

# shaping society

Economic and Social Research Council  
Annual Report and Accounts 2010/2011



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Annual Report and Accounts 2010/2011

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## foreword by chair

**In my second year as Chair of the ESRC I have been highly impressed with the research council's desire to be innovative in how it works and with its strong commitment to promoting and supporting social science excellence. In a year of considerable uncertainty the ESRC has proved it has the skills and flexibility to succeed.**

First, I would like to welcome Professor Paul Boyle as the ESRC's new Chief Executive. Professor Boyle has a distinguished academic career in the social sciences and brings a wealth of academic experience and expertise, as well as the energy and drive to steer the organisation through a challenging economic period. In the short time he has been with us he has already proved he has the skills, vision and diplomacy to provide strong and effective leadership.

We also welcomed Mr Martin Coleman and Professor David Martin as new members of the ESRC Council, and Professor Ann Buchanan who was reappointed to the Council. My thanks go to retiring Council members Mr Martin Brookes, Professor Andrew Pettigrew and Professor Judith Rees for their invaluable contributions over many years.

This has been an unusually challenging year. The economic slowdown, deficit in public finances and the Comprehensive Spending

Review have put a great deal of pressure on the ESRC. It has reviewed its operations and proposed and made operational changes to ensure it can provide the best value for the funds it receives, while continuing its commitment to promote and support social science excellence. The organisation as a whole has risen to the challenge, embraced change and published an innovative and effective *Delivery Plan 2011-2015*. This ensures the ESRC and the social science research community continue to thrive despite the economic context.

The Delivery Plan is a measured and realistic roadmap which clarifies funding priorities and includes initiatives to improve the quality of training, encourage collaborations, protect core investments and focus resources to ensure the ESRC continues to fund and deliver ambitious social science – all in the most efficient way possible.

Impact remains a key objective of the research we fund, across our whole portfolio of activities. Impact maximises the benefits of the ESRC's investment in social science and ensures that its ambitious research and data resources support policy and practice across all sectors of the economy and society, in the UK and internationally. ESRC research has contributed authoritative analyses of the public funding deficit and suggested ways to

secure sustainable growth, as well as increasing understanding of innovation as the driver of our national prosperity. We aim to identify and fund research which plays a major role in informing policy, from welfare and benefits to health and education.

Effective communication is also essential to maximising impact. I am pleased to see that the ESRC is employing new and more effective ways of communicating its research to existing and new audiences, using a variety of media.

This report outlines the breadth of the ESRC's activities and details how it has met its objectives over the last year. It shows how the council continues to improve the way it works, explores better ways of engaging with its key audiences and stakeholders, and how the research it funds makes a difference to many sectors of society.

**Dr Alan R Gillespie**  
Chair ESRC



## statement by chief executive

**This has been a challenging year for the ESRC. We have had to respond to a variety of external pressures, to produce a balanced and ambitious Delivery Plan and maximise the role we play in funding social science while increasing the efficiency of our operations. I am proud of what the ESRC has achieved.**

The ESRC has for many years been a lean and tightly run organisation with a small number of staff and careful financial management. Throughout the 2010 Comprehensive Spending Review period we met our agreed targets for cost savings, including controlling the proportion of our budget spent on administration, and identified ways to reduce our administrative costs even further. We have made cost savings on recruitment and pay, and across our communication activities, and will continue to work creatively and effectively to provide good value for money. We also work closely across RCUK and with the funding councils, HEIs, and other funding agencies to increase the return on the public's investment and to avoid duplication of effort.

Published during 2010/11, the ESRC's *Delivery Plan 2011-2015* provides a decisive programme of action. It describes the leadership role we will continue to play to maximise the UK's strength in social science research and training, and to increase the

benefits of publicly funded research to the economy and society. As the national challenges facing the UK have become more acute we have sharpened our focus with the introduction of three strategic priorities.

We are working with HEIs to find the most effective mechanisms for our community to control the level of demand for research funding in the social sciences. Our Delivery Plan includes actions to increase the efficiency of our funding system to reduce the time and cost for the community in terms of applications and peer review, and to improve success rates overall. Our strategy will be to sustain the quality and reputation of UK social science research while realising even greater benefits from our research investments.

The ESRC is committed to supporting excellence. A large proportion of resources have always been allocated to the very best research groups and institutions, and we will continue to support the pursuit of excellence with a move to longer, larger awards. Our work on the Postgraduate Training Framework significantly changes the way we deliver our support for postgraduate training by developing a national network of 21 institutional or consortia-level Doctoral Training Centres through which we will deliver our support for postgraduate training.

We have developed and maintained world-leading longitudinal studies such as *Understanding Society* – which is the largest panel study in the world and whose first findings were published in early 2011 – and the existing Birth Cohorts. We were delighted to receive a £28.5-million commitment from the Government's Large Facilities Capital Fund to establish a new Birth Cohort and a Birth Cohort Facility which will support this and previous cohorts. These longitudinal studies follow individuals through their lives and improve understanding of individual and collective behaviours. We have also made strategic investments in studies based on routinely collected administrative data such as the Scottish Longitudinal Study and we are investigating how we can link further data sources to provide a more efficient data infrastructure. This can provide exciting new insights which may be impossible from individual surveys.

These and other large-scale data resources provide powerful tools for charting social and economic change. They enable researchers and policymakers to assess the effects of the economic downturn upon individuals and

groups and can be used to identify what policy instruments are needed to accelerate recovery and address social imbalances.

Partnerships are vital to our work. We work with a range of organisations, increasing the potential impact of our research and creating opportunities to secure funding from outside the research base. These partnerships include co-funding research and people exchange with public, private and third-sector bodies; joint initiatives with other research councils, funding councils and the Technology Strategy Board; work with our academic community, HEIs and learned societies; and promotion of our research to the public. Partnerships are so central to our work that our standard model for strategic research investment is now one of collaboration and co-funding through our Ventures scheme.

Many of the issues identified in our strategic priorities and cross-Council programmes are also international in scope and our international partnerships are therefore vital to achieving the global research response required to address them.

One of our most important roles is to communicate research findings and their impacts. We have focused on improving the tools we use to achieve this, completely redesigning and relaunching our website to provide improved access to our library of research findings. We have continued existing communications such as our annual *Britain in* magazine and special reports such as *Recovery Britain* which draw on economic and social research evidence to propose solutions to economic and social phenomena. We also organise an annual festival for the public which helps to promote the work of social scientists beyond the research community.

I would like to thank Drs Astrid Wissenburg for her effective tenure as acting Chief Executive before my appointment and also the ESRC staff, council and committee members for their enthusiasm and support. I am pleased to be part of such a dynamic and talented organisation.

**Professor Paul Boyle**  
**Chief Executive, ESRC**

# annual report



Highlighting Social Sciences

Maximising Impact

Impact through Excellent Social Science  
Research

Impact through Skilled People

Impact through World-Class Infrastructure

Impact through International Leadership

Impact through Partnerships

# highlighting social sciences

Key highlights of the year

## Nobel prize for CEP fellow

In October 2010 Professor Christopher Pissarides of the LSE was awarded the Sveriges Riksbank Prize in Economic Sciences in Memory of Alfred Nobel, jointly with Professors Peter Diamond and Dale Mortensen.

Professor Pissarides is a fellow of the ESRC Centre for Economic Performance at the LSE where he works on the macro programme. [cep.lse.ac.uk](http://cep.lse.ac.uk)

## The alternative census

In March 2011, BBC Radio 4's *More or Less* and *Today* programmes produced an alternative census to subjectively measure happiness and disposition. Peter Lynn, a professor of survey methodology at the ESRC-funded Institute for Social and Economic Research at Essex University, designed the questions and over 14,000 people completed the census with roughly equal numbers of men and women.

The micro survey found that respondents are generally happy – over 10,000 laugh two or three times a day, or many times a day – with fewer than 400 not at all happy. Over 10,000 respondents consider themselves optimists; and the over 65s are the most optimistic.

When asked what might make them happier almost 2,800 said a higher income, but almost as many said better health, love, or more or better sleep.

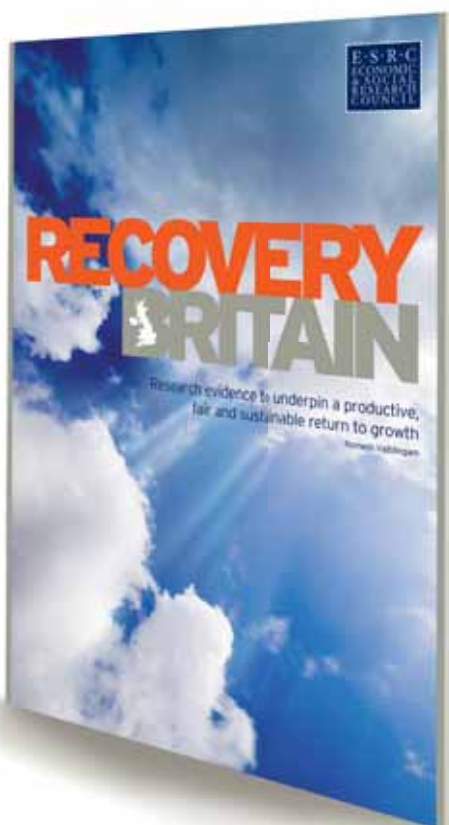
[news.bbc.co.uk/today/hi/today/newsid\\_9464000/9464609.stm](http://news.bbc.co.uk/today/hi/today/newsid_9464000/9464609.stm)

## The pathway to economic recovery

A report released by the ESRC in January 2011 offered a snapshot of what we know about our current economic situation and explored what can be learned by looking at evidence from economic and social research.

Authored by Economics writer Romesh Vaitilingam, *Recovery Britain: research evidence to underpin a productive, fair and sustainable return to growth* summarised and examined 20 key challenge areas the UK faces and offered a number of policy solutions. The report drew on analysis of a broad range of data sources and the work of numerous researchers and research institutions, including centres and programmes, funded by the ESRC.

[www.esrc.ac.uk/publications/research-publications/recovery-britain.aspx](http://www.esrc.ac.uk/publications/research-publications/recovery-britain.aspx)



## ESRC launches new web portal

In January 2011 the ESRC launched its new website offering improved navigation, greater ease of use and better access to a more searchable and dynamic research catalogue. Structured around key tasks and information that visitors require, the site was improved in response to feedback from visitors and the academic community.

This online resource is dedicated to high-quality, leading research on subjects from British business and foreign ownership, child happiness and the UK's journey from recession to recovery. Through the new research topics section visitors can access topical features, case studies, informed debate and expert opinion on a range of topics including climate change, ageing, employment and crime.

The innovative research catalogue has an improved search feature which allows users to find information they want quickly and easily. The new design of the catalogue clearly details all ESRC-funded research findings and outputs including books, papers and journal articles. There are also details of the impacts that research has had on the economy, society and individuals.

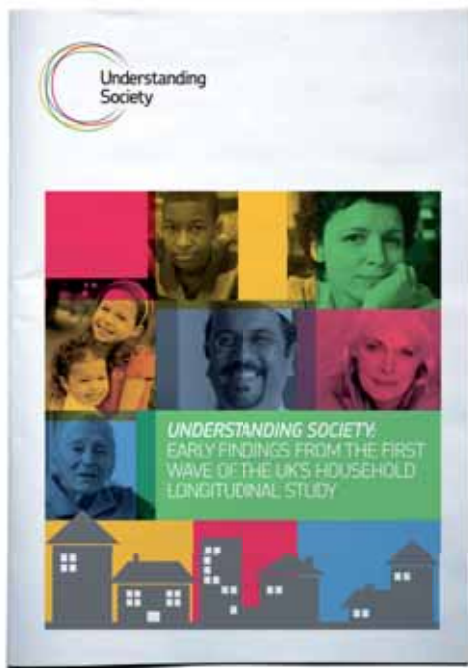
The new site is designed for anyone with an interest in the UK's society and economy. As well as the full range of the ESRC's research outputs visitors have access to expert opinion, informed debate and features on the topic of the day.

[www.esrc.ac.uk](http://www.esrc.ac.uk)



# highlighting social sciences

Key highlights of the year



## The first steps to understanding society

The first findings from *Understanding Society*, the world's largest study of households, were published in February 2011. *Understanding Society* reveals a comprehensive snapshot of UK households and offers a window into British society in the 21st Century.

The first findings include data on our working lives, relationships, health, finances and neighbourhoods and give an early taste of the social landscape of the UK as the country fell into the deepest recession for 60 years.

The study, run by the Institute of Social and Economic Research at the University of Essex and funded by the ESRC, will follow 40,000 households year by year, asking questions about a wide spectrum of areas related to working and personal lives.

[www.understandingsociety.org.uk](http://www.understandingsociety.org.uk)

## Queen's Birthday Honours

Mr Glyn Davies, former ESRC Director of International Affairs, was awarded an MBE. Mr Stuart Etherington, Chief Executive of the National Council for Voluntary Organisations and previous ESRC Board member; was awarded a Knighthood. Former Council member Professor Alison Richard, Vice-Chancellor of the University of Cambridge, became a Dame. Professor Carol Propper, Professor of Economics and Public Policy at the University of Bristol and a recently retired Council member; was awarded a CBE. Professor David Gann, Head of the Innovation and Entrepreneurship Group, Imperial College London, and UK-IRC Researcher; has also been awarded a CBE, as have Professor Tim Besley, Professor of Economics and Political Science, London School of Economics, and Mr Robert Laslett, current member of the ESRC Research Committee.

## Hard Times



In a BBC Four documentary, *The Children who Built Victorian Britain*, ESRC-funded Professor Jane Humphries examined the slave labour of orphans and destitute children as the catalyst to Britain's Industrial Revolution. Professor Humphries' moving account of child exploitation and eventual emancipation used the actual words of these child workers (recorded in diaries, interviews and letters) to let them tell their own story. Her documentary also used ground-breaking animation to bring to life a world where 12-year-olds went to war at Trafalgar and six-year-olds worked the fields as human scarecrows.

[www.bbc.co.uk/programmes/b00t6t3r](http://www.bbc.co.uk/programmes/b00t6t3r)

## Landmark funding for Birth Cohort Facility Project



The Birth Cohort Facility Project received a £28.5 million commitment from the Government's Large Facilities Capital Fund. This investment adds to the £5 million committed by the ESRC and Medical Research Council.

The Birth Cohort Study, part of the Birth Cohort Facility project, will track the growth, development, health, wellbeing and social circumstances of over 90,000 UK babies and their families – from all walks of life – and will initially cover the period from pregnancy right through the early years of childhood.

This new study has been developed by a team comprising the UK's leading biomedical and social scientists. It has been designed to reflect the rich diversity of ethnic identity and social backgrounds of babies being born in today's Britain and to include a wider and more intensive study of children during their first year of life.

[www.esrc.ac.uk/funding-and-guidance/tools-and-resources/research-resources/surveys/bcf.aspx](http://www.esrc.ac.uk/funding-and-guidance/tools-and-resources/research-resources/surveys/bcf.aspx)

## The Great British Class Survey

Launched in January 2011, the BBC's Great British Class Survey is a unique collaboration between the journalists of BBC Current Affairs, BBC Lab UK and prominent experts on class.

The largest ever survey of social class in the UK, it draws predominantly on research from the ESRC Centre for Research on Socio-Cultural Change (CRESC). The BBC's LabUK team developed the survey under the direction of CRESC's former convening director Mike Savage (now at the University of York) and sociologist Fiona Devine, University of Manchester:

The social dimension of class is receiving increasing attention, with initiatives to improve networking opportunities for people who are otherwise socially excluded. The Great British Class Survey will measure the cultural dimension of class for the first time, and the scores from the survey will be benchmarked against data collected as part of CRESC's Cultural Capital and Social Exclusion study.

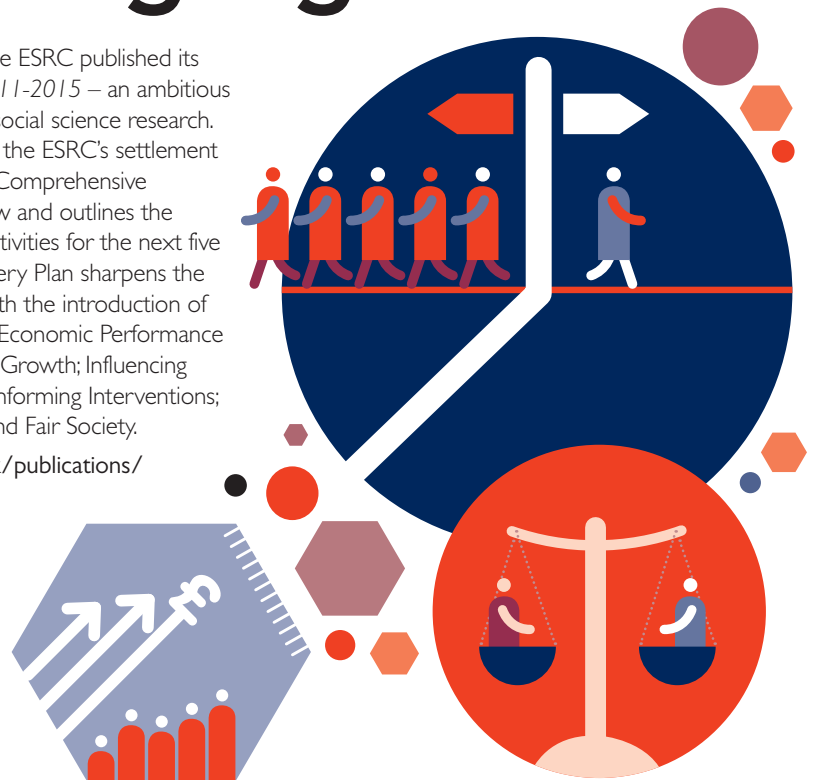
[www.bbc.co.uk/labuk/experiments/class](http://www.bbc.co.uk/labuk/experiments/class)



# Working together to deliver our strategic goals

In December, the ESRC published its *Delivery Plan 2011-2015* – an ambitious programme of social science research. The Plan details the ESRC's settlement from the 2010 Comprehensive Spending Review and outlines the priorities and activities for the next five years. The Delivery Plan sharpens the ESRC's focus with the introduction of three priorities: Economic Performance and Sustainable Growth; Influencing Behaviour and Informing Interventions; and A Vibrant and Fair Society.

[www.esrc.ac.uk/publications/delivery-plan](http://www.esrc.ac.uk/publications/delivery-plan)



## Professor Paul Boyle appointed ESRC Chief Executive

Professor Paul Boyle took up the post of ESRC Chief Executive in September 2010, taking over from Professor Ian Diamond. Before joining the ESRC Professor Boyle was Head of the School of Geography and Geosciences at the University of St Andrews and prior to moving to St Andrews in 1999 he had been at the University of Leeds.

Professor Boyle's research has been within population and health geography and he was Director of the ESRC-funded Longitudinal Studies Centre – Scotland. He was also Co-Director of the ESRC-funded Centre for Population Change, and Co-Investigator on the Wellcome Trust-funded Scottish Health Informatics Programme and the ESRC-funded Administrative Data Liaison Service.



# highlighting social sciences

Key highlights of the year

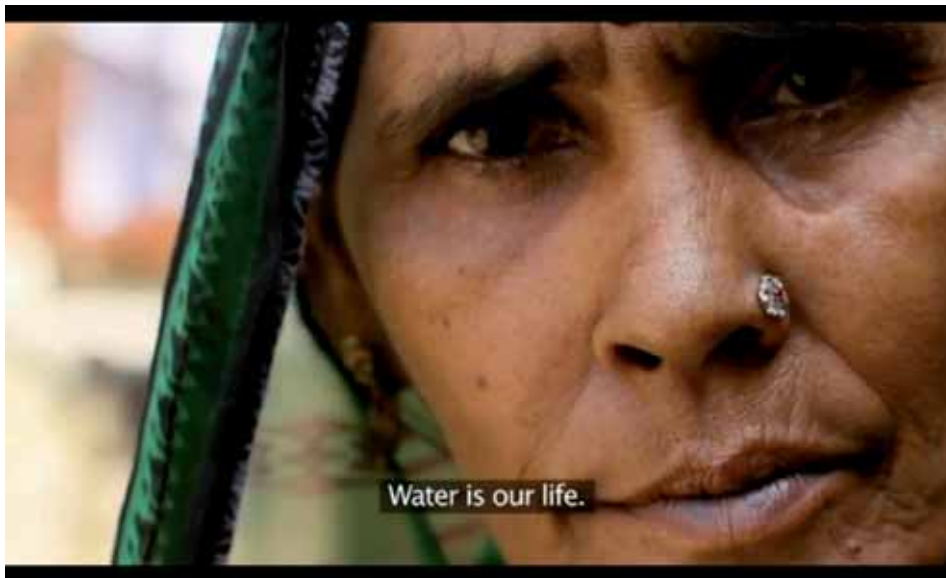
## New water and justice film

In response to World Water Day on 22 March 2010 the ESRC Centre for Social, Technological and Environmental Pathways to Sustainability, based at the Institute for Development Studies, launched a film called Water and justice: Peri-urban pathways in Delhi.

This short film tells the story of three people and their relationship with water in the towns and villages on the edge of Delhi, India – peri-urban zones that have changed dramatically in the past 15 years – where poor people often do not have good enough access to water, and have to find different ways of getting and using it. The film shows the ingenuity and determination of three people – a grandmother, a farmer and an activist – who have taken action to get better water for themselves and their families.

The film highlights the fact that mainstream strategies for water supply and management are failing the peri-urban poor in India and makes the case for better understanding of informal responses on the ground and more support for sustainable alternative water management pathways.

[www.steps-center.org/films/index.html](http://www.steps-center.org/films/index.html)



## New Global Uncertainties website



The RCUK Global Uncertainties research programme, led by the ESRC, launched a new website with an extensive outline of core research areas and related projects, news and funding opportunities. Additional resources including publications, external links, facts and figures are also available.

Global Uncertainties brings together the activities of the UK Research Councils in response to global security challenges.

[www.globaluncertainties.org.uk](http://www.globaluncertainties.org.uk)

## Measures of wellbeing

Professor Steve Pudney, Director of the ESRC Centre on Micro-Social Change at ISER, has been appointed to the Technical Advisory Group on Measuring National Wellbeing.

The group is advising the Office for National Statistics on its work in responding to Prime Minister David Cameron's call for the development of official measures of wellbeing.

## New Year Honours 2011

Dr David Butler, CBE, FBA, OA Fellow, Nuffield College, University of Oxford and Peter James Bottomley, Deputy Chair of the All Party Parliamentary Group for Social Science and Policy, were awarded knighthoods, as was the Earl John Selborne, KBE, Chair of the RCUK Living with Environmental Change programme.

Professor Helen Wallace, former Director of the ESRC's One Europe or Several? Programme became a Dame.

Professor Susan Cox, Dean, Lancaster University Management School and former member of the ESRC's Strategic Research Board, was awarded an OBE. Professor Fiona Steele, FBA Professor of Social Statistics, University of Bristol and member of the ESRC's Methods and Infrastructure Committee, was also awarded an OBE, as was Alastair Kent, Genetic Alliance UK, a reviewer for the ESRC's Knowledge Exchange Schemes.

Professor John Benington, Emeritus Professor of Public Policy and Management and a member of the Local Authorities and Research Councils' Initiative was awarded a CBE.

## The tools to achieve impact

The ESRC produced its Pathways to Impact Toolkit offering researchers advice, tools and templates to help them achieve the maximum impact of their work. The toolkit includes information on developing an impact strategy, promoting knowledge exchange, public engagement and communicating effectively with key stakeholders.

[www.esrc.ac.uk/funding-and-guidance/tools-and-resources/impact-toolkit/index.aspx](http://www.esrc.ac.uk/funding-and-guidance/tools-and-resources/impact-toolkit/index.aspx)

## Finding the causes of poverty and exclusion

The UK's largest ever research project on poverty and social exclusion was launched in 2010. The ESRC-funded project – a collaboration between the University of Bristol, University of Glasgow, Heriot-Watt University, Open University, Queen's University (Belfast), University of York, National Centre for Social Research and the Northern Ireland Statistics and Research Agency – started in April 2010 and will run for three and a half years.

