available during the period of the project.
- 1.8 Applicants will be expected to report on progress of the research to the BAM Grants Administrator on request.
- 1.9 Previous grant holders may not apply within 2 years of the end date of their previous project, and satisfactory submission of the 'End of Grant Project and Financial Report.'
- 1.10 Applications should make a commitment to disseminating and sharing learning from the project throughout the wider business and management academic community.
- 1.11 The host organisation must confirm a commitment to support attendance at the British Academy of Management Annual Conference over and above standard conference support. This agreement must be included with the application.  
**Please note: applications without this agreement will be rejected.**

### 2. Contract and Dates

- 2.1 The Grant will be contracted between SAMS/BAM and the Principal Investigator's Research Office. The contract will contain the terms and conditions of the grant, the grant amount and the proposed dates on which the research project should start and end. **The Grant Holder's Research Office must accept the final terms and conditions by signing the completed contract and**

**returning it to the BAM Grants Administrator, within one month of notification of the application being successful.**

- 2.2 The Principal Investigator's host organisation will be required to issue an invoice to SAMS/BAM via the BAM Grants Administrator to claim the grant for each project year. Grant holder(s) must not commit any expenditure prior to the contract being issued and the period of the grant having commenced.
- 2.3 As part of the contract process, SAMS/BAM will confirm the preferred start date or agree a revised date with the Grant Holder(s).
- 2.4 Grant Holder(s) are required to make every effort to start on the agreed date. It is recognised that this is not always possible due to unexpected difficulties in, for example, participant recruitment or data access. In circumstances where such a delay is unavoidable, a degree of flexibility will be allowed wherein grants may commence up to a maximum of three months after the agreed start date on the Grant Contract. The Grant Holder(s) must contact the BAM Grants Administrator if there is any instance where there is a delay in the start of the project.
- 2.5 If a project has not commenced within three months of the date stated in the issue of the grant and a later date has not been approved, the offer of the grant may be withdrawn. The grant may not then proceed without further written confirmation from the SAMS/BAM Grant Awards Committee that it has been re-issued.
- 2.6 Applicants should understand that under no circumstances may the start date for a grant be earlier than the date of the issue of the grant. SAMS/BAM will not accept responsibility for any expenditure undertaken prior to the agreed start date.

### **3. Project and Financial Monitoring**

- 3.1 Within the limits of the total budget, the spending under different headings should conform broadly to the original estimates in the application approved by the Board of Reviewers. If the Grant Holder(s) wishes to make any substantial variation of expenditure between headings of the budget set out in the application, they must seek the permission of the SAMS/BAM Grant Awards Committee, via the BAM Grants Administrator, **before** doing so.
- 3.2 Equipment funded by a grant is donated to the host organisation for the use of the project. The host organisation is responsible for its housing, maintenance and insurance. If the project moves to another organisation during the grant, SAMS/BAM expects the equipment to move with it. SAMS/BAM reserves the right to be consulted via the BAM Grants Administrator about the disposal of such equipment after project completion, and in any disputed case will have the final say.
- 3.3 The grant will be paid in three instalments, in line with the schedule outlined in Annex 1. This will consist of an instalment at the commencement of each project year, and a final balance invoice upon submission and approval of the final report.

- 3.4 The Principal Investigator is required to submit an 'Interim Project and Financial Report' at 6-monthly intervals in accordance with the Annex 1 schedule to the BAM Grants Administrator to ensure that the project is proceeding as planned. Failure to produce this report may result in the Principal Investigator being deemed ineligible to apply for any future funding from SAMS/BAM.
- 3.5 The Principal Investigator is required to submit an 'End of Grant Project and Financial Report' to the BAM Grants Administrator within one month of the agreed project end date. Failure to produce this report may result in the Principal Investigator being deemed ineligible to apply for any future funding from SAMS/BAM.
- 3.6 All bookings and receipts should be collected as the research project progresses and sent to the BAM Grants Administrator when submitting the 'End of Grant Project and Financial Report.'
- 3.7 SAMS/BAM reserves the right to suspend or terminate a grant if the Grant Holder(s), or any staff working on the project:
  - breach any of the conditions of the grant;
  - become unfit or unable to pursue the work funded by the grant;
  - do not complete the project;
  - or if the project has not commenced within three months of the date stated in the grant contract and a later date has not been approved. The grant may not then proceed without further written confirmation from SAMS/BAM that it has been re-issued.

SAMS/BAM will, where possible, seek to ensure that in the event of changes or termination, reasonable notice is given to the host organisation and Grant Holder(s) via the BAM Grants Administrator. The minimum notice will be three months.

#### **4. Changes in the Project**

- 4.1 SAMS/BAM should be informed immediately in writing to the BAM Grants Administrator if the Grant Holder(s) intend(s) to move to another organisation during the course of the grant. The Grant Holder(s) is required to inform the BAM Grants Administrator of the contact details for the administrative authority at the new host organisation and arrange for the original host organisation to send a closing financial statement to the BAM Grants Administrator. SAMS/BAM will contact the new host organisation to confirm its agreement to the conditions of award and to administering the remaining grant.
- 4.2 The permission of SAMS/BAM Grant Awards Committee must be sought in advance via the BAM Grants Administrator, where significant changes are necessary to the work that will be carried out, whether or not these are judged advantageous. SAMS/BAM reserves the right to judge whether any project would be compromised by the proposed changes. If the SAMS/BAM Grant Scheme Awards Committee judges this to be the case, then the request for

significant changes will be rejected. If the project cannot continue as a result of rejection of a request, the grant will be terminated.

## 5. Publicity

- 5.1 Grant Holder(s) are required to attend and present the research outcomes at the British Academy of Management Annual Conference on at least one occasion.
- 5.2 The SAMS/BAM Research and Capacity Building Grant Scheme must be acknowledged in any publication (written or electronic) that arises as a direct result of the project.
- 5.3 SAMS and BAM must be updated on any research or materials produced from the project via the BAM Grants Administrator. Progress of projects will be publicised on the BAM and SAMS websites.
- 5.4 If the Grant Holder(s) or their employers wish to issue press statements that mention SAMS/BAM and the respective Grants Scheme, SAMS and BAM must be given an opportunity to comment on the draft by contacting the BAM Grants Administrator. SAMS and BAM will provide appropriate text to acknowledge that the work has been funded for a particular purpose but that the views expressed are those of the Grant Holder(s) and not necessarily those of SAMS or BAM.

## 6. Intellectual Property

- 6.1 SAMS/BAM will not claim any title to arising Foreground Intellectual Property generated as a result of the Grants Scheme. Any agreement of distribution of Intellectual Property ownership shall be determined between the Host Institution and their collaborating partners. Neither SAMS nor BAM shall be liable for any claim made against a third party for the infringement of Intellectual Property Rights.

## 7. Ethics

- 7.1 Grant holders are responsible for ensuring that ethical issues relating to the Project are identified and brought to the attention of the relevant approval or regulatory body. Before any such work requiring approval begins, approval must have been granted by the relevant body.

**Note: The Society for the Advancement of Management Studies and the British Academy of Management do not intend any of these terms and conditions to be enforceable by any third party.**