The project's primary purpose is to advance state-of-the-art theory and practice of poverty and social exclusion measurement. The research will develop and repeat the 1999 Poverty and Social Exclusion Survey to improve current measurement methodologies and will produce information of immediate and direct interest to policymakers, academics and the general public. The findings will help identify the causes and outcomes of poverty and social exclusion and could have a significant impact on policies to improve the standard of living across the social divide.

[www.esrc.ac.uk/my-esrc/grants/RES-060-25-0052/read](http://www.esrc.ac.uk/my-esrc/grants/RES-060-25-0052/read)

## Centres and programmes finish research activities

A number of ESRC-funded centres and programmes finished their activities during 2010/11:

### Understanding Population Trends and Processes

The Understanding Population Trends and Processes programme finished in Autumn 2010. The programme investigated the demographic trends and socio-economic processes which affect the economy, society and the population and was designed to build capacity in secondary analysis and to promote the use of large-scale social science datasets, both qualitative and quantitative. The large-scale datasets which are currently available contain data which can potentially be used to investigate a very wide range of substantive social science research questions.

[www.uptap.net](http://www.uptap.net)

### Centre for Analysis of Risk and Regulation

The ESRC Centre for Analysis of Risk and Regulation is a major interdisciplinary research group based at the LSE. The centre's work has been dedicated to the analysis of risk management and regulatory practices in a variety of national and transnational institutional settings, and organised around three broad areas of enquiry: operational risk and resilience; risk governance; regulation and markets. The centre will continue to operate as a hub for a wide range of different projects and activities.

[www2.lse.ac.uk/researchAndExpertise/units/CARR/home.aspx](http://www2.lse.ac.uk/researchAndExpertise/units/CARR/home.aspx)

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## Public Services Programme

The ESRC Public Services Programme came to the end of its five-year lifespan, during which 47 projects were funded throughout the UK and beyond, and over 100 meetings and workshops held. The final conference of the Public Services Programme, Public Services in the 2010s: Prosperity, Austerity and Recovery, was held in London in December and drew on the lessons of the programme's research to explore how this knowledge can be applied to the challenges of managing public service performance in the 2010s. The conference included keynote contributions from Sir Gus O'Donnell (Cabinet Secretary) and Martin Weale (Director of the National Institute of Economic and Social Research).

The programme's website remains available as a valuable resource of publications and information about the research projects.

[www.publicservices.ac.uk](http://www.publicservices.ac.uk)

# maximising impact

The social sciences are essential to developing the international competitiveness of UK business and the wellbeing of citizens in the UK and beyond. The ESRC generates vital knowledge that helps a wide range of individuals, communities and organisations. Social science impact includes direct and quantifiable economic benefits, wider social impacts that benefit society such as effects on the environment, public health or quality of life, and impacts on government policy, civil society and professional practice.

## Delivering impact

Maximising the benefits of our investment in social science is central to our *Strategic Plan 2009-14*. This measures success through five objectives: impact through excellent social science research; impact through enhanced national capability; impact through better national data infrastructure; impact through partnerships; and impact through international leadership.

As our Strategic Plan illustrates, creating, assessing and communicating impact is not a separate part of our strategy – it is central to all our activities. This was further illustrated by the *ESRC Delivery Plan 2011-2015*, published following the announcement of the 2010 Comprehensive Spending Review settlement. The Plan is an ambitious programme of social science research with clear and powerful benefits for the UK economy and society.

The beginning of the year also saw the introduction of our new committees and Peer Review College and networks to give a more integrated approach to our research and training portfolios, and to integrate impact and international activity in all areas of our work. Our new governance will further deepen our engagement with both our academic and user communities, and involve public users with our governance structures.

The following pages review our work during the year and demonstrate the breadth and impact of the research we fund through our five impact objectives.



# impact through excellent social science research

The ESRC is committed to supporting the very best research with scientific excellence as the primary criterion for funding. All our funding opportunities are highly competitive and only those proposals judged by experts in the field to be of the highest scientific quality are supported.

We have continued to invest in the best research while also aiming to enhance the impact of our funded research on society. We will continue to encourage and support research applications which demonstrate one or more of innovation, interdisciplinarity and impact. The ESRC also endorses the Research Councils UK (RCUK) statement on our expectations of researchers to achieve both academic and economic and societal impact.

During 2010/11 we received our settlement from the 2010 Comprehensive Spending Review and our *Delivery Plan 2011-2015* has had an impact on our research funding during the year in two principal ways:

- The uncertainty about our future budget led us to delay or cancel the operation of some of our funding schemes to minimise our potential liabilities in the event of a significantly reduced budget. Fortunately this was not the outcome but it does mean that, for example, there was no competition for new research centres this year.
- The need for greater administrative efficiency prompted us to look closely at the configuration of our various schemes and funding opportunities and to end or amalgamate a number of them. Most notably, this included the termination of the small grants scheme and the merging of the first grants and postdoctoral fellowship competitions into a single, new early career scheme for future research leaders.

During the year we also introduced a number of changes to increase the efficiency of our grant assessment process, not least the introduction in summer 2010 of our Peer Review College with over 1,800 members. In February 2011 the responsibility for the administration of our grants processing transferred to the RCUK Shared Services Centre and we expect this to deliver further efficiencies in the coming years.

## Research Support Mechanisms

We support research through a number of mechanisms. In very broad terms these can be categorised as either:

- Responsive funding: This allows individuals and research teams to put forward research proposals in any area within the ESRC's remit without it having to fit within a particular set of priorities.

- Directive funding: This enables us to support new work within our strategic priorities by inviting proposals against a specific research brief and topic area. In practice, this is not an absolute distinction and many of our funding schemes will contain both responsive and directive elements.

The ESRC spent approximately £110 million during the year on supporting research. The following highlights our progress this year in terms of addressing our priorities, funding work of the highest quality and ensuring that it creates new knowledge with clear benefits for society.

## Responsive research

We are committed to providing a range of funding opportunities at all stages of the research career, from the post-doctoral level through to large-scale funding and professorial fellowships for more senior, established researchers. These all allow for single and multidisciplinary projects, including work that goes beyond the social sciences and addresses important issues across the social sciences and the physical and environmental sciences; health and medicine; and the arts and humanities. Much of this responsive work is innovative in terms of its theory or methodology and has significant policy and practical impacts – such impacts are not confined to our directive research.

Researchers with excellent ideas for research projects can seek funding through the ESRC's Research Grants Scheme. The scheme now ranges from £200,000 to £2 million (as of February 2011) whereas the lower threshold was previously £15,000 for small grants. During 2010/11 the ESRC received 884 applications and 141 awards were made. This means that a large number of highly rated proposals were not supported and the success rate for standard and small grants was

**£110 million**  
spent on supporting  
research during the year

ESRC's Research  
Grants Scheme  
now ranges from

**£200,000**  
to **£2 million**

only 16 per cent. One consequence of this is that we are now working closely with the universities and the social science community to explore ways to address this high-level of demand and the consequent low success rates, to reduce the amount of wasted effort within the current system.

Our First Grant Scheme enabled new researchers and academics at the start of their careers to gain experience of managing and leading research projects. Demand for the scheme was high with 208 outline applications received in the 2010 competition. Twenty-three new awards were recommended across a broad range of areas including work on care services for older people, infant mortality, development of economic theory, school leadership and public housing regeneration.

For experienced researchers requiring longer-term or extended support above £1.5 million we ran a Large Grants competition. One new grant was made through this scheme in 2010:

**Professor Harvey Whitehouse – University of Oxford**  
**Ritual, Community, and Conflict**

Professorial Fellowships are designed to support the UK's leading social scientists by providing the time and funding to pursue an exciting research agenda, and to carry out innovative and creative work. From 32 applications, three new Professorial Fellows were agreed for funding in 2010:

**Professor Gerry George – London: Imperial College**  
**Resource Constrained Innovation and Inclusive Growth: A Research and Practice Agenda**

**Professor Christopher Hood – University of Oxford**  
**When the Party's Over: The Politics of Austerity in Public Services**

**Professor Helen Margetts – University of Oxford**  
**The Internet, Political Science and Public Policy: Re-examining Collective Action, Governance and Citizen-Government Interactions in the Digital Era.**

### Directed research

The ESRC *Strategic Plan 2009-2014* outlines the major research challenges ahead. This was supplemented and updated by our *Delivery Plan 2011-2015* that sharpened our focus with the introduction of three strategic priorities. These priorities will enable us to address some of the most pressing and difficult scientific and policy questions facing both the UK and the wider international community. They also map closely onto the RCUK cross-Council programmes – all of which have a significant social science component – and the wider public policy agenda.

The three priority areas are:

- Economic Performance and Sustainable Growth
- Influencing Behaviour and Informing Interventions
- A Vibrant and Fair Society

We address these priorities by investing in large-scale activities such as centres and programmes; developing new capacity and infrastructure; and supporting the co-production and exchange of research knowledge to maximise impact. Most of these challenges are interdisciplinary in nature and much of the work is funded jointly with other research councils or other partner organisations that share our values of quality, impact and independence.

The majority of new work agreed in 2010/11 to address these challenges was through collaborations with other research councils and research users, using the ESRC's Ventures fund. Five new ventures were agreed in 2010/11. These included:

**Assisted Living Innovation Platform:** This Ventures initiative with the Technology Strategy Board (TSB) aims to significantly advance the technology needed to meet the demand for independent living from people suffering from chronic long-term health conditions.

**Trusted Services:** Also with the TSB, this venture features research to help accelerate the development and deployment of more secure and trustworthy information systems within digital Britain and the wider global economy. It targets the increasing risks that consumers, businesses and public sector organisations face, and contributes to the RCUK Global Uncertainties Programme.

**Environmental Services and Poverty Alleviation:** Led by the Natural Environment Research Council this venture formed the first call for new research under the Living with Environmental Change (LWEC) cross-Council programme. Twenty-seven catalyst grants and 16 two-tier grants have been funded, with all of the former and three quarters of the latter having social scientists working on the awards.

**Tax policy in a context of change:** An ESRC-led venture in partnership with Her Majesty's Revenue and Customs. Seven projects have been funded addressing the following areas:

- Improved understanding and modelling of behavioural impacts on tax policies and administration.
- Optimising economic and organisational efficiency in the design and administration of tax policies and operations.
- Developing better approaches to forecasting and modelling of the effects of tax structures and tax reforms.
- Comparative learning from international approaches to tax policy and administration.

**Energy and Communities:** An ESRC-led venture with funds from the RCUK Energy Programme and close collaboration with Department for Energy and Climate Change. Seven projects have been funded that will advance understanding of the issues surrounding energy use within communities with a view to contributing to the Government's greenhouse gas emissions targets.

In addition to collaborative venture funding, we work with our fellow Research Councils where novel, multidisciplinary approaches are needed to solve many, if not all, of the big research challenges over the next ten to 20 years. To achieve this, RCUK co-ordinates the delivery of multidisciplinary research in several priority areas. The ESRC participates in the following programmes, providing social science expertise:

- Digital Economy
- Energy
- Food Security
- Global Uncertainties (GU)
- Lifelong Health and Wellbeing
- Living With Environmental Change (LWEC)

We lead on the RCUK Global Uncertainties Programme. The programme examines issues such as crime, terrorism, ideologies, arms proliferation and cybersecurity – research areas where the social, physical and natural sciences can work together on solutions across traditional disciplines.

Highlights for the year include:

- Two 'sandpits' (facilitated, brainstorming events lasting several days) in December 2010. The first, on aviation security, was organised by the ESRC in collaboration with the Office of Security and Counter Terrorism and Centre for the Protection of the National Infrastructure (UK), and Department of Homeland Security (USA), and was the second stage of a process that began with a sandpit in the USA in August 2010. The second sandpit, 'Who Do You Think You Are', was organised by the Engineering and Physical Sciences Research Council in collaboration with the Government Communications Headquarters.
- The second annual event for the GU Programme took place on 31 January 2011. The event was well attended and a wide range of organisations represented.
- A research synthesis exploring knowledge about public attitudes to the issues addressed by the Programme highlights the need for systematic research into public attitudes in these areas, including the role played by social media and other information networks in forming public opinion.
- A Citizens Forum under LWEC to identify research priorities and comment on strategic aims for the partnership; and identify areas of particular public concern about environmental change.

### Evaluation – demonstrating academic impact

The ESRC's innovative and pioneering evaluation continues to look closely at the outputs and assess the impacts of research and other funded activities.

During 2010 the ESRC commissioned and completed ten independent evaluations of major investments and schemes, published further

benchmarking of the international performance of UK social science, and extended our evaluation of the policy and practice impact of ESRC research to assess the impact of our investment in research resources, and 'skilled people'.

Evaluations have provided assessments of the academic quality and practical impact of a range of our research, including major initiatives on the world economy and finance, teaching and learning, energy and gender inequality, as well as key mid-term evaluations of some of our ongoing support for research resources and data infrastructure.

**229**  
individual  
research projects  
evaluated

**96%**  
graded  
Outstanding  
or Good

The evaluations underline the very high quality of ESRC research, with a wide range of important contributions to social science theory and methods, as well as valuable advances in empirical understanding. We also completed the evaluation of 229 individual projects. The results show high-quality academic impact, with 96 per cent of all research projects being graded Outstanding or Good – indicating that work has made a significant research contribution – through an independent peer review process.

The ESRC is sponsoring a series of reviews in partnership with professional associations to benchmark the international academic impact of UK social science disciplines. Following previous assessments of social anthropology, political science, economics, and sociology, a review of UK psychology was carried out this year in partnership with the British Psychological Society, the Experimental Psychology Society and the Association of Heads of Psychology Departments, and in collaboration with the other Research Council funders of psychology research. The review panel of leading international experts concluded that the quality of UK Psychology research is high, bettered only by the USA, and that in a substantial number of areas UK psychology is unsurpassed anywhere in the world. Further benchmarking work will soon be underway with a review of UK human geography and environmental planning in 2011.



# impact through skilled people

The ESRC plays a key strategic role in promoting and supporting the training of members of the UK social science community throughout their research careers. We invest in high-quality research training and development opportunities to produce skilled researchers able to tackle the most pressing social and economic challenges, and to have a broader impact on society.

## Delivering excellence in doctoral training

The development of the social science skills base within the UK continues to be a priority for the ESRC and we take a strategic lead to improve the quality of postgraduate training across the social sciences. We continue to be the single largest funder of social science postgraduate training within the UK, with an investment of over £47 million per year supporting almost 3,000 students.

**£47 million**  
invested annually  
in postgraduate  
training

**3,000**  
students supported

The past year has seen the commissioning of a new national network of 21 institutional or consortia-level Doctoral Training Centres (DTCs) as part of our new Postgraduate Training Framework. These are major centres of excellence in postgraduate training which cover the full disciplinary range of the social sciences, and interdisciplinary research, providing innovative approaches to both the delivery and content of postgraduate training. For the first time transferrable skills training is embedded in the core training

provision, with the DTCs offering both innovative methods of ensuring researcher development and novel opportunities for postgraduate researchers to gain experience of working with user groups through a series of people-exchange initiatives.

During 2010/11 the strategic desire to strive for excellence and to sustain the highest standards for postgraduate training – increasingly important in a tough climate for public sector finances – resulted in the ESRC devising and introducing a revised Doctoral Training Network. This has resulted in a more targeted approach to postgraduate provision but we are confident that the new DTC network will play a pivotal role in enhancing postgraduate training provision and provide the highly skilled social scientists required to meet the research challenges of the future.

## New opportunities for engagement and exchange – collaborative training

Collaborative training enables researchers to develop the relevant skills to undertake excellent research, work effectively with and in user organisations, and exploit the outcomes of their research. As part of our commitment to deliver impact through people, in 2010 the ESRC has supported a number of opportunities, including jointly sponsored Collaborative Awards in Science and Engineering (CASE) awards, internships for ESRC-funded students and Knowledge Transfer Partnerships.

The Knowledge Transfer Partnership (KTP) programme, funded by the Technology Strategy Board with 17 other funding organisations, enables organisations across the private, public and third sectors to improve their competitiveness and productivity by accessing the knowledge skills and technology that reside within UK universities. During the year we supported 168 KTPs, of which 55 started in 2010/11. The number of KTPs that we support has steadily increased in recent years, due to the greater number of projects being co-funded. The ESRC contribution to Knowledge Transfer Partnerships and Knowledge exchange activities in 2010/11 was just over £4.8 million.

ESRC PhD students have the opportunity to extend their award with a three-month placement in a non-academic host organisation within the public, private or third sector. Students work on specific projects involved with public or organisational policy. During the year 40 student internship awards were made and of those internships funded, 77 per cent took place with the public sector; 15 per cent with the third sector and eight per cent with the business sector. Unfortunately the reduction in public-sector spending and pressures on all sections of the economy reduced the number of host organisations able to support internships in 2010/11.

The CASE Studentship scheme creates opportunities for students based in UK academic institutions to carry out research in conjunction with private, public or third/voluntary sector organisations. This year 49 CASE awards were funded through the CASE competition and of those awards 55 per cent took place with the public sector; 27 per cent with the third/voluntary sector and 18 per cent with the private sector.

# 168

Knowledge Transfer Partnership programmes supported during the year

# £4.8 million

contributed by the ESRC to Knowledge Transfer Partnerships and Knowledge exchange activities



The new Postgraduate Training Framework has been designed to strengthen the opportunities for students to undertake collaborative training. The DTCs will have more flexibility to forge and deepen their own partnerships by using their quota allocation to fund collaborative awards as well as creating opportunities for students to develop their transferable skills through placements or internships. As a result, from 2011/12 the ESRC will no longer be running a separate CASE studentship competition.

### **Engagement and exchange through placements**

Placements are an important way to bring social science research and expertise to bear on key issues of public policy or business strategy and for academics to build up their knowledge of policy and practice contexts, and to broaden their skills. The ESRC's Placement Fellowship Scheme supports the placements of academic social scientists with organisations in government, the third sector and business to work on specific projects where their academic expertise can add value.

The scheme is highly regarded by sponsoring organisations such as the Department for Business, Innovation and Skills which has supported a number of placements. As well as the department benefiting from the range of skills Fellows bring, the Fellows themselves have developed new skills in new contexts and their findings have fed into policy development.

The current difficult environment for public sector finances, as well as the discontinuity resulting from the election and change of government,

tended to limit the number of new Fellowships in the public sector in 2010/11. Placements were nevertheless initiated with the Department for Communities and Local Government, the Intellectual Property Office and the Ministry of Defence.

In addition a number of placements in the public sector initiated in previous years were successfully concluded in 2010/11, covering areas as diverse as behavioural economics and its role in shaping Government policy, the impact of the business cycle on productivity, the measurement of cultural value, the current state of the UK's electoral registers and the social implications of the eradication of bovine tuberculosis.

Beyond the public sector, the Fellowship Scheme funded new academic placements at the TUC (to study collective bargaining) and four new placements with a range of third sector organisations, including the Institute for Research and Innovation in Social Service, the Social Enterprise Network and the National Association for Voluntary and Community Action. Finally, in the business sector, a further Fellowship placement, Trading risks: the role of European firms in the global reinsurance market, was awarded to Professor Paula Jarzabkowski of Aston University to develop a database linked to her initial work on underwriting and brokering practices in the London and Bermuda reinsurance markets. This was also conducted through a placement Fellowship with the Insurance Intellectual Capital Initiative, an insurance industry network.

### Developing the skills of UK social scientists

Developing the social science skills base in the UK takes us beyond doctoral level investment and we continue to provide support for researchers across all the key stages of their career. In 2010 we ceased the Postdoctoral Fellowship and First Grants Scheme which were integrated to provide a single flexible scheme designed to develop our Future Research Leaders. We also discontinued the Mid Career Fellowships Scheme as it was not meeting its original objectives and support for Mid Career academics could still be supported through the research grants scheme.

We remain committed to expanding training and development opportunities by building a national training infrastructure that can meet the development needs of the social science community. Central to this is the Research Development Initiative (RDI) alongside the DTC provision. The RDI was established in 2005 with the aim of supporting the development needs of researchers across all stages of the academic lifecourse. This initiative has supported over 50 projects including current training events on the Development of the Research Skills of Mid Career Social Work academics at Middlesex University and International Comparative Analysis of Qualitative Data at the London School of Economics. In 2010 a further call under the RDI was launched that focused on quantitative methods with the aim of training quantitative methods teachers.

### Maintaining the health of social science

Maintaining the health of the social science base is a persistent challenge that is central to our strategy to build future capacity. The ESRC takes a strategic lead in this area by supporting growth and development across all areas of social science, while making strategic interventions in those areas where there are particular skills shortages or the need to develop future high-quality research capacity.

The new DTC network is our key vehicle for supporting the health of social science at the doctoral level, supplemented by targeted initiatives to address other areas of skills shortage. In allocating studentships to our DTCs we have balanced the need to allow institutions as much flexibility as possible to allocate studentships to the best students on the strongest pathways with the need to ensure that capacity is built across all social sciences and particularly in priority areas. To this end we have set a series of benchmarks which offer a guide to the proportion of students that we aim to fund in each discipline. Alongside this, for the ESRC priority disciplines set out in our *Delivery Plan 2011-2015*, we have set specific targets for the number of students DTCs with strong provision in these areas must support.

Alongside our investment in Doctoral Training over the past year we have undertaken further targeted activity to build capacity in our priority areas.

### Quantitative Methods

We are now in the second phase of the initiative to develop capacity in quantitative research methods (QM) throughout the academic lifecourse – from undergraduate level through to more established



research at the mid-career stage – with partnership funding from the Higher Education Funding Council for England and the British Academy. Informed by the work of Professor John McInnes at the University of Edinburgh, who was appointed in 2009 as the ESRC's strategic advisor for this area, we have developed a coherent programme of activity aimed at enhancing undergraduate teaching across the social sciences. As part of this we have recently launched a £1.7 million joint call to facilitate QM curriculum development and the embedding of teaching of QM into the undergraduate timetable, and to invite proposals to expand the number and quality of QM teachers.

We have continued to work to strengthen capacity in economics, where we have maintained enhanced stipends for doctoral students. We have also initiated a second phase of the targeted initiative to build capacity in macroeconomics, in partnership with HMT, with a call to support postdoctoral fellowships with the aim of retaining excellent scholars to pursue research careers. The initiative was developed in response to the economic crisis and the findings of the international benchmarking review, published in December 2008, and under its first phase awarded 14 studentships. We are currently exploring further opportunities to address capacity-building in the medium term.

In the area of management and business, in partnership with the British Academy of Management, the Society for the Advancement of Management and the UK Commission for Employment and Skills, the ESRC has agreed to support a second cohort of fellowships aimed at attracting new recruits in the area, including those trained in other social science disciplines and those with strong professional experience in the field.

# impact through world-class infrastructure

The ESRC continues to drive the development of national social science research infrastructure and pioneering research methods essential for researchers seeking to answer some of the most pressing questions facing our economy and society. Our ongoing commitment to such underpinning infrastructure and key longitudinal studies has been central to the ESRC's strategy in the past year and will continue in the years to come.

## A world-class data infrastructure

A world-class research infrastructure is critical to the national research and policy needs. This enabling infrastructure, coupled with skills and leading-edge methods, opens up fresh understanding of extensive data to address a range of policy-related issues and provides powerful tools for charting social and economic change.

At the heart of the research infrastructure are the internationally renowned longitudinal studies. Three internationally renowned birth cohort studies – the 1958 National Child Development Study, the 1970 British Cohort Study and 2000/01 Millennium Cohort Study – have continued to be hosted and managed by the Centre for Longitudinal Studies (CLS) at the Institute of Education. These studies follow lives from birth and through the adult years and the CLS is planning new waves of data to be collected under each of the studies. Existing data are exploited by researchers within and beyond academia undertaking a range of policy-relevant research and have contributed to debates and enquiries in a number of policy areas.

To extend our knowledge of babies and young children today, the development of a new Birth Cohort and a Cohort Resources Facility has been central to our strategic activities in the past year. With the news that both components are to be funded from the Government's Large Facilities Capital Fund, this will become an important and groundbreaking study for social and biomedical researchers, and is an example of close collaboration with the Medical Research Council.

This major new Birth Cohort Study will track the growth, development, health, wellbeing and social circumstances of over 100,000 UK babies and their families. The study will collect both socio-economic and biomedical data allowing the critical interplay between 'gene-environment' interactions and their impact on child development to be explored on an unprecedented scale in the UK. The study will be the largest of its kind in Europe and is aiming to launch its initial data collection phase in or around 2012, led by the Institute of Child Health at University College London.

The second component of the Project is the Cohort Resources Facility. This will provide strategic co-ordination for the UK's existing and future portfolio of longitudinal studies, ensuring that these key resources



are fully exploited for scientific study and policy analysis. The Cohort Resources Facility is due to be launched in 2012.

*Understanding Society*, our exciting study of the socio-economic circumstances and attitudes of individuals in around 40,000 British households, has released half of the first wave of data. *Understanding Society* represents a step change in the ambition of social science research, demonstrating the 'living laboratory of British life'. As a longitudinal survey, it provides unique insights into British society in the 21st Century, allowing researchers, policymakers and the general public to learn about changing patterns of family life, people's experiences of work and education, their health and their attitudes to issues such as climate change and community. *Understanding Society* builds on the achievement of the highly successful British Household Panel Survey which is heavily used by government departments and by researchers within and outside the UK.

The first release of the first year of data from *Understanding Society* was in 2010; the first longitudinal data release is scheduled for the end of 2011. The early data already collected from approximately 14,000 households were made available via the Economic and Social Data



Service (ESDS) and a summary of 'First Findings' was published early in 2011. The first findings demonstrate the breadth and depth of research potential of *Understanding Society* and cover a wide range of areas of people's lives and experiences. From family life, employment during the recession, to young people's attitudes to climate change, there is a wealth of information across a wide range of topics. The ESRC continues to look at ways of encouraging and supporting analysis to maximise the impact of this world-leading study.

The ESRC is also committed to maximising access to social and economic data resources and improving links between existing yet under-used administrative and other transactional data. There is a vast array of untapped data collected by government departments and private sector organisations that could be used to improve the health and wealth of the nation. Such data are taken advantage of in other countries, notably in Scandinavia and more recently in the Netherlands, reducing the cost of official statistics and producing powerful new informational tools, and the UK is now seeking to exploit such resources in the same way.

The ESRC will continue to push for improved access and for linkage opportunities between existing administrative and other transactional data. The foundations for opening such access to administrative data resources have been laid by the Administrative Data Liaison Service. It is tackling legal and ethical issues which stand in the way of opening up administrative data sources and working closely with both government and researchers. Through linking administrative datasets it is possible to create new, powerful databases for research purposes. The Scottish Longitudinal Study has made significant steps in this regard and continues to discuss making bolder moves to harness such data to help both policy and research development.

Such linked datasets are a relatively new development. However, our investment in data resources has a long history. This is exemplified by the ESRC-funded British Election Study, which is the longest running

survey of its kind in the world. In the 2010 election year, this study provided valuable insight into topics such as turnout and political participation, campaign dynamics and election outcomes, elections and democratic citizenship, and inter-election dynamics of public opinion and party support.

Another well-established major survey collecting data in 2010 was the award-winning European Social Survey. This survey provides critical comparative data on changing social, economic and political attitudes and behaviours across the diverse populations of Europe. Thirty countries participate in the survey, co-ordinated by an ESRC-funded team. The data, including the latest releases, are accessed by over 38,000 registered users from over 200 countries worldwide. The international reach of other data resources is being further exploited by small projects funded through the Collaborative Analysis of Micro-Data Resources (Pathfinders) scheme. Collaborations between research teams based in the UK, India and Brazil are underway, with projects between teams based in the UK, China and South Africa due to start in 2011.

#### Maximising data access

The ESRC, working in collaboration with a wide range of partners, is maximising access to social and economic data. The UK Data Forum, which brings together stakeholders from the public and private sectors and civil society to improve access to existing data resources, also co-ordinates co-funding of future data priorities to deliver the National Data Strategy. This partnership forum is an effective way to develop the UK data infrastructure funded by the ESRC, which is accessed by over 41,000 registered users including more than 4,000 users from outside the academic community.

**22,000**  
new registrations  
to use ESDS data

**56,000**  
datasets  
delivered to  
researchers

High-quality data storage, data management and data discovery systems are critical to ensuring simple and effective access to such data. Access to the vast majority of the major datasets available to the research community is provided by the ESDS, funded by the ESRC with the Joint Information Systems Committee. This year saw about 22,000 new registrations to use data held by the ESDS, which also delivered more than 56,000 datasets to researchers. The ESDS continues to receive and make available updates to some of the most important longitudinal, government and international studies. The service has made available Special Licence modules of the British Crime Survey (2008-2009), the newly redesigned Scottish Crime and Justice Survey

(2008-2009) as well as next waves of the British Household Panel Survey and English Longitudinal Study of Ageing. It also added new international resources, such as the United Nations Commodity Trade Statistics Database.

The ESDS remit is not limited to providing access to data. The service provides support to its users through training and capacity-building activities. It has continued to promote the use of data by supporting researchers in data management-related issues and by providing instructions in data analysis and related skills to educators.



Providing safe and secure access to sensitive data whilst protecting the disclosure of personal identities remains a top priority of the ESRC. That is why we established the Secure Data Service (SDS). In a short period of time, the SDS has proved itself as a key investment promoting excellence in research by enabling safe and secure remote access by researchers to data previously deemed too sensitive, detailed, confidential or potentially disclosive. With the help of the SDS these data are now being made available for research purposes to answer complex questions of modern society and to better inform policy-making. Last year we made a major investment to fund the expansion and extension of the service. The SDS and the ESRC have been working closely with the Office of National Statistics to ensure the transfer of sensitive data into the service and, through co-operation over the last year, the SDS was operational and launched its full service in spring 2011.

Our Census units located across all parts of the UK give UK academic researchers access to data from the UK censuses from 1971 to the present day. In Census year we are continuing to work in partnership to develop access for the 2011 Census data and this activity will be a priority in the coming year.

Partnerships are paramount to develop the national social science research infrastructure and enable access. Following consultation with key partners, our Research Data Policy has been revised and published in autumn 2010. The policy aims to support our award holders who collect, produce and re-use data, and is built upon the principle that publicly funded research data are a public good, produced in the public interest and therefore should be openly available to the maximum possible extent. We are committed to long-term preservation, high-quality data management and strengthening the provision for secondary data analysis. A structured approach to data management throughout the research lifecycle will enable better quality data that are ready for depositing for further sharing. To support this, data management plans are now required of all ESRC investments planning to generate data.

### **Pioneering research methodologies**

Leading-edge research methods development is critical to social science. Researchers continue to develop new statistical analysis techniques for exploiting data resources and for researchers to link and integrate data. To maximise the impact of our research it is essential to equip social scientists not only with the best datasets but also leading-edge research methods.

Advances in digital technology and practice are being promoted through the ESRC's new Digital Social Research programme. The deluge of 'born digital' data has the potential to be an important future source of research data, but there are challenges in adopting it within social science research. The ESRC programme, which will offer funding opportunities in 2011, is developing and promoting the use of digital tools, techniques and practices to benefit social science research, and developing a coherent inter-agency approach to maximising the adoption and impact of new digital technologies across the social science community.

E-social scientists have been working closely with other research methodologists, as exemplified by the range of high-quality applications submitted in response to the 2010 National Centre for Research Methods (NCRM) Node call. Through its research programme, the NCRM leadership team based in Southampton seeks to stimulate new developments in both quantitative and qualitative research methods and to be responsive to needs and opportunities that arise. In the past year, the competition for funding for the three-year awards resulted in six successful applications due to start later in 2011.

# impact through international leadership

The ESRC is an international leader within the social sciences. We foster international collaboration with a wide range of international partners and through a number of joint schemes, and we enable UK social scientists to collaborate with the very best researchers from around the world.

## Success for social science in Europe

During 2010/11 the ESRC continued to work to enhance and strengthen opportunities for collaborative research within Europe. The major highlight this year was the announcement of projects supported under the innovative Open Research Area, a new way of funding international research with the Agence Nationale de la Recherche (ANR), Deutsche Forschungsgemeinschaft (DFG), the Netherlands Organisation for Scientific Research (NWO), and co-ordinated in 2010/11 by the ESRC. In total 15 collaborative projects will receive support that will advance our understanding of society and provide positive benefits not just for the countries involved but for the Europe Union as a whole and beyond. Projects will address important issues such as climate change, children's welfare and the uncertainty of economic markets.

UK-based social science and humanities researchers also continue to be successful in receiving support from the European Research Council's Advanced Investigator and Starting Grant schemes, receiving just over 25 per cent of all awards made in the social sciences and humanities – by far the largest national contingent. This success is replicated in the Socio-Economic Sciences and Humanities programme within the EU's Seventh Framework Programme, where three of the five awards addressing major research challenges were won by UK-led teams, and the overall success of UK participants remains well above average. The ESRC hosts the National Contact Point for this programme, encouraging and supporting the UK research community in maximising EC funding opportunities.

## Extending beyond Europe

Extending the potential for UK social scientists to collaborate beyond Europe continues to be a priority and this year we have continued to strengthen our partnerships globally, working closely with the UK's Science and Innovation Network and the RCUK Officers in Beijing, Delhi and Washington.

A particular highlight has been our joint call with the Biotechnology and Biological Sciences Research Council (BBSRC), the US National Science Foundation (NSF) and the US National Institute of Health for collaborative projects involving researchers from the UK and US under the NSF's Ecology of Infectious Diseases programme. A number of jointly funded projects will be announced during 2011.

With assistance from the Science and Innovation Network team we held two workshops in collaboration with US agencies in areas of



mutual strategic interest in the areas of Health Disparities, with the NIH; and on the Role of Wellbeing Measures in Public Policy with National Institute on Aging (NIA) and hosted by the US National Academies of Science (NAS). Following the success of the latter event, the NIA and the ESRC are planning to co-fund a NAS Panel on Measuring Subjective Wellbeing. The Panel will offer guidance on adopting subjective wellbeing measures as part of a nation's statistical apparatus and used to inform social and economic policies.

In March, the ESRC, along with the Arts and Humanities Research Council, announced that it would be partnering the Joint Information Systems Committee to strengthen UK participation in the international grant competition Digging Into Data, designed to spur cutting-edge research in the humanities and social sciences based around new analytical techniques and new forms of data with research value. The initiative involves eight international research funders representing Canada, the Netherlands, the UK and the US.

We have continued to develop our relations with the Indian Council for Social Science Research (ICSSR), agreeing funding for a further

nine scholar exchanges. In January, building on their experience over the Open Research Area, as well as their own bilateral schemes with India, the ESRC, ANR, NWO and the DFG signed a Memorandum of Understanding with the ICSSR to develop a joint social science networking scheme which will link leading research centres in the participating European countries and India. RCUK Delhi is playing a leading role in facilitating negotiations with the ICSSR on behalf of the European partners, working closely with counterparts in the DFG India Office.

With the Japanese Society for the Promotion of Science we announced the co-funding of two research seminars and held a collaborative symposium on Ageing in Urban Environments. The symposium brought together researchers and policymakers from Japan and the UK involved in developing new approaches to improving the quality of life for older people living in urban environments.

We continued to build on our successful relationship with the Research Grants Council of Hong Kong, funding four new awards under the third call of our bilateral agreement. Projects funded under this round will be exploring lifestyle migration in East Asia, poverty and social exclusion in Hong Kong, age diversity and career development, and the integrity management framework in British, Chinese and Hong Kong public services.

In addition to international partnerships, we also work with a range of UK-based partners in pursuit of our international strategy. This year saw the announcement of a new £9.9-million joint programme with DFID on economic growth in developing countries. This programme will commission research under three themes related to economic growth in Low Income Countries with high potential for impact on policy and practice: Agriculture and growth; Financial sector development and growth; Innovation, diffusion and economic growth.

The £23-million second phase of the joint scheme with the DFID on poverty alleviation is being commissioned in three annual calls, the second of which was completed during the year, providing support for 17 new projects. Many of these address the three thematic highlights for this call of: Population and development; Development in a changing world: the challenge for theory, policy and action; and Inequality and development.

Projects funded in this call include the following:

- Dr Jackie Wahba, University of Southampton and colleagues from Egypt and Morocco will explore the evidence-base for a 'triple-win' policy vision of temporary migration, which posits the positive development impacts of temporary migration for both receiving and sending countries and the migrants themselves, within the demographic and economic context of North Africa.
- In the summer of 2009, after multi-million pound investment, East Africa has been connected via fibre-optic cable to the internet. This allows, at least in theory, much greater speeds at much lower prices than before and leads to claims that the cables will play an

integral part in the economic development of countries in the region. Dr Mark Graham, University of Oxford, in collaboration with colleagues from Kenya and Rwanda, will use case studies in Kenya and Rwanda to compare the claimed potential of broadband internet to the effects 'on-the-ground' across a range of economic sectors.

- Dr Tanja Houweling, University College London, with colleagues from India, Nepal, Bangladesh, Malawi and the Netherlands, will be working in South Asia and Africa to fill critical evidence gaps in understanding how socio-economic and gender inequalities translate into inequalities in maternal and new-born mortality. Their work will explore ways to address the exclusion of poor and otherwise marginalised groups from efforts to achieve the Millennium Development Goals in maternal and new-born health, and provide evidence on reducing these inequalities.

### **Widening and promoting access to international data resources**

Delivering the international ambitions of the ESRC requires researchers to have access to a wide range of international data resources. Central to this is funding of the international arm of the Economic and Social Data Service (ESDS) that supports and disseminates data from major intergovernmental organisations and a range of international survey datasets. This year ESDS International continued to enjoy a high-level of usage and welcomed its 26,000th user. It has continued to enhance its extensive data portfolio adding new and updating existing datasets.

A notable addition to the portfolio this year was the United Nations Commodity Trade Statistics Database (UN Comtrade) – a database containing over 1.1 billion records. This is the most comprehensive trade database available and a valuable new resource for researchers analysing the changing patterns of global trade and their economic, social, and political significance. Updates from three surveys, the New Europe Barometer; the New Russia Barometer and the New Baltic Barometer; together covering much of the former Soviet Union from the 1990s through to the present, were also made available through the ESDS this year.

The Pathfinder Initiative, aimed at building and strengthening research networks of social scientists in Brazil, China, India, South Africa and the UK, complements the activities of the ESDS International. Twelve one-year projects with Brazil and India funded under the first phase of this initiative are now coming to an end. As a result successful research partnerships have been built through sharing experiences, collaborative data analyses, writing joint research papers and organising workshops and network meetings in the UK, Brazil and India. Some of the first findings from the projects include:

- A team led by Professor Geraint Johnes, Lancaster University, examined the impact of widening access to education in Brazil and India. In both Brazil and India the team found that an expansion of provision of education leads initially to more take-up of education and subsequently to an increased propensity for workers to enter non-manual occupations. There is evidence that, in India, the impact



of schooling on the propensity to enter non-manual occupations has increased steadily over time, while in Brazil this has been non-monotonic.

- Professor Kunal Sen, Manchester University, together with Indian colleagues, has been conducting research on the economic reforms and the evolution of productivity in Indian manufacturing. The team concluded that formal firms in India are significantly more efficient than informal firms, suggesting the need for policymakers to relax regulations that may allow more informal sector firms to relocate to the formal sector.

In the beginning of 2011 we announced the outcomes of the second phase of the Pathfinder initiative. Twelve projects were funded, six with China, four with South Africa, and two trilateral projects. The successful projects will address a wide range of topics. For example:

- Professor Rhys Jenkins, University of East Anglia, together with colleagues in South Africa, will be examining the implications of the re-emergence of China as a major global economic actor for the South African manufacturing sector.
- Alex Bryson, National Institute of Economic and Social Research, together with colleagues in China, will examine analysis establishment and firm-level data in China in order to study the role of CEO incentives, firm governance and CEO human capital on firm performance in China.

The Chinese and South Africa Pathfinder projects were commissioned in close partnership with the National Research Foundation of South Africa and the National Natural Science Foundation of China (NSFC). A number of the Chinese projects are co-funded by the NSFC, thanks to the assistance of RCUK Beijing.

The ESRC has been supporting the European Social Survey (ESS) since its inception in 2001. Now in its fifth round and with over 38,000 registered users across Europe, this biannual survey covers up to 34 nations and employs the most rigorous survey techniques to measure changes in social attitudes and behaviour. Data collection for Round five of the survey took place over the last four months of 2010, including rotating modules on 'Trust in the Police and Courts: A Comparative European Analysis' and 'Work, Family and Wellbeing: the implications of economic recession', as well as new measures on marital status and education. This year the ESS also continued to work on its application to be one of the first research infrastructures recognised as a European Research Infrastructure Consortium. The ESRC continues to play a leading role in supporting the ESS in this process.



**38,000**

ESS registered users across Europe

**34**

nations covered biannually

# impact through partnerships

Building strategic partnerships with users continues to be a priority for the ESRC. During 2010/11 we have extended and deepened our strategic relationships with central and local government, devolved administrations and the business and third sectors.

The ESRC's portfolio of knowledge exchange mechanisms empowers and enables partnership in all its forms. It includes collaborative training and research, people and ideas exchange and, increasingly, the commercialisation and development of social science outputs. During 2010/11, the ESRC's knowledge exchange opportunities were reviewed and simplified, with the result that a more flexible scheme is now in operation, offering funding throughout the lifecycle of research to maximise the impact of social science.

Partnerships bring a wealth of exciting opportunities to the social sciences, from enabling development of researchers skilled in knowledge exchange to securing maximum impact of our research on society's most complex challenges. Following the revision of our business engagement strategy, there was an increasing focus on building and supporting strategic partnerships with business representative bodies, such as the Association of Certified and Chartered Accountants.

The year also saw the conclusion of the Local Authorities and Research Councils' Initiative, hosted by the ESRC on behalf of a partnership of funding organisations. Engagement with central government and devolved administrations occurs through a range of strategic partnering relationships that enhance the impact of social science on policy. Support for these relationships was reviewed and streamlined in 2010/11, and the first of a new RCUK-wide concordat with the Department for Communities and Local Government was signed in March 2011.

## People and ideas exchange

Individuals and ideas are at the heart of knowledge exchange. Often, the exchange of ideas can be the spark that initiates a longer collaboration, whether through people exchange or more substantive collaborative training or research. Creating opportunities to initiate and sustain a conversation that may lead to bigger and better things is important and the ESRC has a number of opportunities to make this happen.

Our public policy seminars present state-of-the-art research and evidence to ensure maximum impact on policy and practice. During 2010/11 we supported seven Public Policy Seminars, mainly with partners within the Third Sector, and three of these seminars formed part of a series on youth volunteering.

The ESRC also actively promotes networking opportunities to bring researchers and users closer together. The Financial Services Knowledge



Transfer Network, funded in partnership with the Technology Strategy Board, aims to improve business performance and innovation in financial services by providing a forum for knowledge exchange. The Network continues to grow and work in 2010/11 included catastrophe modelling, behavioural decision-making, liquidity management and market-to-market accounting. The Network has already opened up opportunities for collaboration with the financial services sector, including the development of a new Knowledge Transfer Partnership involving the risk management and insurance intermediary, Willis, and the Insurance Intellectual Capital Initiative.

The ESRC's Placement Fellowship Scheme is designed to encourage this interaction by supporting the placements of academic social scientists with organisations in Government, the third sector and business to work on specific projects where their academic expertise can add value. Similarly, opportunities for research users to become embedded in academic organisations are also supported. The scheme continues to be highly regarded by sponsoring organisations. As well as

funding appropriate Fellowships, the ESRC identifies potential synergies between social science research and user requirements and is able to perform a brokering role to help match suitable academic expertise to the requirements of potential host organisations.

In 2010, the ESRC established a pilot internships programme to encourage greater engagement between social science students and organisations from the business and third sector, and to establish best practice for delivering internships in the future. Co-funded internships provide a great opportunity for organisations to apply current social science research to policy and practice whilst providing postgraduate students with an opportunity to develop transferable skills and gain valuable work experience outside of academia.

An example of this was ESRC-funded PhD student Heather Lowrie (University of Edinburgh) who undertook a three month internship with a leading global reinsurance intermediary, Guy Carpenter and Company, applying the concept of 'appropriate risk governance' to the insurance sector.

The pilot applied a range of innovative, new approaches to engaging students and businesses, introducing a new Postgraduate Internship Pool to match students with suitable projects, and working closely with trade associations to promote the opportunity to a wide range of business and third sector organisations. As the pilot draws to a close, the ESRC will evaluate the success of these new approaches and include best practice in next year's main ESRC Internship Scheme.

A range of longer term placements and Knowledge Transfer Partnerships support the embedding of users and academics in each other's worlds, to both exchange knowledge and build skills in the practice of knowledge exchange itself.

**67**  
collaborations

**£78 million**  
total ESRC contribution to  
Ventures fund across all years

**£132.2 million**  
total partner contribution to  
Ventures fund



The Knowledge Transfer Partnership (KTP) programme enables organisations across the private, public and third sectors to improve their competitiveness and productivity through accessing the knowledge, skills and technology that reside within UK universities. During the year the ESRC supported 168 KTPs, 55 of which started in 2010/11. The number of KTPs that the ESRC has supported has steadily increased in recent years, due to a greater number of projects being co-funded. Virtually all ESRC KTPs are now co-funded with at least one other funding organisation. The ESRC contribution to Knowledge Transfer Partnerships and Knowledge exchange activities in 2010/11 was just over £4.8 million.

#### **Collaborative research**

Collaborative research is academic research undertaken in partnership with other universities or user organisations. It can take a number of forms – from a simple project between two partners through to a complex, multi-partner research programme.

Through its Ventures fund, the ESRC works in partnership with a diverse range of user organisations in the private, public and third sectors across the portfolio of our funding opportunities, including studentships and resources. Many partnerships focus on collaborative research and the ESRC's extensive and diverse portfolio now consists of 67 collaborations. The total value of the ESRC contribution to these ventures across all years is £78 million, with partners contributing £132.2 million.

The Ventures scheme has enabled us to fund work that would not otherwise have been supported; to engage closely with key stakeholders throughout the research process and increase the likelihood of take-up of research findings; and to increase the amount of external funding brought in to support social science research in the UK and beyond. Five new Ventures initiatives were approved during the year, involving 11 different co-funders. The total amount of funding contributed by the ESRC to these ventures was £450,000.





community, and is structured around key tasks and information that visitors require to ensure a better experience. We strengthened our online communications by publishing a series of regularly updated features and case studies, highlighting the value and impact of ESRC-funded research.

Highlights this year include:

- Launch of the ESRC research catalogue through the new website. The newly designed catalogue displays over 11,000 research findings and over 100,000 outputs covering the last 20 years. It is a much improved service, offering a valuable resource for anyone interested in the UK's society and economy.
- Introduction of a series of concise evidence briefings aimed at local and central government, business and civil society organisations. The briefings summarise individual ESRC-funded research projects, highlight key findings and outline the relevance of the research to policy.
- Publishing *Recovery Britain* in January 2011 which offered a snapshot of what we know about our current economic situation and explored what can be learned by looking at evidence from economic and social research from across the ESRC's centres and investments.
- The *Understanding Society* first findings media campaign which generated a high-level of interest and extensive coverage in the UK broadsheet newspapers, tabloids, TV and radio, and was picked up by news organisations throughout Europe, the US and Australia.

The ESRC also worked in partnership with researchers to support their communications activities. During 2010/11 we updated and improved our communication guides and resources and continued to provide media training for our new researchers. In addition we launched a new Impact Toolkit which gives researchers everything they need to achieve the maximum impact for their work. The toolkit includes information on developing an impact strategy, promoting knowledge exchange, public engagement and communicating effectively with key stakeholders.

### Public Engagement

The ESRC has continued to build on its success in science in society with a specific focus on leading the social science community to embed public engagement and public dialogue in social science practice. This has included training staff within our organisation on what public engagement is and how it can be embedded in research development.

We have supported our research community in better understanding why and how public engagement should occur through the development of the new Impact Toolkit. We also embed public engagement within the cross-council programmes of Global Uncertainties (GU) and Living with Environmental Change (LWEC).

Throughout the year we continued to develop the GU public engagement activities which included the release of a report exploring the trends and gaps in knowledge in public attitudes to the research areas under the programme. This report has been widely circulated to both the GU community and public engagement practitioners and has been well received.

We established a Citizens Forum under LWEC to inform the strategic development of LWEC's research by helping to identify research priorities and commenting on strategic aims for the partnership; and identifying areas of particular public concern about environmental change so that the commissioning and communication of research by LWEC and its partners can take account of the needs and concerns of society. Three meetings, attended by 15 to 18 members of the public, were held to discuss flooding, adaptation to climate change, and decision-making and governance in response to climate change challenges.



We continue our work with schools and young people with the development of resources and promotion of our Social Science for Schools website. This dedicated site offers social science research summaries for secondary teachers, helping to provoke debate and discussions in their classrooms, as well as useful statistics about the UK population. A new pilot A-level in anthropology was also launched in 2010, supported by the ESRC and developed by the Royal Anthropological Institute. This has now been supported by the exam board AQA and accredited by Ofqual. The A-level focuses on questions around diversity and multiculturalism in the UK as well as what it means to be human in the global society.

### **Demonstrating economic and societal impact**

Evidence from the ESRC's ongoing programme of impact evaluation, led by our Evaluation Committee, continues to demonstrate the many and diverse ways in which social science has a significant impact on the economy and wider society.

The ESRC is committed to the ongoing development of new methods for the assessment of impact in all its forms, and a recent expert impact workshop validated the work undertaken by the ESRC to date and praised its highly innovative approach. This work has not only demonstrated a wide range of impacts arising from ESRC-supported

research, but has also identified some of the key determinants of social science impact and provided examples of best practice, which have been used to inform our funding strategy, and to better support new and ongoing investments to enhance their impact.

In 2010, work in this area was extended, for the first time looking beyond the ESRC's extensive research portfolio, exploring impacts from one of the Council's major cohort studies, and from its support for 'skilled people' in the form of studentships and placements. Both studies identified clear benefits from the ESRC's substantial investment in these areas and provided further evidence of impact drivers, which will be used to underpin future funding and support for these areas of our portfolio.

Looking ahead, in 2011 the ESRC will continue to develop its programme of impact evaluation, with a particular emphasis on the identification of examples of impact on practice, and the further development of earlier work to quantify some elements of the ESRC's activity, through an in-depth study assessing the economic benefits of our significant investment in data infrastructure.

# progress against targets and milestones

The ESRC Scorecard for 2010-11 included 13 Key Deliverables, divided further into 70 Milestones. Achievements against the milestones can be summarised as follows:

Milestones fully achieved, or to be achieved, but with some delays	Milestones partially achieved	Milestones not fully achieved	Total
57*	10	3	70

\*The following two milestones have been achieved but with some delay to the original timetable:

- 1c:** *Launch a call for proposals under Phase Three of the Rising Powers initiative.*  
The call will be considered by the ESRC Research Committee at its March meeting, and, if recommended, will be announced in May 2011.
- 3b:** *Issue the fifth call for proposals under a Global Uncertainties (GU) core area.*  
The Call is awaiting confirmation of involvement from the Home Office.

The following ten milestones have been partially achieved:

- 3d:** *Set up an All Party Group on Global Security and host breakfast briefings with GU researchers.*  
Work was deferred during the election period and following the spending review period but is now well underway. The first briefing event will be held in March 2011, with one of the purposes being to gauge interest in setting up a new All Party Group.
- 3e:** *Develop detailed proposals for GU core areas through hosting four seminars focusing on the core areas of GU targeted at users and researchers.*  
Three events have been held: Showcase from Sandpits; Aviation Security and GU Fellows annual event.
- 4a:** *Announce funding for at least three new large grants.*  
One Large Grant was awarded in the highlight area of Security, Conflict and Justice. No other applications were recommended for funding due to the quality of proposals.
- 7b:** *Launch a call in collaboration with the Nuffield Foundation for institution-led activities to address supply-side capacity-building needs in quantitative methods.*  
Information on the potential call with the Nuffield Foundation was received in Quarter 4 and work to develop this into a specification will now take place in Quarter 1 of 2011/12.
- 9c:** *Launch the ESRC Strategy for Quantitative Research Methods.*  
The Strategy is now being implemented in several areas. Activity will continue into Quarter 1 and Quarter 2 2011/12.
- 9e:** *Issue the contract for the 2012 Birth Cohort Study as part of the Birth Cohort Facility Project subject to Ministerial approval.*  
Following announcement of funding on 1 March 2011, the interim contract is being negotiated with University College London.

**10a:** *Impact plans: commission syntheses ready to inform the development of detailed impact plans for each of the challenges areas.*  
Final reports have been received and will be published in Quarter 1 of 2011/12.

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**11c:** *Deliver revised concordat relationships with Government partners, including delivery of three cross-departmental cluster meetings across the strategic plan challenges.*

We have reviewed and renewed our concordat arrangements with Government partners, and held a series of formal meetings with departments in March to identify shared strategic priorities and joint-working opportunities. We have delivered evidence seminars for BIS/Treasury officials on sustainable growth and green growth. Discussions are underway with other Departments about other events. We have arranged a cross-Departmental meeting in April to help develop our strategic research priorities.

**11e:** *Impact plan: develop and publish detailed impact plans to maximise the impact of recent and existing investments under seven strategic challenges.*

The final reports have been received and will be published in Quarter 1 of 2011/12. Findings from the seven syntheses will inform Council's decisions in May on the final specification of its new strategic priorities.

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**11f:** *Develop a more flexible portfolio of knowledge exchange schemes through: expansion of the PhD internship programme to a minimum of 60 three-month PhD internships with public, private and third sector organisations; an additional 50 CASE studentships with public, private and third sector organisations.*

Forty-five internships were recruited this year. The target not fully achieved because of the withdrawal of a number of partners (particularly those in the civil society sector) due to funding constraints. Sixty-nine CASE studentships were funded across the public, private and civil society sectors.

**Of the 70 milestones set for the year, three were not achieved in full:**

**1g:** *Launch, with MRC, BBSRC and external funding partners a large grants call with a possible steer to Understanding Individual Behaviour.*

The Council decided not to hold a large grants competition in 2010/11. A decision on holding a 2011/12 competition will be taken by Council in May.

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**5d:** *Fund the first social science projects under the RCUK Lead Agency agreement with the State of São Paulo Research Foundation (FAPESP) in Brazil.*

Two applications were received under the agreement but neither was successful. Further improvements to the commissioning process are being made.

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**10d:** *Deliver 130 events for the Festival of Social Science to be held in March 2011.*

The Festival was not granted an exemption from the Government's communications freeze in sufficient time to run an event in 2010/11. The exemption has now been confirmed and the next Festival will take place in the week of 29 October-5 November 2011.

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# vital statistics

Who's Who at the ESRC

Research

Data and Methods

International

Training

Knowledge Exchange

ESRC Website

Data Protection and Information Security

Expenditure

## Vital Statistics: Who's Who at the ESRC

Council, Boards, Committees and Staff

### Members of Council 2010-11

The following Council Members were appointed by the Minister for Universities and Science and serve for terms of two to six years. The dates given show their term of appointment.

	<p><b>Dr Alan R Gillespie</b> Chair ESRC 2009-2013</p>		<p><b>Mr Paul Grice</b> Clerk and Chief Executive Scottish Parliament 2009-2012</p>
	<p><b>Professor Paul Boyle</b> Chief Executive ESRC Appointed 1 September 2010 2010-2014</p>		<p><b>Professor Charlie Jeffery</b> Professor of Politics University of Edinburgh 2005-2011</p>
	<p><b>Drs Astrid Wissenberg</b> Interim Chief Executive ESRC July 2010-August 2010</p>		<p><b>Professor Michael Lamb</b> Professor of Psychology and Head of Department of Social and Developmental Psychology University of Cambridge 2006-2011</p>
	<p><b>Professor Ian Diamond</b> Chief Executive 2003-2010 ESRC 2003-2010</p>		<p><b>Professor David Martin</b> Professor of Geography University of Southampton 2010-2013</p>
	<p><b>Professor John Beath</b> Emeritus Professor of Economics University of St Andrews, Secretary General, Royal Economic Society 2009-2012</p>		<p><b>Professor Andrew Pettigrew</b> Professor of Strategy and Organisation Saïd Business School University of Oxford 2004-2010</p>
	<p><b>Mr Martin Brookes</b> Chief Executive New Philanthropy Capital 2007-2010</p>		<p><b>Mr Dave Ramsden</b> Managing Director Macroeconomic and Fiscal Policy Directorate HM Treasury 2008-2012</p>
	<p><b>Professor Ann Buchanan</b> Professor of Social Work and Director of the Centre for Research into Parenting and Children University of Oxford 2007-2013</p>		<p><b>Professor Judith Rees</b> Professor of Environmental and Resources Management London School of Economics 2004-2010</p>
	<p><b>Mr Martin Coleman</b> Head of Competition Law Group Norton Rose LLP 2010-2013</p>		<p><b>Mr David Walker</b> Formerly Managing Director Communications and Public Report – Audit Commission David Walker Associates 2007-2012</p>
	<p><b>Professor Malcolm Grant</b> Provost and President University College London 2008-2013</p>		<p><b>Mr John Neilson</b> Representative of the Secretary of State for Business, Innovation and Skills Department of Business, Innovation and Skills</p>

## Vital Statistics: Who's Who at the ESRC

Council, Boards, Committees and Staff

### Board and Committee Members 2010-11

#### Evaluation Committee

Professor Ann Buchanan (*Chair*)  
 Professor Paul Anand  
 Professor Tara Fenwick  
 Professor Brian Francis  
 Mr Michael Hughes  
 Mr Steven Marwick  
 Professor Paul Milbourne  
 Dr Paul Nightingale  
 Mr Jeremy Peat  
 Mr Jez Reeve  
 Mr Ian Rowley  
 Professor Ken Starkey  
 Professor Sandra Walklate  
 Professor Paul Whiteley  
 Ms Vicki Crossley (*Secretary*)

#### Methods and Infrastructure Committee

Mr David Walker (*Chair*)  
 Professor Micheline Beaulieu (*Vice Chair*)  
 Professor Rosalind Edwards  
 Ms Jude England  
 Professor Edward Fieldhouse  
 Mr John Ireland  
 Professor Clare Holdsworth  
 Dr Liz Lyon  
 Professor James Nazroo  
 Mr Neil Serougi  
 Professor Fiona Steele  
 Professor Gert Wagner  
 Mr Michael Whitbread

#### Research Committee

Professor Charlie Jeffery (*Chair*)  
 Professor Karen Rowlingson (*Vice Chair*)  
 Dr Tim Bradshaw  
 Professor Martin Conway  
 Ms Diane Coyle  
 Dr Floyd Millen  
 Mr Graeme Nicol  
 Professor Susan Owens  
 Ms Kathryn Packer  
 Mr Greg Power  
 Professor Stephen Roper  
 Professor Hazel Smith  
 Professor John Stillwell  
 Professor Andy Stirling  
 Professor Margaret Whitehead  
 Mr Adrian Alsop (*Secretary*)

#### Training and Skills Committee

Professor John Beath (*Chair*)  
 Professor Louise Ackers  
 Ms Sheryl Burton  
 Professor Timothy Clark  
 Dr Lesley Giles  
 Professor Peter Jackson  
 Professor Kevin Lee  
 Dr Diana Wilkinson  
 Professor John Micklewright  
 Professor Mark Overton  
 Professor Judith Squires  
 Professor Adam Rutland  
 Dr Chris Taylor  
 Professor John Holmwood  
 Ms Frances Burstow (*Secretary*)

#### Audit Committee

Mr Paul Grice (*Chair*)  
 Professor Ann Buchanan  
 Mr Martin Coleman  
 Professor Andrew Goddard  
 Professor Michael Lamb  
 Mr Allan Spencer  
 Mr Brian Hooper (*Secretary*)

#### Impact Network

Ms Diane Coyle (*Chair*)  
 Ms Sheryl Burton  
 Dr Sarah Cook  
 Professor Rosalind Edwards (Methods and Infrastructure Committee)  
 Ms Jude England (Methods and Infrastructure Committee)  
 Mr Graeme Nicol (Research Committee)  
 Dr Paul Nightingale  
 Mr Ian Rowley  
 Professor Judith Squires

#### International Network

Professor Michael Lamb (*Chair*)  
 Professor Louise Ackers  
 Dr Lloyd Anderson  
 Professor Kate Brown  
 Dr Sarah Cook  
 Professor Peter Elias  
 Professor Jane Falkingham  
 Professor Tara Fenwick  
 Mr Greg Power  
 Professor Jaideep Prabhu  
 Professor Hazel Smith  
 Professor Robert Wright

The ESRC's boards and committees were restructured from 1 April 2010. The new structure consists of three policy committees, two virtual networks, an Evaluation Committee and an Audit Committee.

### Senior Staff at the ESRC (in post at 31 March 2011)

#### Chair

1. Dr Alan R Gillespie

#### Chief Executive

2. Professor Paul Boyle

#### Communication and Information Directorate (CID)

3. Drs Astrid Wissenburg – Director  
 4. Mr Iain Jones – Deputy Director

#### Finance and Awards Management Directorate (FAM)

5. Mr Brian Hooper – Director

#### Research Directorate (RD)

6. Mr Adrian Alsop – Director  
 7. Dr John Wand – Deputy Director

#### Policy and Resources Directorate (PRD)

8. Mr Phil Sooben – Director of Policy and Administration  
 9. Mr Jeremy Neathey – Deputy Director of Training and Resources



# Vital Statistics: Research

## Major Research Investments

**We fund a range of schemes, competitions and initiatives. Our funding opportunities enable individuals and groups to pursue world-class research in academic institutions and independent research centres.**

ESRC major investments include research programmes, centres, groups, priority networks, large grants and collaborative research initiatives.

Below is a list of current ESRC-funded investments by key research challenge. Many of the investments, particularly the research Ventures are multidisciplinary but for the purpose of the report and for ease of use they have been listed by their most appropriate challenge.

### Major research investments 2009-10

A list of current ESRC-funded investments by key research challenge follows. Many of the investments, particularly the research Ventures, are multidisciplinary but for the purpose of the report and for ease of use they have been listed by their most appropriate challenge.

### List of co-funder/partner acronyms

AHRC	Arts and Humanities Research Council	EPSRC	Engineering and Physical Sciences Research Council
ASE	The Association for Science Education	FCO	Foreign and Commonwealth Office
BBSRC	Biotechnology and Biological Sciences Research Council	FME	The Foundation for Management Education
BHF	British Heart Foundation	GMC	General Medical Council
BIS	Department for Business, Innovation and Skills	HEFCE	Higher Education Funding Council for England
CPNI	Centre for the Protection of National Infrastructure	HEFCW	Higher Education Funding Council for Wales
CRE	Commission for Racial Equality	IOP	Institute of Physics
DCLG	Department for Communities and Local Government	LGA	Local Government Association
DCMS	Department for Culture, Media and Sport	MRC	Medical Research Council
DECC	Department for Energy and Climate Change	NERC	Natural Environment Research Council
DEFRA	Department for Environment, Food and Rural Affairs	NESTA	National Endowment for Science, Technology and the Arts
DELNI	Department for Employment and Learning, Northern Ireland	NIHR	National Institute for Health Research
DfE	Department for Education, formerly Department for Children, Schools and Families	NISCHR	National Institute for Social Care and Health Research
DFID	Department for International Development	NISRA	Northern Ireland Statistics and Research Agency
DfT	Department for Transport	SFC	Scottish Funding Council
DH	Department of Health	TSB	Technology Strategy Board
DWP	Department for Work and Pensions	WAG	Welsh Assembly Government
EA	Environment Agency	WFC	Welsh Funding Council

## Vital Statistics: Research

Major Research Investments 2010-11

### Global Economic Performance, Policy and Management

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Advanced Institute of Management (AIM)	Programme	October 2002 – December 2011	£9.2 million (ESRC Contribution) £134k (Partner Contribution)	EPSRC	Professor Wensley 024 7652 3923 robin.wensley@wbs.ac.uk
Business, Taxation and Welfare	Large Grant	October 2008 – September 2012	£2.3 million	N/A	Professor M Devereux 01865 288507 michael.devereux@sbs.ox.ac.uk www.sbs.ox.ac.uk/tax
Centre for Business Relationships, Accountability, Sustainability and Society (BRASS)	Centre	October 2006 – September 2011	£5.2 million	N/A	Professor K Peattie 029 2087 6562 peattie@cardiff.ac.uk www.brass.cf.ac.uk
Centre for Charitable Giving and Philanthropy (CGAP)	Venture	2008/09 – 2012/13	£1.1 million (ESRC Contribution) £1.1 million (Partners' Contribution)	Office for Civil Society (formerly Office of the Third Sector), the Scottish Government and Carnegie UK Trust	Professor J Harrow 020 7040 0136 j.harrow@city.ac.uk www.cgap.org.uk  Professor C Pharoah cathy.pharoah@thirdsp.co.uk
Centre for Competitive Advantage in the Global Economy (CAGE)	Centre	January 2010 – December 2014	£4.4 million	N/A	Professor N Crafts 02476 523468 n.crafts@warwick.ac.uk www2.warwick.ac.uk/fac/soc/economics/research/centres/cage
Centre for Competition Policy (CCP)	Centre	September 2004 – August 2014	£4.55 million	N/A	Professor C Waddams 0160 359 3715 c.waddams@uea.ac.uk www.ccp.uea.ac.uk
Centre for Economic Learning and Social Evolution (ELSE)	Centre	October 1995 – September 2010	£3 million	N/A	Professor M Armstrong 020 7679 4565 mark.armstrong@ucl.ac.uk www.else.econ.ucl.ac.uk
Centre for Economic Performance (CEP)	Centre	April 1990 – September 2015	£6.34 million	N/A	Professor J Van Reenen 020 7955 7049 j.vanreenen@lse.ac.uk cep.lse.ac.uk

## Global Economic Performance, Policy and Management

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Centre for Market and Public Organisation (CMPO)	Centre	October 2004 – September 2014	£3.7 million	N/A	Professor S Burgess 0117 928 8436 simon.burgess@bristol.ac.uk www.bris.ac.uk/cmpos
Centre for the Microeconomic Analysis of Public Policy (CPP)	Centre	April 1991 – September 2015	£6.75 million	N/A	Professor R Blundell 020 7291 4820 rblundell@ifs.org.uk www.ifs.org.uk/esrc
Impacts of Higher Education Institutions on Regional Economies	Venture	February 2007 – March 2011	£1.3 million (ESRC Contribution) £1.3 million (Partners' Contribution)	SFC, WFC, DELNI and HEFCE	Professor P McGregor 0141 548 3848 p.mcgregor@strath.ac.uk Professor U Kelly 0141 548 4206 u.kelly@strath.ac.uk www.ewds.strath.ac.uk/Default.aspx?alias=ewds.strath.ac.uk/impact
Public Services: Quality, Performance and Delivery	Programme	November 2004 – July 2010	£4.9 million Phase I – 14 projects Phase II – 14 projects Phase III – 14 projects + 7 fellowships	GMC	Professor C Hood 0186 5279 350 christopher.hood@all-souls.oxford.ac.uk www.publicservices.ac.uk
Spatial Economics Research Centre (SERC)	Venture	April 2008 – September 2011	£1.2 million (ESRC Contribution) £1.2 million (Partners' Contribution)	BIS, DCLG and WAG	Professor H Overman 020 7955 6581 h.g.overman@se.ac.uk www.spatial-economics.ac.uk
Third Sector Research Centre (TSRC)	Venture	September 2008 – August 2013	£5 million (ESRC Contribution) £5.25 million (Partners' Contribution)	Office for Civil Society (formerly Office for the Third Sector), Barrow Cadbury Trust	Professor P Alcock 0121 414 3171 p.c.alcock@bham.ac.uk www.tsrc.ac.uk

## Vital Statistics: Research

### Major Research Investments

#### Health and Wellbeing

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Addictions	Venture	2009/10 – 2013/14	£500,000 (ESRC Contribution) £4 million (Partners' Contribution)	MRC	ESRC office comms@esrc.ac.uk
Assisted Living Innovation Platform	Venture	2008/09 – 2013/14	£1.5 million (ESRC Contribution) £11 million (Partners' Contribution)	TSB, EPSRC and DH	ESRC office comms@esrc.ac.uk
Capacity in Economics of Health	Venture	2008/09 – 2011/12	£896,000 (ESRC Contribution) £1.8 million (Partners' Contribution)	MRC and National Co-ordinating Centre for Research Capacity Development	ESRC office comms@esrc.ac.uk
Centres for Lifelong Health and Wellbeing (Phases II and III)	Venture	2008/09 – 2013/14	£2 million (ESRC Contribution) £15 million (Partners' Contribution)	AHRC, MRC, BBSRC, EPSRC and UK Health Departments	ESRC office comms@esrc.ac.uk
Dietary Decisions in the 21st Century	Venture	October 2009 – September 2011	£175,000 (ESRC Contribution) £200,000 (Partner Contribution)	Food Standards Agency	Dr R O'Connell 020 7612 6458 r.oconnell@ioe.ac.uk
Economic Development and Population/ Reproductive Health Research Scheme	Venture	2007/08 – 2010/11	£1 million (ESRC Contribution) £1 million (Partners' Contribution)	The Hewlett Foundation	ESRC office comms@esrc.ac.uk
Electronic Patient Records and Databases in Research	Venture	2008/09 – 2013/14	£200,000 (ESRC Contribution) £1.1 million (Partners' Contribution)	Wellcome Trust, EPSRC and MRC	ESRC office comms@esrc.ac.uk
Health, Economics and Data Group	Large Grant	October 2008 – September 2012	£1.3 million	N/A	Professor N Rice 01904 321438 nr5@york.ac.uk www.york.ac.uk/res/herc/research/hedg
International Centre for Life Course Studies in Society and Health Centre	Centre	January 2008 – December 2012	£2.8 million	N/A	Professor M Bartley 020 7679 1707 m.bartley@ucl.ac.uk www.ucl.ac.uk/icls

## Health and Wellbeing

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
National Prevention Research Initiative (NPRI)	Venture	2008/09 – 2012/13	£1.36 million (ESRC Contribution) £10.6 million (Partners' Contribution)	Alzheimer's Research Trust, Alzheimer's Society, BBSRC, BHF, Cancer Research UK, Chief Scientist Office, Scottish Government Health Directorate, DH, EPSRC, Health and Social Care Research and Development Division of the Public Health Agency (HSC R&D Division) for Northern Ireland, MRC, Stroke Association, Wellcome Trust, WAG, World Cancer Research Fund	ESRC office comms@esrc.ac.uk
New Dynamics of Ageing (NDA)	Programme	April 2005 – December 2012	£20 million Phase I – 2 collaborative research projects, 11 preparatory networks 12 programme grants Phase II – 9 collaborative research projects, 12 programme grants	AHRC, BBSRC, EPSRC and MRC	Professor A Walker 0114 222 6467 a.c.walker@sheffield.ac.uk www.newdynamics.group.shef.ac.uk
UKCRC Public Health Research: Centres of Excellence <ul style="list-style-type: none"> <li>• The Centre of Excellence for Public Health (Northern Ireland)</li> <li>• The Centre for Diet and Physical Activity Research (CEDAR)</li> <li>• Fuse – Centre for Translational Research in Public Health (FUSE)</li> <li>• The UK Centre for Tobacco Control Studies (UKCTCS)</li> <li>• Centre for the Development and Evaluation of Complex Interventions for Public Health Improvement (DECIPHER)</li> </ul>	Venture	2008/09 – 2013/14	£2 million (ESRC Contribution) £18 million (Partners' Contribution)	BHF, Cancer Research UK, NIHR, MRC, Public Health Agency for Northern Ireland, Health and Personal Social Services, NISCHR, WAG and Wellcome Trust	Professor F Kee f.kee@qub.ac.uk www.coe.qub.ac.uk  Professor N Wareham nick.wareham@mrc-epid.cam.ac.uk www.mrc-epid.cam.ac.uk/cedar  Professor M White martin.white@ncl.ac.uk  Professor J Britton j.britton@virgin.net www.ukctcs.org  Professor L Moore MooreLI@cf.ac.uk www.decipher.uk.net



## Vital Statistics: Research

### Major Research Investments

#### Understanding Individual Behaviour

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Better Outcomes in Public Policy	Venture	September 2007 – June 2010	£650,000 (ESRC Contribution) £400,000 (Partner Contribution)	DCLG	ESRC office comms@esrc.ac.uk www.civicbehaviour.org.uk
Deafness, Cognition and Language Centre (DCAL)	Centre	January 2006 – December 2010 January 2011 – December 2015	£3.7 million (second phase)	N/A	Professor B Woll 020 7679 8670 b.woll@ucl.ac.uk www.dcal.ucl.ac.uk
Developing the Centre for Time Use Research	Large Grant	October 2008 – September 2013	£2.1 million	N/A	Professor J Gershuny 01865 286175 jonathan.gershuny@sociology.ox.ac.uk
Emotional Regulation of Self and Others	Large Grant	November 2008 – November 2012	£2.1 million	N/A	Professor P Totterdell 0114 222 3234 p.totterdell@sheffield.ac.uk www.erosresearch.org
Peterborough Adolescent and Young Adult Development Study (PADS+)	Large Grant	November 2007 – November 2012	£2.59 million	N/A	Professor P Wikstrom 01223 330033 pow20@cam.ac.uk www.pads.ac.uk
Problem Gambling Interventions (Phase 2)	Venture	2008/09 – 2012/13	£500,000 (ESRC Contribution) £500,000 (Partner Contribution)	Responsibility in Gambling Trust	ESRC office jennifer.edwards@esrc.ac.uk
Religion and Society	Venture	January 2007 – December 2011	£4.8 million (ESRC Contribution) £7.5 million (Partners' Contribution)	AHRC	Professor L Woodhead 01524 510819 l.woodhead@lancaster.ac.uk www.religionandsociety.org
Social Interaction: A Cognitive-Neurosciences Approach	Large Grant	January 2008 – December 2011	£3.1 million (ESRC Contribution) £750,000 (Partner Contribution)	MRC	Professor S Garrod 0141 330 5033 simon.garrod@glasgow.ac.uk www.socialinteraction.gla.ac.uk
Targeted Initiative on Sciences and Mathematics Education	Venture	2007/08 – 2014/15	£2.7 million (ESRC Contribution) £750,000 (Partners' Contribution)	Gatsby Charitable Foundation, IOP, DfE, and ASE	Professor L Archer louise.archer@kcl.ac.uk tisme-scienceandmaths.org

## New Technology, Innovation and Skills

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Advanced Quantitative Methods	Venture	2009/10 – 2012/13	£500,000 (ESRC Contribution) £750,000 (Partner Contribution)	SFC	ESRC office comms@esrc.ac.uk
Centre for Analysis of Risk and Regulation (CARR)	Centre	October 2000 – September 2010	£2.8 million	N/A	Professor B Hutter 020 7955 7287 b.m.hutter@lse.ac.uk www.lse.ac.uk/collections/carr
Centre for Economic and Social Aspects of Genomics (CESAGen)	Centre	October 2007 – September 2012	£8.4 million	N/A	Professor R Chadwick 029 2087 6290 chadwickr1@cardiff.ac.uk www.geonomicsnetwork.ac.uk/cesagen
Centre for Genomics in Society (Egenis)	Centre	October 2002 – September 2012	£4.1 million	N/A	Professor J Dupré 01392 725127 j.a.dupre@exeter.ac.uk www.genomicsnetwork.ac.uk/egenis
Centre for Social and Economic Research on Innovation in Genomics (Innogen)	Centre	October 2007 – September 2012	£5.2 million	N/A	Professor D Wield 0131 650 6385 david.wield@ed.ac.uk www.genomicsnetwork.ac.uk/innogen
Centre on Skills, Knowledge and Organisational Performance (SKOPE)	Centre	October 2008 – September 2013	£4.3 million	N/A	Professor K Mayhew 01865 611010 ken.mayhew@education.ox.ac.uk www.skope.ox.ac.uk
Genomics Policy and Research Forum	Centre	August 2004 – January 2013	£5 million	N/A	Professor S Yearley 0131 651 4747 steve.yearley@ed.ac.uk www.genomicsnetwork.ac.uk/forum
Innovation Research Initiative	Venture	January 2009 – December 2013	£1.25 million (ESRC Contribution) £3.75 million (Partners' Contribution)	TSB, NESTA, BIS	ESRC office comms@esrc.ac.uk
Knowledge Transfer Network for Financial Services	Venture	2009/10 – 2012/13	£300,000 (ESRC Contribution) £1.5 million (Partner Contribution)	TSB	ESRC office comms@esrc.ac.uk
Learning and Life Chances in Knowledge Economies and Societies (LLAKES)	Centre	January 2008 – December 2012	£4.2 million	N/A	Professor A Green 020 7612 6760 andy.green@ioe.ac.uk www.llakes.org

## Vital Statistics: Research

### Major Research Investments

#### New Technology, Innovation and Skills

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Management Education Fellowships	Venture	2007/08 – 2010/11	£645,000 (ESRC Contribution) £600,000 (Partner Contribution)	FME	ESRC office comms@esrc.ac.uk
NESTA Business 2 Business Innovation Vouchers Scheme	Venture	2009/10 – 2010/11	£150,000 (ESRC Contribution) £400,000 (Partners' Contribution)	AHRC, NESTA, North West Development Agency (TBC) and BIS (TBC)	ESRC office comms@esrc.ac.uk
Open Research Area for the Social Sciences in Europe (ORA)	Venture	2009/10 – 2011/12	£9 million (ESRC Contribution) £27 million (Partners' Contribution)	Agence Nationale de la Recherche (France), Deutsche Forschungsgemeinschaft (Germany) and the Nederlands Organisatie voor Wetenschappelijk (Netherlands)	ESRC office comms@esrc.ac.uk
Technology Enhanced Learning	Venture	2006/07 – December 2012	£3 million (ESRC Contribution) £3 million (Partner Contribution)	EPSRC	Professor R Noss 020 7763 2150 r.noss@ioe.ac.uk www.tlrp.org/tel

## Environment, Energy and Resilience

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Centre for Climate Change, Economics and Policy (CCCEP)	Centre	October 2008 – September 2013	£4.6 million (ESRC Contribution) £3.5 million (Partner Contribution)	Munich Re	Professor J Rees 020 7955 6228 j.rees@lse.ac.uk Professor A Gouldson 0113 343 6417 a.gouldson@leeds.ac.uk www.cccep.ac.uk
Centre for Social, Technological and Environmental Pathways to Sustainability (STEPS)	Centre	October 2006 – September 2011	£3.8 million	N/A	Professor M Leach 01273 915674 m.leach@ids.ac.uk www.steps-centre.org
Electricity Policy Research Group (EPRG)	Group	October 2005 – September 2010	£2.4 million	N/A	Professor D Newbery 01223 335248 dmgn@econ.cam.ac.uk www.eprg.group.cam.ac.uk
Living With Environmental Change (LWEC)	Programme	2007 – 2017	£1 billion across multiple partners – ESRC contribution over CSR08 period £20 million	NERC, ESRC, EPSRC, BBSRC, MRC, AHRC, DEFRA, DFID, DCLG, DfT, EA, the Scottish Government, Natural England, Scottish Environment Protection Agency, Met Office, DECC, DH, LGA, Forestry Commission, Northern Ireland EA and TSB	Professor A Watkinson 01603 593906 a.watkinson@uea.ac.uk www.lwec.org.uk
Research Group on Lifestyles, Values and Environment (RESOLVE)	Research Group	2 May 2006 – 30 November 2011	£2.8 million	N/A	Professor T Jackson 01483 689072 t.jackson@surrey.ac.uk resolve.sustainablelifestyles.ac.uk
Rural Economy and Land Use (RELU)	Programme	September 2003 – December 2011 (in four phases)	£7 million (ESRC Contribution) £18 million (Partners' Contribution)	NERC, BBSRC, DEFRA, the Scottish Government	Professor P Lowe 0191 222 6887 phillip.lowe@ncl.ac.uk www.relu.ac.uk
Social and Environmental Economic Research (SEER) into Multi-Objective Land Use Decision-Making	Large Grant	April 2010 – March 2015	£1.8 million	N/A	Professor I Bateman i.bateman@uea.ac.uk 01603 593125

## Vital Statistics: Research

### Major Research Investments

#### Environment, Energy and Resilience

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Sustainable Lifestyles Research Group	Group	2010 – 2014	£150,000 (ESRC Contribution) £1.35 million and £100,000 (Partners' Contribution)	DEFRA, the Scottish Government	ESRC office comms@esrc.ac.uk
Sustainable Practices Research Group	Group	July 2010 – June 2013	£1.6 million (ESRC Contribution) £242,000 (Partners' Contribution)	DEFRA, the Scottish Government	Professor D Southerton 0161 275 0260 dale.southerton@manchester.ac.uk www.sprg.ac.uk
The Waste of the World	Large Grant	October 2006 – September 2011	£3 million	N/A	Professor N Gregson 0114 222 7943 n.gregson@sheffield.ac.uk Professor Ray Hudson 0191 33 41852 ray.hudson@durham.ac.uk www.thewasteoftheworld.org
UK Energy Research Centre (UKERC)	Centre	April 2004 – April 2014	£14.2 million (ESRC Contribution)	NERC and EPSRC	Professor J Skea 0207 5941574 jim.skea@ukerc.ac.uk www.ukerc.ac.uk
UK Transport Research Centre	Venture	March 2009 – April 2011	£2.5 million (ESRC Contribution) £5.25 million (Partners' Contribution)	DfT and the Scottish Government	Professor P Jones 0207 6790478 peter.jones@ucl.ac.uk Professor J Polak 020 7594 6089 j.polak@imperial.ac.uk
Understanding and Managing Natural and Environmental Risks	Venture	2008/09 – 2011	£312,000 (ESRC Contribution) £935,000 (Partners' Contribution)	EPSRC, NERC and DEFRA	ESRC office comms@esrc.ac.uk
The UK National Ecosystem Assessment	Non-ESRC Led	2010 – 2011	£100,000 (ESRC Contribution) £500,000 (Partners' Contribution)	Countryside Council for Wales, DEFRA, NERC, Northern Ireland Environment Agency, the Scottish Government, WAG	ESRC office comms@esrc.ac.uk

## Security, Conflict and Justice

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
ARK – a Social and Political Archive for Northern Ireland	Large Grant	October 2006 – September 2011	£2.6 million	N/A	Dr R Miller 028 9097 3275 r.miller@qub.ac.uk www.ark.ac.uk
Cognitive Systems Foresight	Ventures	2008/09 – 2010/11	£95,000 (ESRC Contribution) £382,000 (Partners' Contribution)	EPSRC	ESRC office comms@esrc.ac.uk
Conflict in Cities and the Contested State: Everyday life and the possibilities for transformation in Belfast, Jerusalem and other divided cities	Large Grant	October 2007 – September 2012	£2.6 million	N/A	Dr W Pullan 01223 332962 wap10@cam.ac.uk www.conflictincities.org
Countering Terrorism in Public Places	Venture	2007/08 – 2010/11	£500,000 (ESRC Contribution) £1.5 million (Partners' Contribution)	AHRC, EPSRC and CPNI	ESRC office comms@esrc.ac.uk
Detecting Terrorist Activity	Venture	2009/10 – 2013/14	£400,000 (ESRC Contribution) 3.8 million (Partners' Contribution)	EPSRC and CPNI	ESRC office comms@esrc.ac.uk
Enhancing Resilience Across All Aspects of National Infrastructure	Venture	2009/10 – 2013/14	Current Grant £400,000 (ESRC Contribution) £3 million (Partners' Contribution)	EPSRC	ESRC office comms@esrc.ac.uk
Ensuring Privacy and Consent: Delivering Innovative Solutions	Venture	2008/09 – 2011/12	£1.5 million (ESRC Contribution) £5.5 million (Partners' Contribution)	TSB Network Security Innovation Platform and EPSRC	ESRC office comms@esrc.ac.uk
New Security Challenges: Radicalisation and Violence – a Critical Reassessment	Venture	November 2007 – September 2010	£1.7 million (ESRC Contribution) £700,000 (Partners' Contribution)	FCO and AHRC	Professor S Croft 02476 524257 s.croft@warwick.ac.uk www.newsecurity.bham.ac.uk

## Vital Statistics: Research

### Major Research Investments

#### Social Diversity and Population Dynamics

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
An examination of the impact of family socio-economic status on outcomes in late childhood and adolescence	Large Grant	April 2007 – March 2012	£3.6 million	N/A	Professor P Gregg 0117 331 0825 p.gregg@bristol.ac.uk www.bristol.ac.uk/ifssoca
British Inter-University China Centre (BICC)	Centre	September 2006 – September 2011	£925,000 (ESRC Contribution) £2.8 million (Partners' Contribution)	AHRC, HEFCE	Dr Hilde De Weerd 01865 278200 hilde.deweerd@chinese.ox.ac.uk www.bicc.ac.uk
Centre for the Advanced Study of the Arab World (CASAW)	Centre	October 2006 – September 2011	£775,000 (ESRC Contribution) £2.3 million (Partners' Contribution)	AHRC, HEFCE, SFC	Professor A Ehteshami 0101 334 5656 a.ehteshami@durham.ac.uk Professor M Booth 0131 650 4181 m.booth@ed.ac.uk www.casaw.ac.uk
Centre for East European Language-Based Area Studies (CEELBAS)	Centre	October 2006 – September 2011	£675,000 (ESRC Contribution) £2.1 million (Partners' Contribution)	AHRC, HEFCE	Dr R Aizlewood 020 7679 8751 raizlewood@ssees.ucl.ac.uk www.ceelbas.ac.uk
Centre on Migration, Policy and Society (COMPAS)	Centre	October 2003 – September 2013	£4.8 million	N/A	Professor M Keith 01865 274711 centre.director@compas.ox.ac.uk www.compas.ox.ac.uk
Centre for Population Change	Centre	October 2008 – September 2013	£5.08 million	N/A	Professor J Falkingham 023 8059 3192 j.c.falkingham@soton.ac.uk www.cpc.ac.uk
Centre for Research on Socio-Cultural Change (CRESC)	Centre	October 2004 – September 2014	£4.7 million	N/A	Professor K Williams Professor P Harvey Professor J Law Professor M Gillespie Professor S Watson 0161 275 8985 cresc@manchester.ac.uk www.cresc.ac.uk
Centre for Russian, Central and Eastern European Studies (CRCEES)	Centre	October 2006 – September 2011	£700,000 (ESRC Contribution) £2.1 million (Partners' Contribution)	AHRC, SFC	Professor R Berry 0141 330 8539 r.berry@lbss.gla.ac.uk www.gla.ac.uk/crcees
Cultural Sustainability Liverpool 2008	Venture	2007/08 – 2010/11	£142,000 (ESRC Contribution) £193,000 (Partners' Contribution)	AHRC	ESRC office comms@esrc.ac.uk

## Social Diversity and Population Dynamics

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Multiple Exclusion Homelessness	Venture	2008/09 – 2011/12	£300,000 (ESRC Contribution) £380,000 (Partners' Contribution)	Joseph Rowntree Foundation, Homeless Link, Homelessness Research Forum	ESRC office comms@esrc.ac.uk www.homeless.org.uk/ esrc-research
Research Centre for Bilingualism in Theory and Practice	Venture	January 2007 – December 2011	£2.6 million (ESRC Contribution) £2.6 million (Partners' Contribution)	HEFCW and WAG	Professor M Deuchar 01248 382269 m.deuchar@bangor.ac.uk www.bilingualism.bangor.ac.uk
Research Centre on Micro-social Change (MISOC)	Centre	October 2004 – September 2014	£3.37 million	N/A	Professor S Pudney 01206 873789 spudney@essex.ac.uk www.iser.essex.ac.uk/misoc
White Rose East Asia Centre (WREAC)	Centre	September 2006 – February 2012	£700,000 (ESRC Contribution) £2.1 million (Partners' Contribution)	AHRC, HEFCE	Professor V King 0113 343 6749 v.t.king@wreac.org www.wreac.org/index.php



## Vital Statistics: Research

### Research Grants

**Research grants** are selected for their scientific excellence from proposals made by researchers in any area of the social sciences and at any time of their choice. Ranging from £15,000 to £1.5 million<sup>1</sup>, they give the ESRC the flexibility to respond rapidly to the latest developments in the academic world.

#### Applications processed to a funding decision in 2010-11<sup>2, 3</sup>

	Number of applications considered	Number of applications recommended for award	% of total applications funded	Total value of awards
Small grants	395	83	21	
Standard grants	489	58	12	
<b>Total</b>	<b>884</b>	<b>141</b>	<b>16</b>	<b>£24.7 million</b>

#### Numbers of applications and awards by territory – small and standard

Country	Number of applications					Number of awards					% Success rate				
	06/07	07/08	08/09	09/10	10/11	06/07	07/08	08/09	09/10	10/11	06/07	07/08	08/09	09/10	10/11
England	751	890	1,029	1,118	732	208	210	196	180	114	28	24	19	16	16
Scotland	115	134	144	138	92	36	39	35	24	18	31	29	24	17	20
Wales	51	61	59	53	41	11	13	5	9	9	22	21	8	17	22
Northern Ireland	16	15	19	26	19	4	5	2	5	0	25	33	11	19	0
<b>Total</b>	<b>933</b>	<b>1,100</b>	<b>1,251</b>	<b>1,335</b>	<b>884</b>	<b>259</b>	<b>267</b>	<b>238</b>	<b>218</b>	<b>141</b>					

<sup>1</sup> On 1 February 2011 the lower threshold for standard grant proposals increased to the £200,000 and the upper threshold to £2 million.

<sup>2</sup> Standard grant funding decisions were made in this financial year by the Research Grants Board in April 2010, and the Grants Delivery Group (GDG), based on the recommendations of the new Grants Assessment Panels, in August and December 2010. A further round of Panel and GDG meetings, planned for March 2011, was delayed until April 2011 for operational reasons. The results of the spring 2011 round therefore fall outside the scope of this annual report.

<sup>3</sup> Small grant decisions include those reported to the April 2010 RGB meeting up to those recorded in November 2010, to match the methodology used in previous annual reports. The November cut-off reflects the fact that only decisions for the period September-November would be reported to the final RGB meeting of the financial year (January) under the previous ESRC governance structure.

## Applications and awards by subject area – small and standard

Subject	Applications					Awards					% Success rate				
	06/07	07/08	08/09	09/10	10/11	06/07	07/08	08/09	09/10	10/11	06/07	07/08	08/09	09/10	10/11
Area Studies	41	20	13	21	15	3	2	4	2	0	7	10	31	10	0
Demography	1	7	5	8	2	0	2	0	2	0	0	29	0	25	0
Economic and Social History	27	38	43	37	24	12	13	10	10	2	44	34	23	27	9
Economics	82	83	115	112	71	28	24	32	26	12	34	29	28	23	17
Education	97	97	124	115	64	13	17	17	9	3	13	18	14	8	5
Environmental Planning	15	20	21	16	7	2	3	2	2	0	13	15	10	13	0
Human Geography	42	57	58	56	42	16	14	15	11	6	38	25	26	20	14
Interdisciplinary Studies	0	22	94	105	76	0	6	7	7	11	0	27	7	7	14
Linguistics	26	56	41	38	32	8	18	10	10	7	31	32	24	26	18
Management and Business Studies	63	70	76	126	54	15	13	5	13	6	24	19	7	10	11
Political Science and International Relations	67	91	91	95	66	21	24	16	14	17	31	26	18	15	25
Psychology	230	247	290	338	236	89	72	65	63	39	39	29	22	19	17
Science and Technology Studies	19	20	22	19	14	0	3	3	3	2	0	15	14	16	14
Social Anthropology	24	37	31	23	24	6	13	6	9	4	25	35	19	39	16
Social Policy	30	55	42	45	20	9	9	6	6	4	30	16	14	13	20
Social Work	15	11	17	14	12	3	3	0	4	0	20	27	0	29	0
Socio-Legal Studies	28	22	27	38	27	7	5	6	8	7	25	23	22	21	26
Sociology	118	136	128	120	92	24	23	30	17	19	20	17	23	14	20
Statistics and Computing and Methodologies	8	11	13	9	6	3	3	4	2	2	38	27	31	22	33
<b>Total</b>	<b>933</b>	<b>1,100</b>	<b>1,251</b>	<b>1,335</b>	<b>884</b>	<b>259</b>	<b>267</b>	<b>238</b>	<b>218</b>	<b>141</b>					

# Vital Statistics: Research

## Research Grants

### Responsive applications and awards by institution 2010-11

NB applies ONLY to responsive applications and awards for Standard Grants (G) and Small Grants (SG). No other responsive applications included.

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	Aberdeen	1	0	0	0
SG		5	0	0	0
Total		6	0	0	0
G	Aston	5	3	1,102,462	60
SG		1	0	0	0
Total		6	3	1,102,462	50
G	Bath	5	0	0	0
SG		2	0	0	0
Total		7	0	0	0
G	Bath Spa	1	0	0	0
SG		0	0	0	0
Total		1	0	0	0
G	Birmingham	12	1	327,728	8
SG		6	1	77,832	17
Total		18	2	405,560	11
G	Bournemouth	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0
G	Bradford	1	0	0	0
SG		2	1	71,102	50
Total		3	1	71,102	33
G	Brighton	3	0	0	0
SG		2	0	0	0
Total		5	0	0	0
G	Bristol	13	1	180,692	8
SG		6	2	161,452	33
Total		19	3	342,144	16
G	Brunel	4	0	0	0
SG		4	0	0	0
Total		8	0	0	0
G	Cambridge	8	0	0	0
SG		2	0	0	0
Total		10	0	0	0
G	Canterbury Christ Church	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0
G	Cardiff	8	2	503,286	25
SG		6	1	80,654	17
Total		14	3	583,940	21

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	Central Lancashire	4	0	0	0
SG		2	0	0	0
Total		6	0	0	0
G	City	3	0	0	0
SG		6	1	79,018	17
Total		9	1	79,018	11
G	Coventry	0	0	0	0
SG		3	0	0	0
Total		3	0	0	0
G	Cranfield	1	0	0	0
SG		1	0	0	0
Total		2	0	0	0
G	De Montfort (Leicester)	4	0	0	0
SG		1	0	0	0
Total		5	0	0	0
G	Dundee	5	1	307,222	20
SG		2	1	78,164	50
Total		7	2	385,386	29
G	Durham	9	0	0	0
SG		6	2	155,406	33
Total		15	2	155,406	13
G	East Anglia	4	1	142,594	25
SG		14	0	0	0
Total		18	1	142,594	6
G	East London	1	0	0	0
SG		2	0	0	0
Total		3	0	0	0
G	Edinburgh	18	1	268,683	6
SG		11	3	236,013	27
Total		29	4	504,696	14
G	Essex	5	0	0	0
SG		4	1	35,001	25
Total		9	1	35,001	11
G	Exeter	8	0	0	0
SG		11	2	144,303	18
Total		19	2	144,303	11
G	Glamorgan	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	Glasgow	6	0	0	0
SG		8	3	213,964	38
Total		14	3	213,964	21
G	Glasgow Caledonian	1	0	0	0
SG		1	0	0	0
Total		2	0	0	0
G	Gloucester	4	1	242,264	25
SG		0	0	0	0
Total		4	1	242,264	25
G	Greenwich	0	0	0	0
SG		2	1	79,954	50
Total		2	1	79,954	50
G	Heriot-Watt (Edinburgh)	1	0	0	0
SG		0	0	0	0
Total		1	0	0	0
G	Herts	1	0	0	0
SG		0	0	0	0
Total		1	0	0	0
G	Huddersfield	2	0	0	0
SG		5	0	0	0
Total		7	0	0	0
G	Hull	3	2	470,756	67
SG		4	2	135,799	50
Total		7	4	606,555	57
G	Institute of Fiscal Studies (IFS)	0	0	0	0
SG		5	4	286,779	80
Total		5	4	286,779	80
G	Keele	3	1	123,266	33
SG		0	0	0	0
Total		3	1	123,266	33
G	Kent (at Canterbury)	15	1	513,271	7
SG		9	4	317,634	44
Total		24	5	830,905	21
G	Kingston	2	0	0	0
SG		2	1	30,029	50
Total		4	1	30,029	25
G	Lancaster	16	0	0	0
SG		3	1	77,971	33
Total		19	1	77,971	5

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	Leeds	14	3	773,153	21
SG		8	6	455,195	75
Total		22	9	1,228,348	41
G	Leeds Metropolitan	0	0	0	0
SG		2	0	0	0
Total		2	0	0	0
G	Leicester	7	0	0	0
SG		8	1	79,553	13
Total		15	1	79,553	7
G	Lincoln (Lincs & Humber)	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0
G	Liverpool	5	0	0	0
SG		3	2	156,682	67
Total		8	2	156,682	25
G	Liverpool John Moores	2	0	0	0
SG		2	0	0	0
Total		4	0	0	0
G	London Metropolitan	1	1	947,406	100
SG		6	0	0	0
Total		7	1	947,406	14

## Vital Statistics: Research

### Research Grants

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
<b>London</b>					
G	Goldsmiths	4	0	0	0
SG		3	1	78,968	33
Total		7	1	78,968	14
G	Imperial	1	0	0	0
SG		3	0	0	0
Total		4	0	0	0
G	Institute of Education (Including Thomas Coram)	9	2	446,875	22
SG		5	0	0	0
Total		14	2	446,875	14
G	King's College	9	2	692,528	22
SG		8	1	80,520	13
Total		17	3	773,048	18
G	London Business School	1	0	0	0
SG		1	0	0	0
Total		2	0	0	0
G	London School of Economics	9	1	356,323	11
SG		13	2	150,722	15
Total		22	3	507,045	14
G	Queen Mary and Westfield	4	0	0	0
SG		3	0	0	0
Total		7	0	0	0
G	Royal Holloway	4	0	0	0
SG		7	0	0	0
Total		11	0	0	0
G	School of Oriental and African Studies	6	2	1,022,178	33
SG		0	0	0	0
Total		6	2	1,022,178	33
G	School Of Advanced Study: Legal, Americas, Historical Research etc	1	0	0	0
SG		0	0	0	0
Total		1	0	0	0

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	School of Hygiene and Tropical Medicine	2	1	274,231	50
SG		0	0	0	0
Total		2	1	274,231	50
G	St George's Hospital	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0
G	University College London	20	3	1,198,634	15
SG		5	1	70,248	20
Total		25	4	1,268,882	16
G	Loughborough	8	0	0	0
SG		7	2	157,803	29
Total		15	2	157,803	13
G	Manchester	16	6	2,105,580	38
SG		15	3	242,470	20
Total		31	9	2,348,050	29
G	Manchester Metropolitan	2	0	0	0
SG		3	1	79,281	33
Total		5	1	79,281	20
G	Middlesex	2	0	0	0
SG		2	1	76,241	50
Total		4	1	76,241	25
G	MRC (Cambridge Centre)	1	1	257,980	100
SG		0	0	0	0
Total		1	1	257,980	100
G	Napier (Edinburgh)	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0
G	National Centre for Social Research	1	0	0	0
SG		1	1	75,055	100
Total		2	1	75,055	50
G	Newcastle	4	2	703,110	50
SG		4	0	0	0
Total		8	2	703,110	25

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	NIESR	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0
G	Northumbria (Newcastle)	1	1	154,659	100
SG		2	0	0	0
Total		3	1	154,659	33
G	Nottingham	12	2	556,043	17
SG		5	0	0	0
Total		17	2	556,043	12
G	Nottingham Trent	2	0	0	0
SG		3	1	77,636	33
Total		5	1	77,636	20
G	Open	11	2	557,793	18
SG		7	0	0	0
Total		18	2	557,793	11
G	Oxford	28	2	930,236	7
SG		12	2	156,624	17
Total		40	4	1,086,860	10
G	Oxford Brookes	2	0	0	0
SG		2	0	0	0
Total		4	0	0	0
G	Plymouth	6	1	238,342	17
SG		4	1	73,294	25
Total		10	2	311,636	20
G	Policy Studies Inst	0	0	0	0
SG		0	0	0	0
Total		0	0	0	0
G	Portsmouth	3	0	0	0
SG		3	1	81,391	33
Total		6	1	81,391	17
G	Queen Margaret University	0	0	0	0
SG		3	1	80,674	33
Total		3	1	80,674	33
G	Queen's Belfast	8	0	0	0
SG		5	0	0	0
Total		13	0	0	0
G	Reading	6	0	0	0
SG		5	1	80,462	20
Total		11	1	80,462	9

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	Robert Gordon (Aberdeen)	1	0	0	0
SG		1	0	0	0
Total		2	0	0	0
G	Roehampton	1	0	0	0
SG		1	0	0	0
Total		2	0	0	0
G	Salford	1	0	0	0
SG		0	0	0	0
Total		1	0	0	0
G	Sheffield	4	0	0	0
SG		5	0	0	0
Total		9	0	0	0
G	Sheffield Hallam	1	0	0	0
SG		1	0	0	0
Total		2	0	0	0
G	South Bank	2	0	0	0
SG		1	0	0	0
Total		3	0	0	0
G	Southampton	4	2	749,204	50
SG		13	6	448,644	46
Total		17	8	1,197,848	47
G	Southampton Solent	1	0	0	0
SG		0	0	0	0
Total		1	0	0	0
G	St Andrews	5	2	691,152	40
SG		2	0	0	0
Total		7	2	691,152	29
G	Staffordshire	1	0	0	0
SG		0	0	0	0
Total		1	0	0	0
G	Stirling	3	1	223,138	33
SG		10	3	239,391	30
Total		13	4	462,529	31
G	Strathclyde	5	1	325,755	20
SG		6	2	151,784	33
Total		11	3	477,539	27
G	Sunderland	2	0	0	0
SG		0	0	0	0
Total		2	0	0	0

## Vital Statistics: Research

### Research Grants

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	Surrey	10	0	0	0
SG		3	0	0	0
Total		13	0	0	0
G	Sussex	10	0	0	0
SG		2	1	38,110	50
Total		12	1	38,110	8
G	Teesside	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0
G	Ulster	1	0	0	0
SG		5	0	0	0
Total		6	0	0	0

#### Wales

G	Aberystwyth	3	1	89,204	33
SG		0	0	0	0
Total		3	1	89,204	33
G	Bangor	1	0	0	0
SG		4	3	213,300	75
Total		5	3	213,300	60
G	Institute Cardiff	0	0	0	0
SG		1	0	0	0
Total		1	0	0	0

Award type	Institute	Total Apps	Total Awards	Total awards £K (at 80%)	Success rate %
G	Swansea	11	0	0	0
SG		7	2	141,978	29
Total		18	2	141,978	11
G	Warwick	17	2	256,523	12
SG		17	5	394,575	29
Total		34	7	651,098	21
G	West of England	2	0	0	0
SG		0	0	0	0
Total		2	0	0	0
G	West of Scotland	2	0	0	0
SG		0	0	0	0
Total		2	0	0	0
G	Westminster	2	0	0	0
SG		2	0	0	0
Total		4	0	0	0
G	Winchester	1	0	0	0
SG		0	0	0	0
Total		1	0	0	0
G	York	11	2	794,722	18
SG		6	1	80,189	17
Total		17	3	874,911	18
<b>Total apps/awards/£ of awards</b>		<b>884</b>	<b>141</b>	<b>24,748,858</b>	

# Vital Statistics: Research

## Performance Indicators

The chart below shows the ESRC's achievements against the Research Councils UK (PEG) Performance Indicators.

### Academic publications from ESRC research investments

	2007-08	2008-09	2009-10	2010-11
Research Papers	968	1,284	1,957	2563
Books and Chapters	458	669	792	889
<b>Total</b>	<b>1,426</b>	<b>1,953</b>	<b>2,749</b>	<b>3452</b>

### Papers published in refereed journals

	2007-08	2008-09	2009-10	2010-11
Number of refereed papers	733	1,066	1,772	2144
<b>Proportion of all papers</b>	<b>75%</b>	<b>83%</b>	<b>83%</b>	<b>84%</b>

### ESRC projects achieving highest approval ratings

	2007-08	2008-09	2009-10	2010-11
Number of projects with highest approval rating	382	386	362	220
<b>Proportion of all papers</b>	<b>97%</b>	<b>96%</b>	<b>96%</b>	<b>96%</b>

### Proportion of ESRC students submitting PhD theses within four years

	2007-08	2008-09	2009-10	2010-11
Number of theses submitted	306	345	329	393
<b>Percentage within four years</b>	<b>79%</b>	<b>83%</b>	<b>81%</b>	<b>80%</b>



## Vital Statistics: Research

### Evaluation

The backbone of evaluation is peer review and almost all of our evaluation work involves selecting, briefing and supporting peer reviewers.

#### Evaluation grades by research area

Theme	Grade %				Total
	O	G	P	U	
Economics and Economic Development	27%	66%	7%	0%	100%
Geography, Environment, Urban/Rural and Transport Studies and Area Studies	16%	73%	11%	0%	100%
Government, Political Science and Law	28%	63%	9%	0%	100%
Education, Psychology, Cognition and Linguistics	29%	67%	4%	0%	100%
Sociology, Social Policy, Social Work and Social Anthropology	24%	68%	8%	0%	100%
Management, Business Studies and Innovation	20%	68%	12%	0%	100%
Statistics, Computing, Infrastructure, Demography and Research Methodology	24%	67%	9%	0%	100%
<b>Average Performance 1995-2010</b>	<b>25%</b>	<b>67%</b>	<b>8%</b>	<b>0%</b>	<b>100%</b>
<b>Average Performance 2010</b>	<b>29%</b>	<b>67%</b>	<b>4%</b>	<b>0%</b>	<b>100%</b>

The table above shows the breakdown of evaluation grades in each research area as a percentage of the total in that particular area. Note that unless otherwise stated, these percentages refer to the cumulative total of all research projects evaluated between 1995 and 2010.

#### Grade definitions

##### Outstanding (O)

High-quality research making an important contribution to the development of the subject. An outstanding grade indicates that a project has fully met its objectives and has provided an exceptional research contribution well above average or very high in relation to the level of the award.

##### Good (G)

Good quality research making a useful contribution to the development of the subject. A good grade indicates a project whose research activities and contribution are fully commensurate with the level of the award, approach and subject area, and which has addressed its major objectives.

##### Problematic (P)

Acceptable research but with problems or weaknesses in the design, method, analysis or outcomes. A problematic grade indicates that a project has failed to address one or more of its major objectives, has encountered significant difficulties in the execution of the project, has incomplete work, or has achieved substantially less than expected for the level of the award, the approach or the subject area.

##### Unacceptable (U)

Research poorly conducted with unreliable results, or report with insufficient details on which to base a satisfactory judgement. An unacceptable grade indicates a project which has failed to conduct the work as agreed at the time of the award (and any subsequent agreed changes to the work plan); for example failure to conduct agreed surveys or analyses, or failure to address most of the major objectives.

# Vital Statistics: Data and Methods

## Research Resources

**Research resources** are the foundations upon which our researchers can undertake work of the highest quality and relevance.

These resources include not only data, but also the expertise in research methods required to utilise this data, and the information technologies to improve access to the ESRC's world-class information resources.

**Resource centres** Resource centres provide quick and easy access to key research resources such as datasets.

**Resource programmes** are a group of projects aimed at developing the tools and techniques which underpin high-quality research.

### Major resource investments 2010-11

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Administrative Data Liaison Service	Centre	October 2008 – September 2011	£0.5 million	N/A	Dr C Dibben 0133 446 3081 cjd@st-andrews.ac.uk www.adls.ac.uk
Advanced Quantitative Methods Network (AQMeN) in Scotland	Venture	July 2009 – June 2012	£0.6 million (ESRC Contribution) £0.5 million (Partners' Contribution)	SFC	Mrs S McVie 0131 651 3782 s.mcvie@ed.ac.uk aqmen.ac.uk
Access Research Knowledge (ARK) – formerly known as a Social and Political Archive for Northern Ireland	Large Grant	October 2006 – September 2011	£2.7 million	N/A	Dr P Devine 028 9097 3034 p.devine@qub.ac.uk www.ark.ac.uk
British Election Study 2009/2010	Programme Fellowship	June 2008 – March 2012	£1.5 million	N/A	Professor P Whiteley 01206 872641 whiteley@essex.ac.uk www.essex.ac.uk/bes
Centre for Longitudinal Studies (CLS)	Centre	October 2004 – March 2010	£11.7 million (ESRC Contribution) £4 million (Partners' Contribution)	Government consortium co-ordinated by the ONS, includes contributions from the ONS, DH, Department for Education DfE, DWP, WAG, the Scottish Government, NISRA, and Sure Start (Government Programme)	Professor J Elliott 020 7612 6395 j.elliott@ioe.ac.uk www.cls.ioe.ac.uk

## Vital Statistics: Data and Methods

### Research Resources

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
Economic and Social Data Service (ESDS)	Centre	October 2007 – September 2012	£13.2 million (ESRC Contribution) £1.4 million (Partners' Contribution)	Joint Information Systems Committee	Mr M Woollard 01206 873704 matthew@essex.ac.uk www.esds.ac.uk  Mr K Cole 0161 275 6066 keith.cole@manchester.ac.uk www.esds.ac.uk/international  Professor A Dale 0161 275 4722 angela.dale@manchester.ac.uk www.esds.ac.uk/government
ESRC Census Programme	Programme	August 2006 – July 2011	£7.5 million £1.1 million (£950,000 worth data and physical resources and £130,000 a direct cash Contribution)	ONS (co-funding is provided only for CeLSIUS)	Professor D Martin 0238 059 3808 d.j.martin@soton.ac.uk www.census.ac.uk
ESRC Strategic Advisor for Data Resources	Grant	October 2007 – September 2010 Further period October 2010 – September 2013	£720,520	N/A	Professor P Elias 0247 652 3286 peter.elias@warwick.ac.uk  Professor J Hobcraft 01904 321278 john.hobcraft@york.ac.uk
International Bibliography of the Social Science (IBSS) Online Resource Centre	Centre	April 2005 – July 2010	£1.5 million	N/A	Ms J Sykes 020 7955 7218 j.skyles@lse.ac.uk www.lse.ac.uk/collections/ibss
Longitudinal Studies Centre – Scotland	Centre	July 2005 – June 2011	£1.6 million (ESRC Contribution) £88,000 (Partner Contribution)	General Register Office for Scotland	Dr C Dibben 01334 463081 cjd@st-andrews.ac.uk www.lscs.ac.uk
National Centre for e-Social Science (NceSS)	Centre	April 2007 – August 2012	£8.3 million (2007 – 2012)	N/A	Professor D De Roure 01865 610703 david.deroure@oerc.ox.ac.uk
National Centre for Research Methods (NCRM)	Centre	April 2008 – March 2014	£3 million (2008 – 2014)	N/A	Professor P Sturgis 0203 80594082 p.sturgis@soton.ac.uk www.ncrm.ac.uk

INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
National Strategic Director for e-Social Science	Grant	October 2009 – September 2012	£643,456	N/A	Professor D De Roue 01865 610703 david.derouere@oerc.ox.ac.uk www.eresearchsouth.ac.uk/ uk-e-social-science
National Survey of Sexual Attitudes and Lifestyle (NATSAL)	Venture	June 2008 – July 2013	£1.7 million (ESRC Contribution) £3.7 million (Partners' Contribution)	MRC and Wellcome Trust	ESRC office comms@esrc.ac.uk
Northern Ireland Longitudinal Study Research Projects	Venture	2007/08 – 2009/10	£150,000 (ESRC Contribution) £150,000 (Partners' Contribution)	NISRA	ESRC office comms@esrc.ac.uk census.ac.uk/guides/ longitudinal_ni.aspx
Northern Ireland Longitudinal Study Research Support Unit	Centre	April 2009 – July 2011	£0.3 million	N/A	Dr D O'Reilly 0289 063 2738 d.oreilly@qub.ac.uk census.ac.uk/guides/ longitudinal_ni.aspx
Secure Data Service	Centre	October 2008 – September 2010	£0.3 million	N/A	Ms M Wright 01206 873227 melanie@essex.ac.uk
Survey Resources Network	Centre	November 2008 – October 2011	£0.9 million	N/A	Professor P Lynn 01206 873151 plynn@essex.ac.uk www.surveynet.ac.uk
Qualitative Longitudinal Study (Timescapes)	Centre	February 2007 – January 2012	£3.9 million	N/A	Professor B Neale 0113 343 4813 b.neale@leeds.ac.uk www.timescapes.leeds.ac.uk
ReStore: Sustaining Online Resources	Grant	July 2007 – September 2010	£0.3 million	N/A	Professor D Martin 0123 8059 3808 d.j.martin@soton.ac.uk www.restore.ac.uk
The Centre for Microdata Methods and Practice (CEMMAP)	Centre	July 2007 – June 2012	£3.2 million	N/A	Professor A Chesher 020 7679 5857 andrew.chesher@ucl.ac.uk www.cemmap.ac.uk

## Vital Statistics: Data and Methods

### Research Resources

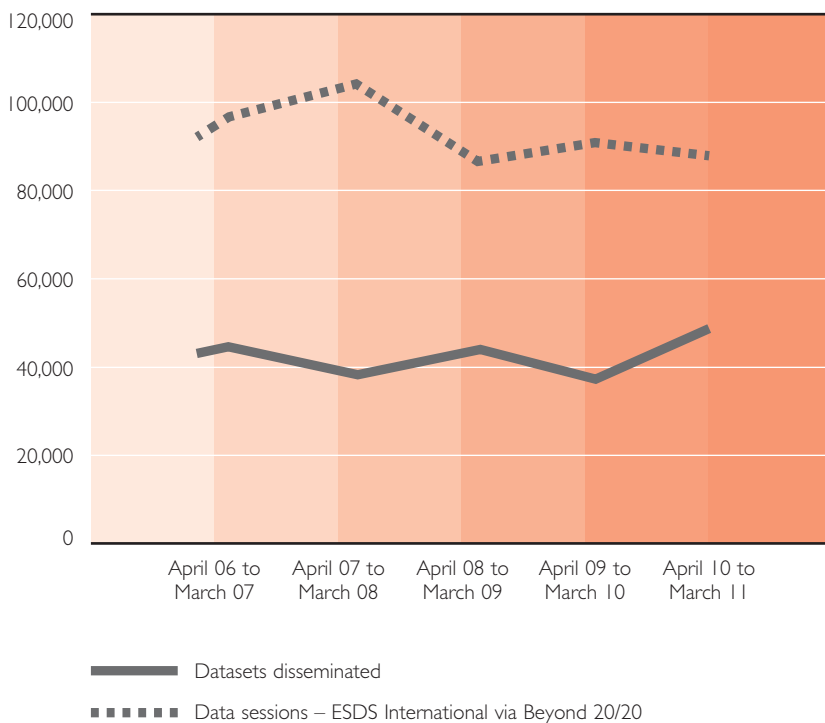
INVESTMENT	TYPE	DATE	CURRENT GRANT	CO-FUNDER/PARTNER	CONTACT
The Wales Institute of Social and Economic Research, Data and Methods (WISERD)	Substantive Research Contract	October 2008 – September 2011	£1.5 million (ESRC Contribution) £3.4 million (Partner Contribution)	HEFCW Partner universities provide additional £4.2 million	Professor G Rees 029 2087 5101 reesg1@cardiff.ac.uk www.wiserd.ac.uk
Understanding Population Trends and Processes (UPTAP): A Secondary Data Analysis Initiative	Programme Director	October 2005 – September 2010	Phase II – 12 projects 4 user fellows	N/A	Professor J Stillwell 0113 343 3315 j.c.h.stillwell@leeds.ac.uk www.uptap.net
Understanding Society	Centre	April 2007 – March 2015	£15.5 million and £23.9 million (ESRC Contribution) £2.61 million (Partners' Contribution)	The Scottish Government, WAG, Northern Ireland Executive, DfT, DCMS, DfE, DEFRA, DWP, Food Standards Agency, DCLG, DH	Professor N Buck 01206 873066 nhb@essex.ac.uk understandingsociety.org.uk

# Vital Statistics: Data and Methods

## Datasets

A dataset is defined by the ESRC datasets policy as any collection of data generated by, or of particular interest to, the social science community which may be considered for archiving. This may include computer-readable data, audio and visual recordings, hand-written documents such as diaries and fieldwork notes, photographs and artefacts. The Economic and Social Data Service (ESDS) is a national service that provides access to and support for an extensive range of key economic and social data, both qualitative and quantitative, spanning a range of disciplines and themes.

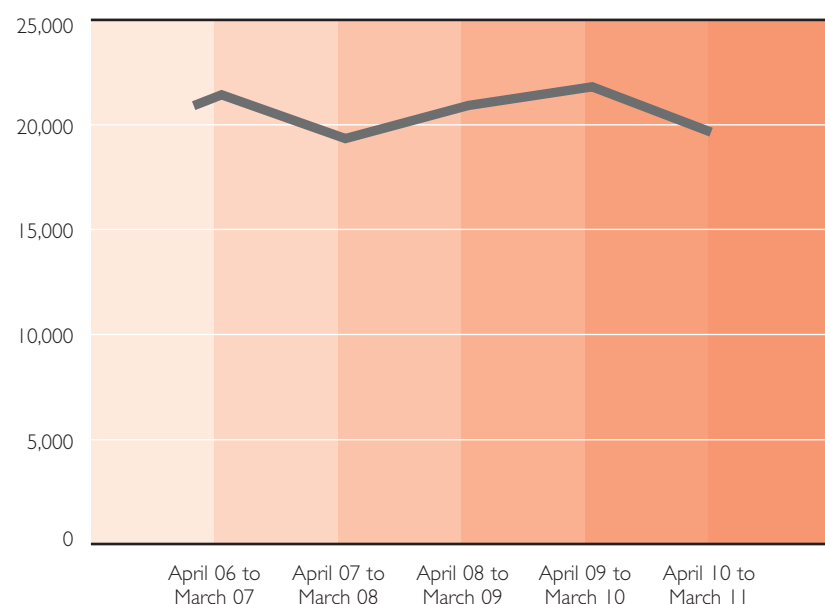
### Datasets Delivered, April 2005 to March 2011



The solid line of the graph represents datasets disseminated by the core, longitudinal, qualidata and government functions, and the dashed line represents ESDS international macro-datasets. ESDS international macro-datasets are reported separately as these are acquired directly by ESDS International due to special licensing arrangements. They are then processed and loaded onto the Beyond 20/20 data delivery server.

The figure shows a considerable increase in usage of datasets delivered by the ESDS, but a small decrease in usage of the international macro-datasets during the last year.

### Number of New Registrations to ESDS, April 2005 to March 2011



The graph shows that the number of new users registering to use ESDS remains high. The data suggest that the number of new registrations has stabilised at around 20,000.

## Vital Statistics: Data and Methods

### Datasets

#### Top Ten Disciplines by Usage, April 2010 to March 2011

Economics and econometrics is ranked top, which is largely due to the type of research being undertaken by economists working in the field of labour markets and employment.

Disciplines	Downloads	Rank
Economics and Econometrics	31,296	1
Sociology	8,788	2
Statistics and Operational Research	4,048	3
Social Policy and Administration	4,010	4
Business and Management Studies	2,970	5
Library or Data/Information Centre	2,844	6
Other Studies and Professions Allied to Medicine	2,548	7
Geography	2,227	8
Politics and International Studies	1,944	9
Psychology	1,461	10

#### The figures for ESDS International macro are:

Disciplines	Downloads	Rank
Economics and Econometrics	49,173	1
Business and Management Studies	5,124	2
Accounting and Finance	4,837	3
Politics and International Studies	2,604	4
Library or Data/Information Centre	2,584	5
Asian Studies	789	6
History	672	7
Computing Service	602	8
European Studies	432	9
Social Policy and Administration	391	10

#### Top Ten Users of ESDS Datasets by Academic Institution (excluding international macro datasets), April 2010 to March 2011

Users	Downloads	Rank
University of Warwick	3,855	1
University of Oxford	3,200	2
University of Manchester	2,898	3
London School of Economics and Political Science	2,773	4
University of Essex	2,640	5
University College London	1,838	6
Cardiff University	1,737	7
University of Nottingham	1,629	8
University of Cambridge	1,229	9
University of Edinburgh	1,128	10

## Top Ten Users of ESDS Datasets by Academic Institution using ESDS International Macro Datasets

Users	Downloads	Rank
University of Leicester	5,413	1
University of Cambridge	4,988	2
University of Manchester	4,135	3
London School of Economics and Political Science	3,332	4
University of Bath	3,026	5
University of Dundee	2,448	6
Cardiff University	1,737	7
University of Essex	2,339	8
University of Nottingham	2,211	9
University of Surrey	2,134	10

## Top Ten Most Used ESDS Datasets (excluding international macro datasets), April 2010 to March 2011

Dataset	Rank
Quarterly Labour Force Survey	1
Health Survey	2
British Household Panel Survey	3
British Social Attitudes Survey	4
1970 British Cohort Study	5
General Household Survey	6
British Crime Survey	7
Labour Force Survey Five-Quarter Longitudinal Datasets	8
National Child Development Study	9
Quarterly Labour Force Survey Special Licence Access	10

## Top Ten Most Used ESDS International Macro Datasets, April 2010 to March 2011

Dataset	Downloads	Rank
World Bank	29,631	1
International Monetary Fund (IMF) International Financial Statistics	24,520	2
International Energy Agency	10,182	3
Organisation for Economic Co-operation and Development (OECD)	9,169	4
IMF Direction of Trade Statistics	5,567	5
UNIDO	5,187	6
IMF Government Finance Statistics	3,272	7
IMF Balance of Payments	2,754	8
IMF World Economic Outlook	2,714	9
EuroStat	2,052	10



## Vital Statistics: International

### International Work

The ESRC is committed to raising awareness of British social science on the international stage. We collaborate in activities in Europe and around the world. We have a particular responsibility to maximise international resources and opportunities for the UK social science community. Developments within the European Union, and in particular the Framework Programmes, are a priority and we are committed to increasing the role of social scientists in European research projects.

#### Major International Investments 2010-11

Investments	Number of awards	Total Amount £
Open Research Area for the Social Sciences*	15	4,568,487
International Pathfinder Research Projects China-SA**	12	956,396
British Academy/ESRC China Exchange Scheme***	16	26,916
Bilateral collaborative research project ESRC-RGC (Hong Kong)****	4	388,236
ESRC-DFID Joint Scheme for Research on International Development (Poverty Alleviation)*****	17	6,027,860
ESRC/ICSSR India Scholars exchange:*****		
UK scholars going to India	4	29,666
Indian scholars coming to the UK	5	4,457
ESRC-JSPS Collaborative Seminars	2	29,434
Inclusion of International Co-Investigators (April 10-March 11)*****	6	1,710,014

\* ESRC contribution. Total funding from all partners £10,976,590 (Euro exchange rate at 4/5/11)

\*\* ESRC contribution. (Three awards gained a further £10,000 each from NSFC under additional funding awarded separately)

\*\*\* ESRC contribution. Total funding £53,832

\*\*\*\* ESRC contribution. Total funding £494,722

\*\*\*\*\* ESRC and DFID contribution, Phase 2 second call

\*\*\*\*\* ESRC contribution. Total funding for Scholars visiting India £18,997; Scholars visiting UK £34,226

\*\*\*\*\* Total amount awarded on the 6 grants

## Vital Statistics: Training

### Studentships

The ESRC supports postgraduate training to help ensure we develop skilled social scientists who contribute to a competitive, knowledge based UK economy, and create the next generation of world leading academic social scientists. We are the single largest funder of social science PhD training within the UK.

#### Volume of New Studentships by Scheme and Discipline 2010-11

Discipline	Quota (1)	Competition (2)	Collaborative (3)	Interdisciplinary (4)	Project linked (5)	Total 2010	Total 2009	Total 2008
Area Studies and Development Studies	13	2	0	0	7	22	44	72
Demography	10	1	1	0	0	12	13	9
Economic and Social History	17	4	0	0	2	23	19	14
Economics	68	5	2	0	10	85	85	73
Education	42	2	1	0	2	47	50	55
Environmental Planning	10	1	0	0	2	13	18	14
Human Geography	30	14	12	0	1	57	59	53
Linguistics	12	4	0	0	0	16	15	13
Management and Business Studies	55	6	10	0	1	72	69	68
Political Science and International Studies	35	7	0	0	2	47	52	43
Psychology	37	18	12	0	7	74	46	59
Science and Technology Studies	9	2	1	0	1	13	23	17
Social Anthropology	18	8	0	0	2	28	27	20
Social Policy	19	4	6	0	3	32	27	23
Social Work	13	2	1	0	1	17	15	15
Socio-Legal Studies	22	2	3	0	1	28	20	21
Sociology	40	7	10	0	11	68	67	57
Statistics, Methods and Computing	24	0	0	0	8	32	24	21
Environmental Sciences	0	0	0	20	0	20	20	20
Medical Sciences	0	0	0	16	0	16	21	12
Multidisciplinary	8	0	0	0	0	8	5	7
<b>Total:</b>	<b>482</b>	<b>89</b>	<b>59</b>	<b>36</b>	<b>61</b>	<b>727</b>	<b>719</b>	<b>686</b>

(1) This is the total number of quotas allocated this year, at time of writing 13 nominations were outstanding

(2) Proposal (open) studentship competition

(3) Includes CASE and Government Collaborative Schemes, and CASE Studentships funded through the Capacity-Building Clusters

(4) Includes NERC and MRC

(5) Includes PhD starters under the Language-Based Area Studies Centres, and other ESRC grants, all awards started in 2010

## Vital Statistics: Training

### ESRC Submission Rate Survey

#### 2010 Submission Rate Survey Results

Institution	2006 Starters	2006 Submitters	2006 %	Total Starters	Total Submitters	Overall %
University of Aberdeen	1	1	100	5	4	80
Anglia Ruskin	–	–	0	0	0	0
Aston University	4	3	75	9	8	89
University of Bath	3	2	67	17	10	59
University of Birmingham	11	6	55	56	39	70
University of Bradford	3	3	100	7	6	86
University of Brighton	0	0	0	1	1	100
University of Bristol	15	10	67	48	33	69
Brunel University	1	0	0	3	2	67
University of Cambridge	21	16	76	74	56	76
Cardiff University	16	15	94	59	49	83
City University	3	2	67	6	4	67
Coventry University	0	0	0	1	0	0
Cranfield University	4	4	100	7	7	100
University of Dundee	1	0	0	3	1	33
University of Durham	10	7	70	40	27	68
University of East Anglia	3	0	0	21	15	71
University of Edinburgh	15	11	73	66	52	79
University of Essex	16	15	94	52	46	88
University of Exeter	8	7	88	25	19	76
University of Glasgow	14	13	93	45	41	91
Gloucestershire University	1	1	100	2	2	100
Heriot-Watt University	1	0	0	3	2	67
Hertfordshire University	–	–	0	0	0	0
University of Huddersfield	0	0	0	1	1	100
University of Hull	1	1	100	2	2	100
Keele University	5	4	80	17	12	71
University of Kent at Canterbury	5	4	80	20	18	90
University of Lancaster	12	8	67	45	32	71
University of Leeds	7	7	100	39	37	95
University of Leicester	0	0	0	10	9	90
University of Liverpool	5	4	80	18	16	89
London: Birkbeck College	8	7	88	15	12	80
London: Goldsmiths College	9	8	89	39	26	67
London: Imperial College	6	6	100	20	16	80
London: Institute of Education	4	3	75	21	19	90
London: King's College	4	3	75	19	16	84
London: London Business School	2	2	100	6	6	100
London: Queen Mary and Westfield College	5	5	100	9	7	78
London: Royal Holloway and Bedford New College	3	2	67	12	9	75

Institution	2006 Starters	2006 Submitters	2006 %	Total Starters	Total Submitters	Overall %
London: School of Economics and Political Science	17	9	53	69	43	62
London: School of Hygiene and Tropical Medicine	7	4	57	16	10	63
London: University College	11	8	73	47	33	70
Loughborough University	1	1	100	5	5	100
University of Manchester	35	31	89	93	79	85
Manchester Metropolitan University	0	0	0	1	1	100
Middlesex University	1	1	100	5	3	60
University of Newcastle	13	11	85	38	33	87
University of Nottingham	17	15	88	69	56	81
Nottingham Trent University	3	2	67	7	6	86
The Open University	1	1	100	8	5	63
University of Oxford	26	20	77	97	76	78
Oxford Brookes University	0	0	0	1	1	100
University of Plymouth	7	7	100	20	14	70
University of Portsmouth	3	3	100	6	5	83
University of Reading	5	5	100	12	10	83
The Robert Gordon University	0	0	0	1	1	100
Roehampton University	–	–	0	0	0	0
University of Salford	1	1	100	2	2	100
School of Oriental and African Studies	0	0	0	0	0	0
University of Sheffield	28	23	82	74	55	74
Sheffield Hallam University	2	0	0	5	2	40
University of Southampton	12	10	83	46	42	91
University of St Andrews	2	1	50	6	5	83
University of Stirling	3	2	67	8	7	88
University of Strathclyde	5	4	80	14	10	71
University of Surrey	2	2	100	17	13	76
University of Sussex	10	9	90	46	40	87
Wales: Aberystwyth	9	9	100	27	26	96
Wales: Bangor	7	6	86	23	19	83
Wales: Swansea	2	2	100	4	4	100
University of Warwick	21	15	71	62	52	84
University of the West of England	2	1	50	7	2	29
University of York	12	10	83	27	24	89
<b>Totals</b>	<b>492</b>	<b>393</b>	<b>80</b>	<b>1706</b>	<b>1346</b>	<b>79</b>

### Key:

Starters: students starting research awards

Submitters: thesis submitted within four years

Rate: percentage of students submitting theses within four years of starting award

These submission rate figures exclude students who withdrew during their first year and make allowances for supervision/extensions to awards occasioned by illness, accident or the need to obtain fluency in a difficult language.

Note: The Training Board's sanctions policy, which is applied to those institutions returning a rate below 60 per cent, is based on the overall rate for the last three years. The table above only shows the rate for the most recent year.

# Vital Statistics: Training

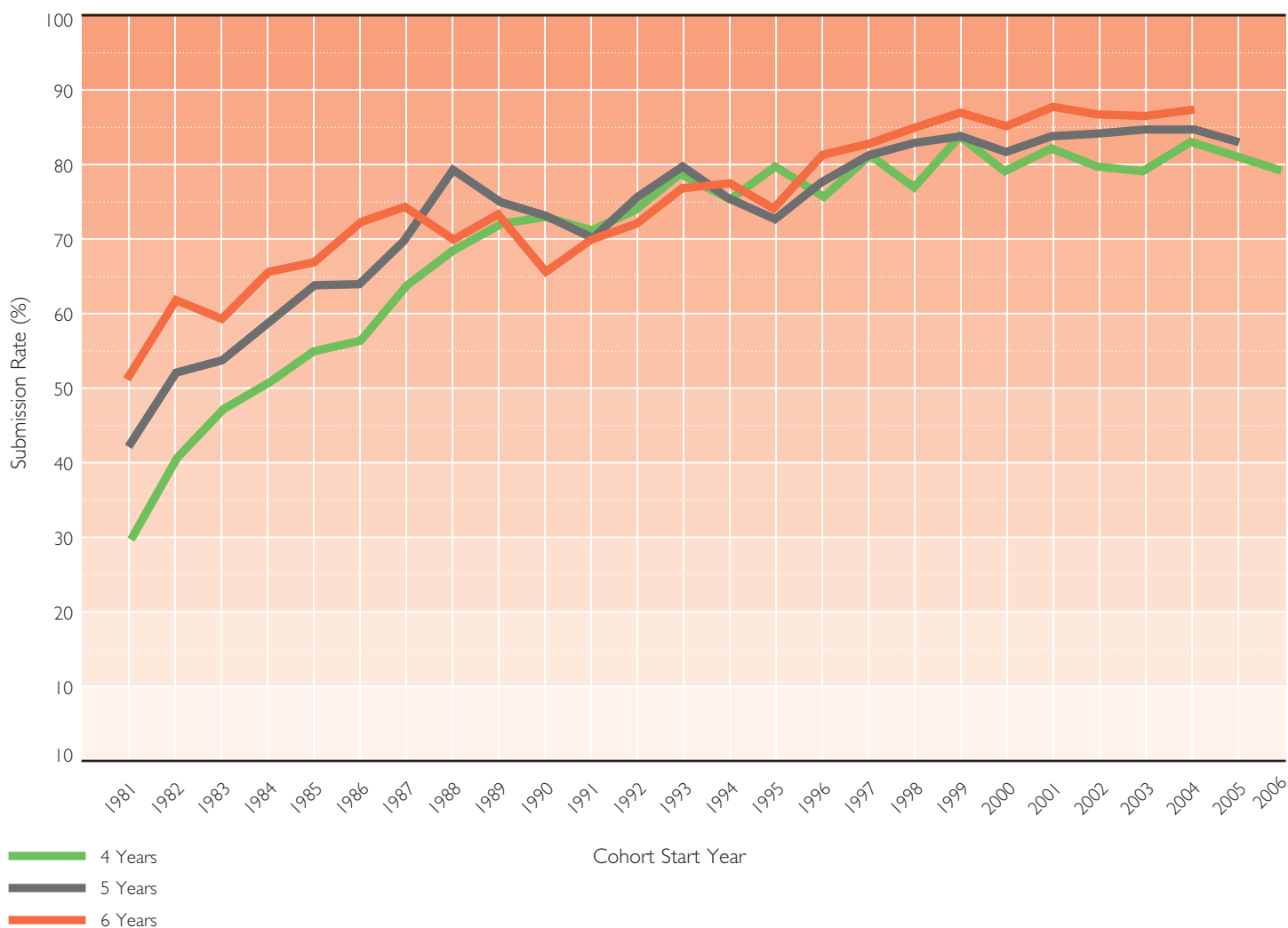
## ESRC Submission Rate Survey

### Overall PhD Submission Rate Figures – 4, 5 and 6 year rates

% of theses submitted within	1981	1982	1983	1984	1985	1986	1987	1988	1989	1990	1991	1992	1993
4 years	29	40	47	51	55	57	64	69	73	73	71	75	80
5 years	42	52	54	59	64	64	70	79	75	73	70	75	79
6 years	52	62	59	66	67	73	75	70	74	66	70	73	78
% of theses submitted within	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006
4 years	76	80	76	81	77	84	80	82	80	79	83	81	79
5 years	75	73	78	81	83	84	82	84	84	85	85	83	–
6 years	78	74	82	83	85	87	86	88	87	86	88	–	–

### Percentage of theses submitted

4, 5 and 6 year PhD Submission Rates



# Vital Statistics: Knowledge Exchange

## Knowledge Transfer Partnerships

**Knowledge Transfer Partnerships (KTPs)** is one of the largest of the schemes funded as part of the ESRC's commitment to Knowledge Exchange.

The Knowledge Transfer Partnership scheme is funded by the Technology Strategy Board (TSB) with 17 other funding organisations. In addition to the ESRC, other Research Councils are also involved as are the Welsh Assembly Government, the Scottish Government and Invest Northern Ireland. The scheme is managed by the TSB. The participating business/organisational partner also contributes to each project alongside the grant funding.

Virtually all ESRC KTPs are now co-funded with at least one other funding organisation, which has enabled the ESRC to support a greater number of projects. The following list gives details of new Knowledge Transfer Partnerships that were funded by the ESRC during the year 2010/2011. The duration of the project is usually for two years and there are currently 168 ESRC-funded projects, 55 of which started this year. This includes a number of KTPs supported as part of the ESRC's Capacity-Building Clusters.

### Knowledge Transfer Partnerships 2010-2011

\*Partnership region is based on the location of the collaborating organisation

KNOWLEDGE BASE PARTNER	ORGANISATION	REGION*	CO-SPONSOR	ESRC CONTRIBUTION
Aston University	Kimal Plc	West Midlands	TSB	£43,075
Aston University	Factory Master Limited	West Midlands	TSB	£43,445
Aston University	TTC 2000	West Midlands	TSB	£33,726
Aston University	Birmingham City Council	West Midlands	TSB	£32,798
Aston University	Aquarius Action Projects	West Midlands	TSB	£40,906
Bournemouth University	Help and Care	South West	TSB	£64,507
Brunel University	AGE UK	London	TSB	£78,055
Cardiff University	Llamau Limited	Wales	TSB, WAG	£38,836
Coventry University	Teenage Cancer Trust	Yorkshire and the Humber	TSB	£18,525
Cranfield University	MESH Planning Tools Limited	London	TSB	£42,412
De Montfort University	Association of Public Service Excellence	North West	TSB	£41,782
De Montfort University	Scarborough and North East Yorkshire Healthcare NHS Trust	Yorkshire and the Humber	TSB	£15,966
Edge Hill University	West Lindsey District Council	Yorkshire and the Humber	TSB	£30,250
Edge Hill University	Wigan Metropolitan Borough Council	North West	TSB	£19,407
Imperial College London	Willis Limited	London	TSB	£34,521
Imperial College London	The Insurance Intellectual Capital Initiative	London	TSB, NERC	£54,469
King's College London	The Prostate Cancer Charity	London	TSB	£46,450
King's College London	The Royal College of General Practitioners	London	TSB	£21,621
Lancaster University	Lancashire Teaching Hospitals NHS Foundation Trust	North West	TSB	£14,461
Leeds Metropolitan University	Thebigword Interpreting Services Limited	Yorkshire and the Humber	TSB	£11,249

## Vital Statistics: Knowledge Exchange

### Knowledge Transfer Partnerships

#### Knowledge Transfer Partnerships 2010-2011

KNOWLEDGE BASE PARTNER	ORGANISATION	REGION*	CO-SPONSOR	ESRC CONTRIBUTION
Leeds Metropolitan University	The Rugby Football League Limited	Yorkshire and the Humber	TSB	£39,684
Liverpool John Moores University	SHOKK Limited	North West	TSB, DH	£45,285
London South Bank University	Blue Sky Development and Regeneration Limited	London	TSB	£44,080
London South Bank University	Alzheimer's Trading Limited	London	TSB	£16,448
Newcastle University	The Northumberland Church Academy	North East	TSB	£31,500
Nottingham Trent University	Nottinghamshire Fire and Rescue Service	East Midlands	TSB	£31,359
Sheffield Hallam University	Timber Play Limited	Yorkshire and the Humber	TSB	£36,300
The University of Birmingham	Prime Plc	West Midlands	TSB	£39,414
The University of Hull	Kingston-upon-Hull City Council	Yorkshire and the Humber	TSB	£28,089
The University of Hull	Academy 360	North East	TSB	£33,984
The University of Manchester	Centre for Local Economic Strategies	North West	TSB	£31,451
The University of Manchester	Hague Lambert Solicitors	North West	TSB	£22,865
The University of Northampton	NASS	South East	TSB	£44,745
The University of Nottingham	The Family Holiday Association	London	TSB	£46,052
The University of Reading	World Association of Girl Guides and Girl Scouts	London	TSB	£42,823
UHI Millennium Institute	NHS Highland	Scotland	Scottish Government	£40,506
University of Bradford	Incommunities Group Limited	Yorkshire and the Humber	TSB	£14,767
University of Brighton	Environmental Protection UK	South East	TSB	£37,677
University of Brighton	SSL International Plc	North West	TSB, DH	£14,059
University of Bristol	The Northern Rock Foundation	North East	TSB	£46,189
University of Bristol	Barclays Bank Plc	London	TSB	£47,697
University of Central Lancashire	Simmons Signs Limited	West Midlands	TSB	£40,620
University of Derby	Futures Housing Group	East Midlands	TSB	£22,406
University of Exeter	Volunteer Cornwall	South West	TSB	£43,745
University of Exeter	Stonebridge Associated Colleges Limited	South West	TSB	£21,872
University of Kent	Pfizer UK Group Limited	South East	TSB	£31,220
University of Lincoln	Lincolnshire Chamber of Commerce and Industry	East Midlands	TSB	£36,300
University of Lincoln	Relate Lincolnshire	East Midlands	TSB	£36,300
University of Portsmouth	Classic Folios Limited	South East	TSB	£36,348

## Knowledge Transfer Partnerships 2010-2011

KNOWLEDGE BASE PARTNER	ORGANISATION	REGION*	CO-SPONSOR	ESRC CONTRIBUTION
University of Salford	Create Construction Limited	North West	TSB	£20,047
University of Salford	Harvest Housing Group	North West	TSB	£29,921
University of Stirling	QCTR Limited	Scotland	Scottish Government	£26,680
University of the West of England Bristol	The Motivation Charitable Trust	South West	TSB	£47,292
University of the West of England Bristol	Groundwork South West	South West	TSB	£46,030
University of Ulster	Bryson Charitable Group	Northern Ireland	TSB, Invest Northern Ireland	£12,100

\*Partnership region is based on the location of the collaborating organisation

## Knowledge Transfer Partnership Sector Trends: New Partnerships by Year (Percentage figures represent the proportion of total partnerships by each sector)

Sector	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
Public	8 (50%)	10 (48%)	12 (46%)	12 (40%)	23 (40%)	21 (24%)	11 (20%)
Private	7 (44%)	7 (33%)	9 (35%)	11 (37%)	15 (26%)	32 (36%)	21 (38%)
Voluntary*	1 (6%)	4 (19%)	5 (19%)	7 (23%)	19 (33%)	36 (40%)	23 (42%)
<b>Totals</b>	<b>16</b>	<b>21</b>	<b>26</b>	<b>30</b>	<b>57</b>	<b>89</b>	<b>55</b>

\*The voluntary sector includes social enterprise organisations

## Knowledge Transfer Partnership Regional Trends: New Partnerships by Year

Region	2003-04	2004-05	2005-06	2006-07	2007-08	2008-09	2009-10	2010-11
South East	2	2	3	2	3	11	17	4
South West	1	2	2	2	6	7	4	5
London	3	0	0	6	1	9	16	11
East	0	1	1	0	1	0	2	0
East Midlands	0	0	1	0	1	2	8	4
West Midlands	3	2	2	1	0	2	11	7
North West	6	1	2	4	3	9	7	9
North East	1	2	4	3	4	4	5	3
Yorkshire and Humberside	5	2	2	1	1	5	5	8
Scotland	3	2	1	5	7	5	9	2
Wales	0	2	3	2	3	2	1	1
Northern Ireland	0	0	0	0	0	1	4	1
<b>Total</b>	<b>24</b>	<b>16</b>	<b>21</b>	<b>26</b>	<b>30</b>	<b>57</b>	<b>89</b>	<b>55</b>



## Vital Statistics: ESRC Website

### ESRC Website Trends

Following extensive consultation with users, staff and the academic community the ESRC website ([www.esrc.ac.uk](http://www.esrc.ac.uk)) was relaunched on 26 January 2011. The new site provides improved usability and ensures that the ESRC better meets the requirements of its user community.

#### Executive Analysis 2007-08, 2008-09, 2009-10 and 2010-11

##### ESRC site statistics

Visitor Summary	2007-08	2008-09	2009-10	2010-11*
Unique visitors	2,518,595	1,682,147	1,487,937	945,958
Visitors who visited once	1,940,830	1,353,951	1,221,733	780,908
Visitors who visited more than once	574,465	328,196	266,204	165,050
Average visits per visitor	2	3	2.26	2.18

##### Visit Summary

Visits	5,487,675	4,350,470	3,366,181	2,734,434
Average per day	14,878	11,854	9,455	9,461
Average visit length	00:10:47	00:19:50	00:37:13	00:29:37
Median visit length	00:01:12	00:00:45	00:01:22	00:01:56
International visits	83.78%	67.87%	62.70%	67.10%
Visits of unknown origin	0.49%	0.04%	0.08%	0.15%
Visits from the UK	15.73%	32.09%	37.23%	32.76%

##### Page View Summary

Page views	66,624,852	107,632,750	88,333,879	65,273,083
Average per day	294,884	248,128	225,858	
Average page views per visit	24.89	26.24	23.87	

The table above shows some of the key statistics for the ESRC website. As with all web statistics, these need to be interpreted carefully (eg. number of visits is based on the IP addresses of computers).

##### Post-launch survey

Over 500 website users responded to a 'first impressions' survey which was conducted four weeks after the new website was launched.

- 86.3 per cent of users considered the new website to be satisfactory, good or excellent
- 79.1 per cent of users found it satisfactory, easy or very easy to find the information they were looking for
- 61.8 per cent of users thought the new website was better than the previous one.

For further information about the survey please contact [websupport@esrc.ac.uk](mailto:websupport@esrc.ac.uk)

# Vital Statistics: Data Protection and Information Security

## Personal Data-Related Incidents

The ESRC is committed to safeguarding information and personal data.

Incidents, the disclosure of which would in itself create an unacceptable risk of harm, may be excluded in accordance with the exemptions contained in the Freedom of Information Act 2000 or may be subject to the limitations of other UK information legislation.

### Summary of protected personal data-related incidents formally reported to the Information Commissioner's Office in 2010-11

Date of Incident	Nature of Incident	Nature of data involved	Number of people potentially affected	Notification steps
N/A	N/A	N/A	N/A	N/A

Actions to ensure compliance include:

- audit of controls and procedures for handling information and data
- regular review of the ESRC risk register to ensure it is appropriate in relation to risks to personal data
- a rolling programme of information security monitoring and assurance under the council's risk management and Internal Audit Assurance Strategy
- data protection training for all new starters
- freedom of information training for all new starters
- regular updates and reminders to all staff about information security.

### Summary of other protected personal data-related incidents in 2010-11

Incidents deemed by the Data Controller not to fall within the criteria for report to the Information Commissioner's Office but recorded centrally within the Department are set out in the table below. Small, localised incidents are not recorded centrally and are not cited in these figures.

Category	Nature of Incident	Total
I	Loss of inadequately protected electronic equipment, devices or paper documents from secured Government premises	0
II	Loss of inadequately protected electronic equipment, devices or paper documents	0
III	Insecure disposal of inadequately protected electronic equipment, devices or paper document from outside secured Government premises	0
IV	Unauthorised disclosure	0
V	Other	0

### Year-on-year total numbers of protected personal data-related incidents prior to 2010-11

Total number of protected personal data-related incidents formally reported to the Information Commissioner's Office by category number

	I	II	III	IV	V	Total
2010-11	0	0	0	0	0	0
2009-10	0	0	0	0	0	0
2008-09	0	0	0	0	0	0

Total number of other protected personal data-related incidents, by category number

	I	II	III	IV	V	Total
2010-11	0	0	0	0	0	0
2009-10	0	0	0	0	0	0
2008-09	0	0	0	0	0	0

## Vital Statistics: Expenditure

Research Total Expenditure 2010-11

### Institution Research and Resources Expenditure over £100k

HEI	2010/11 Spend (£)	HEI	2010/11 Spend (£)
University of Essex	21,496,158	Royal Holloway, University of London	734,869
University of Oxford	6,892,811	Goldsmiths College	716,350
Institute of Education	6,768,688	University of Reading	631,235
The University of Manchester	6,376,437	University of Plymouth	631,052
University College London	4,950,030	City University	555,664
London School of Economics & Pol Sci	4,938,574	Birkbeck College	421,696
Cardiff University	4,853,438	School of Oriental & African Studies	411,563
University of Edinburgh	4,629,724	University of Liverpool	405,582
University of Warwick	4,047,492	University of Kent	397,943
University of Cambridge	3,895,876	Oxford Brookes University	344,643
University of Bristol	3,749,409	Aston University	318,383
University of Southampton	3,507,446	Keele University	312,711
University of Birmingham	2,708,004	National Centre for Social Research	297,960
Institute for Fiscal Studies	2,611,730	Aberystwyth University	294,656
Newcastle University	2,431,838	Medical Research Council	283,438
University of Sheffield	2,265,773	University of Bradford	278,644
University of Exeter	2,161,507	University of Bath	272,301
University of Glasgow	2,012,601	University of Wales, Newport	247,027
King's College London	1,874,123	University of London	243,272
Lancaster University	1,862,536	University of Dundee	227,501
Bangor University	1,840,870	Liverpool John Moores University	223,992
University of Nottingham	1,815,823	Northumbria University	213,817
Imperial College London	1,799,647	Nottingham Trent University	186,582
University of Sussex	1,663,352	Manchester Metropolitan University	177,887
University of East Anglia	1,644,856	Swansea University	164,874
University of Leeds	1,644,222	University of Hull	153,942
University of Surrey	1,592,715	University of Leicester	148,910
Queen's University of Belfast	1,579,892	University of East London	133,667
University of York	1,399,608	Middlesex University	125,273
Durham University	1,371,098	University of Salford	120,882
Institute of Development Studies	1,228,790	Centre for Int Forestry Research	119,319
Open University	1,161,970	University of Westminster	118,887
Brunel University	1,147,830	National Institute of Public Health	116,424
London Sch of Hygiene and Trop Medicine	1,076,949	NERC Centre for Ecology and Hydrology	109,960
University of Strathclyde	951,021	London Business School	109,341
Loughborough University	922,543	University of Ulster	108,090
University of St Andrews	819,516	Glasgow Caledonian University	108,082
University of Stirling	773,032	De Montfort University	102,220
University of Aberdeen	737,783	London South Bank University	100,369

## Institution Training Expenditure over £100k

HEI	2010/11 Spend (£)
University of Edinburgh	3,647,572
University of Oxford	3,429,400
University College London	3,123,504
The University of Manchester	2,640,328
London School of Economics & Pol Sci	2,281,038
Cardiff University	2,114,102
University of Bristol	1,940,256
University of Cambridge	1,901,936
University of Leeds	1,793,777
Durham University	1,646,868
Lancaster University	1,606,669
University of Sheffield	1,502,505
University of Glasgow	1,414,898
University of Nottingham	1,290,979
University of Birmingham	1,183,627
University of Warwick	1,079,845
University of York	1,061,452
King's College London	1,013,502
Newcastle University	967,170
University of Exeter	921,145
University of Southampton	912,831
University of Sussex	854,343
University of East Anglia	808,903
University of Stirling	757,862
Goldsmiths College	756,086
University of Kent	740,249
University of Essex	644,966
Imperial College London	624,297
Institute of Education	592,858
London Sch of Hygiene and Trop Medicine	543,806
University of Reading	515,815
University of St Andrews	506,666
University of Liverpool	496,039
University of Strathclyde	450,994
Open University	391,701
University of Surrey	338,860
University of Bath	329,650
Royal Holloway, University of London	318,714
Queen Mary, University of London	289,685

HEI	2010/11 Spend (£)
University of Plymouth	280,495
Birkbeck College	277,768
Keele University	262,685
Loughborough University	258,424
Bangor University	233,268
Sheffield Hallam University	228,737
Aberystwyth University	214,683
Aston University	198,754
Middlesex University	191,703
City University	185,614
Swansea University	175,559
University of Dundee	170,591
Cranfield University	166,969
University of the West of England	163,526
London South Bank University	149,318
Oxford Brookes University	144,240
Manchester Metropolitan University	141,940
University of Hull	136,005
University of Aberdeen	132,259
University of Leicester	121,245
School of Oriental & African Studies	110,806
University of Bradford	106,658

## Vital Statistics: Expenditure

Research and Training Expenditure 2010-11

### Institution Research, Resources and Training Expenditure over £200k

HEI	2010/11 Spend (£)
University of Essex	22,141,124
University of Oxford	10,322,211
The University of Manchester	9,016,765
University of Edinburgh	8,277,295
University College London	8,073,534
Institute of Education	7,361,546
London School of Economics & Pol Sci	7,219,612
Cardiff University	6,967,540
University of Cambridge	5,797,812
University of Bristol	5,689,665
University of Warwick	5,127,337
University of Southampton	4,420,277
University of Birmingham	3,891,632
University of Sheffield	3,768,278
Lancaster University	3,469,205
University of Leeds	3,437,999
University of Glasgow	3,427,499
Newcastle University	3,399,008
University of Nottingham	3,106,802
University of Exeter	3,082,652
Durham University	3,017,966
King's College London	2,887,625
Institute for Fiscal Studies	2,611,730
University of Sussex	2,517,694
University of York	2,461,060
University of East Anglia	2,453,759
Imperial College London	2,423,945
Bangor University	2,074,138
University of Surrey	1,931,574
Queen's University of Belfast	1,869,101
London Sch of Hygiene and Trop Medicine	1,620,755
Open University	1,553,670
University of Stirling	1,530,895
Goldsmiths College	1,472,436
University of Strathclyde	1,402,016
University of St Andrews	1,326,182
Institute of Development Studies	1,228,790

HEI	2010/11 Spend (£)
Brunel University	1,224,097
Loughborough University	1,180,967
University of Reading	1,147,050
University of Kent	1,138,193
Royal Holloway, University of London	1,053,583
University of Plymouth	911,547
University of Liverpool	901,621
University of Aberdeen	870,042
City University	741,278
Birkbeck College	699,465
University of Bath	601,952
Keele University	575,395
School of Oriental & African Studies	522,370
Aston University	517,137
Aberystwyth University	509,340
Oxford Brookes University	488,883
University of Dundee	398,092
University of Bradford	385,303
Swansea University	340,432
Queen Mary, University of London	327,680
Manchester Metropolitan University	319,828
Middlesex University	316,976
Liverpool John Moores University	301,655
National Centre for Social Research	297,960
University of Hull	289,947
Nottingham Trent University	284,964
Medical Research Council	283,438
University of Wales, Newport	274,135
University of Leicester	270,155
Northumbria University	259,295
University of London	259,253
London South Bank University	249,686
Cranfield University	217,234
University of Salford	207,330
University of Westminster	201,265
Sheffield Hallam University	201,166

## Regional spend 2010/11

Region	Research (£)	Training (£)	2010/11 Spend (£)
East Midlands	3,208,115	1,876,784	5,084,898
Eastern	27,489,536	3,753,623	31,243,159
London	30,735,680	11,337,397	42,073,077
North East	4,114,564	2,830,625	6,945,189
North West	9,298,808	5,231,614	14,530,422
Northern Ireland	1,716,120	315,578	2,031,698
Scotland	10,507,694	7,434,829	17,942,523
South East	17,942,605	7,700,786	25,643,391
South West	13,341,775	4,354,861	17,696,636
Wales	7,500,203	2,864,174	10,364,376
West Midlands	7,553,786	2,919,337	10,473,123
Yorkshire and Humberside	5,824,381	5,186,015	11,010,397
Other	2,779,735	0	2,779,735
<b>Grand Total</b>	<b>142,013,000</b>	<b>55,805,623</b>	<b>197,818,623</b>

# financial & other information



# financial & other information

## Financial and Other Information

- 1 The Economic and Social Research Council (ESRC) is an executive Non-Departmental Public Body established by Royal Charter in 1965 for the promotion of social science research. The Charter was subsequently amended in 1994 in the light of the Science White Paper *Realising Our Potential*.
- 2 The ESRC is funded primarily through grant-in-aid from the Department for Business, Innovation and Skills (BIS).

## Principal Objectives

### 3 The Economic and Social Research Council's mission is to:

- promote and support world class research and related postgraduate training in the social sciences;
- advance knowledge and provide trained social scientists who meet the need of users and beneficiaries, thereby contributing to the economic competitiveness of the United Kingdom, the effectiveness of public services and policy, and the quality of life;
- provide advice on, disseminate knowledge about and promote public understanding of, the social sciences.

### 4 The ESRC's Strategic Objectives are:

- Impact through World Class research;
- Impact through Skilled People;
- Impact through Infrastructure;
- Impact through International Leadership;
- Impact through Partnerships.

### 5 In order for ESRC to meet these objectives its work is organised in four areas:

- **Research:** To fund cutting-edge and excellent research that focuses on pushing back the frontiers of science and on areas of major national importance;
- **Capacity:** To ensure the availability of sufficient first-class capacity, including expert researchers, data and methodology, for the UK to undertake top class social science;
- **Engagement:** To communicate research findings as widely as possible, to engage with our key stakeholders and to get research into practice;
- **Performance:** To evaluate the quality and impact of our funded research and perform our work efficiently and effectively.

- 6 There are no identified trends or issues likely to significantly impact on ESRC's business or performance. ESRC's going concern position is covered in paragraph 18.

## Risk

- 7 ESRC has adopted a risk management strategy where controls and risk-bearing relate to all aspects of management, not purely financial matters.
- 8 It is ESRC's view that it should demonstrate leadership in the quest for innovation and in the setting of strategies to achieve it. Innovation, and the social science research which supports it, is by its nature involved with uncertainty and hence risky outcomes. In order to seize opportunities to increase the probability of achieving its purpose, ESRC has to embrace risk enterprises. ESRC has a responsibility not just to control risk, but to ensure the proper opportunities are created to allow the achievement of unplanned potential. ESRC therefore has a particular concern to ensure that the framework for managing risk involves appropriate measures to promote and safeguard innovation.
- 9 ESRC's capacity to handle risk and its risk and control framework can be found in ESRC's Statement on Internal Control.
- 10 ESRC's main risks are recorded and monitored on the corporate risk register. The key corporate risks relate to the maintenance of social science capacity, achieving excellence in commissioned research, sustaining ESRC's reputation and influence and effectiveness of delivery.
- 11 The core back office support for ESRC is now provided through the RCUK Shared Services Centre Limited (SSC) facilities. Human Resources (HR), Strategic Procurement and IT went live in 2008/09, Payroll and Finance in 2009/10 and Grants processing in 2010/11. This major project which closed on 31 March 2011 was sponsored by the RCUK Executive Group and run under formal project and risk management processes, and has been subject to Gateway review. In addition within ESRC the SSC implementation project was classed as a business-critical project and consequently subject to Audit Committee review arrangements. A risk register was maintained and updated within the project framework.



# financial & other information

## Statutory Basis

- 12 ESRC's accounts have been prepared in accordance with the Treasury Financial Reporting Manual (FREM) and the Accounts Direction, issued by the Secretary of State pursuant to Section 2(2) of the Science and Technology Act 1965. The accounts follow IFRS having due regard to the Council's status as a government body.

## Financial Review of the Year

- 13 The Accounts for the year ended 31 March 2011 record total comprehensive expenditure of £213.2m compared with a total comprehensive expenditure of £211.1m in 2009/10. The Government Funds as at 31 March 2011 showed a deficit of £23.3m compared to a deficit of £23.7m in 2009/10. Total grant-in-aid drawn down was £188m, of which £0.6m was deployed on capital expenditure. Capital expenditure was limited to IS developments, dataset collection and the SSC asset.

Research expenditure has increased to £141.5m (£135.0m 2009/10), with Postgraduate Training decreasing to £55.6 (£58.1m 2009/10). The increase in research reflects an increase to ESRC's budget and subsequent new investments to strengthen the social science research base which are covered earlier in the Annual Report.

Funding from other bodies has decreased to £26.1m (£30.8m 2009/10) reflecting a decrease in collaborative funding on research investments.

The Statement of Financial Position records receivables of £15.6m (£19.9m 2009/10). The decrease in receivables was a result of prompt settlement from collaborative funders. The Statement of Financial position records payables of £54.8m (£59.3m 2009/10). This decrease was due to revised timing of April grant payments due to migration of grants systems to the SSC.

## Shared Services Centre

- 14 As agreed by the seven Research Councils, the SSC was set up in 2007/08, following its incorporation as a limited company, (RCUK Shared Services Centre Limited). The SSC has been developed to provide Finance, Grants, Human Resources, Information Systems, Procurement and Payroll operational services to each of the Councils and their Institutes. The aim of the SSC is to reduce spending on administration through sharing and standardising processes across the councils and to secure procurement savings through the consolidation of demand across the Councils.

- 15 A phased implementation took place to transfer the Councils' services. Significant milestones in 2010/11 included:

- ESRC, EPSRC, NERC and STFC migration to Grants services;
- BBSRC, MRC, NERC and STFC migration to Finance and HR services;
- BBSRC, MRC and NERC migration to Payroll services.

Further rollout of the Grants system is planned for 2011/12.

- 16 The Councils shared the project development costs and ESRC's agreed share is 1.83%. These costs have been accounted for in ESRC's books as £1.5m expensed (note 8 to the Accounts) and £0.1m within the asset under construction SSC project subsequently transferred to SSC Limited.
- 17 The transition to shared services is regarded as a business-critical project and is referred to in the Statement on Internal Control.

## Going Concern

- 18 The Income and Expenditure Reserve at 31 March 2011 shows a deficit of £25.8m (£26.9m 2009/10). This reflects the inclusion of liabilities falling due in future years which will be met by future grant-in-aid from the ESRC's sponsoring department, BIS. This is because, under the normal conventions applying to Parliamentary control over income and expenditure, such grants may not be paid in advance of need (note 1(b) to the Accounts). The settlement from the Comprehensive Spending Review provides for the continuing going concern of ESRC.

## Evaluation

- 19 The ESRC places great emphasis on the evaluation of its research. The Evaluation Committee works independently from the Policy Committees to evaluate the impact and quality of ESRC research through a comprehensive review programme. The results inform Council's strategic decision-making and guide the Committees' investment decisions.

Project evaluations provide accountability for grant expenditure, and provide an early assessment of academic quality and research impact. The Evaluation Committee's analysis of project evaluation results contributes to Council's strategic planning, provides a track-record of project performance to support further funding decisions and feeds into policy evaluation work.

Evaluations of major investments (including Programmes, Networks and Centres) assess academic achievements and contributions to fields of study, impact on policymakers and practitioners, and the effectiveness of capacity development and research training. The results feed into the design of new phases of research and contribute to the development of research management practice.

Scheme evaluations assess the impact and effectiveness of different modes of ESRC funding. The results inform Council's strategy for supporting particular activities such as interdisciplinary collaborations, building new research capacity and supporting career development in different sections of the research community.

Impact and policy evaluations are a central feature of the evaluation system. This work includes benchmarking the international impact of UK social science, evaluating the economic and societal impact of ESRC research and reviewing aspects of research funding policy. The results help the Council to demonstrate the wider contribution of UK social science and the national and international impact of its own portfolio.

## Payment Policy

- 20 ESRC observes HM Treasury Guidance and makes every effort to pay creditors within 5 days of receipt of invoice. Where this is not possible, ESRC observes the CBI's Prompt Payers' Guide, and adheres to the principles of the Prompt Payers' Code, endeavouring to ensure compliance with the agreed terms of payment of creditors' invoices and to pay them within 30 days of receipt of invoice. During 2010/11 48% (no 2009/10 comparison available) of invoices were paid within 5 days and 90% (2009/10 – 93%) within 30 days. The reduction in performance reflects a period of stabilisation during which a number of Research Councils took up the SSC services.

## Equal Opportunities

- 21 The ESRC's policy on recruitment and selection is based on the ability of a candidate to perform the job regardless of gender, colour, ethnic or national origin, disability, age, marital status, sexual orientation or religion. Full and fair consideration is given to applications for employment from the disabled where they have the appropriate skills to perform the job. If disability should occur during employment, ESRC would make every effort to maintain employment and to ensure the availability of adequate retraining and career development facilities.

## Employee Involvement

- 22 Information is provided to employees through the Oracle Knowledge Base, HR Updates, E-mail and the Intranet. Consultation with employees takes place through meetings of senior staff, the Joint Negotiating Consultative Committee, through bilateral, directorate, sectional meetings, and through working groups set up to look at specific organisational issues, and where appropriate through all-staff meetings.
- 23 All staff are made aware of the Delivery Plan and are then involved in developing and implementing directorate and personal objectives which flow from the Plan.
- 24 ESRC was successfully re-assessed against the new Investors in People standard in November 2008 which runs until December 2011. The outcome was that the organisation continues to meet the requirements of the standard and therefore recognition is maintained for the next three years.
- 25 Details of the Research Councils' Pension Scheme (RCPS) are set out in Note 7c to the Accounts and details of the salary and pensions benefits of senior employees are included in the Remuneration Report.

# financial & other information

## Health and Safety

26 The ESRC policy is to set and maintain high standards of health and safety performance so as to ensure the health and safety of staff as well as that of others who may work in or visit the premises. To achieve this ESRC has a Health and Safety Policy Statement signed by the Chief Executive, the Trade Union Health and Safety representative and the ESRC's Health and Safety Advisor. The policy covers responsibilities, competencies, risks, controls, the provision of advice, performance measurement and staff consultation. The policy is accessible to all staff through SSC Knowledge Base along with all health and safety guidance and procedures. ESRC also has a Health and Safety committee whose role is to review the adequacy of safety training and the supply of information, consider accident statistics and safety audit reports and to help the ESRC's Health and Safety Advisor carry out his/her duties.

## Sickness Absence

27 ESRC management monitor staff sick absences on an ongoing basis with all sickness absences followed up by a return to work interview in line with ESRC's Sickness Absence Policy. Persistent short-term and long-term absence is managed on a case-by-case basis with appropriate support from an Occupational Health Physician. ESRC's sickness absence data is as follows with 2009/10 comparatives in brackets:

Total number of staff as at 31 March 2011	137	(160)
Total days lost to sickness	923	(890)
Average working days lost	6	(5.5)
Days lost to long-term (28 days or more)	564/61%	(395/44%)

The most common causes of absence are shown below:

Cause	Number of days lost	%
Depression/Stress	362	39
Cold/Flu	114	12
Post-operation recovery	163	18

The slight increase in total days lost to sickness is due to a corresponding increase in days lost through long-term sick absence. When the long-term sick absence figures are removed from the total days lost, the average working days figure is reduced to 2.4 per employee which is considered to be within the acceptable level for organisation sick absence.

## Public Sector Information Holder and Data Incidents

28 Information required to be reported by the ESRC in respect of holding public sector information, including reporting on data incidents, is included in the Annual Report section entitled Vital Statistics: Data Protection and Information Security on page 73.

## Environmental Policy

29 ESRC is committed to following the Joint Research Council Environmental Policy Statement which calls for:

- compliance with all relevant legislation;
- minimise the adverse impacts of new buildings and refurbishments;
- make efficient use of natural resources;
- operate effective arrangements for waste disposal and recycling;
- promote effective environmental supply management;
- work with staff to promote more economic forms of transport;
- provide appropriate information and training to new staff.

ESRC attends the cross-Research Council Environmental Group which meets quarterly to discuss the environmental issues that affect Polaris House. Polaris House has ISO 14001 accreditation for the control of the impact to the environment of all the activities conducted on the Polaris House site. In order to satisfy and maintain the required standards a number of environmental targets and impacts have been agreed for review, assessment and improvement. These are:

- Waste Reduction
- Green Purchasing
- Green Transport
- Landscaping Enhancement
- Reduction of CO<sub>2</sub>/energy emissions.

Environmental issues are communicated to all staff through the cross-Research Council Environmental Awareness newsletter.

## Audit Committee

30 ESRC's Audit Committee comprises four members of Council plus two external co-opted members who provide additional academic and professional accountancy expertise. The Chairman of the Committee is a member of Council who does not chair any other Council Committee. The Committee meets at least three times a year to review internal and external audit matters, to generally consider Corporate Governance issues including the quality of internal control systems, and to review the ESRC's accounts.

## Auditors

- 31 The internal auditors of ESRC are the Research Council Internal Audit Service with an audit plan being agreed and undertaken each year.
- 32 The accounts of the ESRC are audited by the Comptroller and Auditor General under the terms of paragraph 3(3) of Schedule 1 of the Science and Technology Act 1965. The audit fee covering 2010/11 was £67,000, including £7,000 for 2009/10 IFRS-related work. There was no auditor remuneration for non-audit work.
- 33 So far as the Accounting Officer is aware, there is no relevant audit information of which the ESRC's auditors are unaware. The Accounting Officer has taken all the steps that he ought to have taken to make himself aware of any relevant audit information and to establish that ESRC's auditors are aware of that information.



Paul Boyle  
Accounting Officer  
4 July 2011

# remuneration report 2010/11

## Unaudited Information

### Remuneration Policy

- 1 The remuneration of the Chief Executive of ESRC and the Directors at Band 1 is decided by a Remuneration Panel chaired by the BIS Director General of Knowledge and Innovation and approved by the BIS Permanent Secretary.
- 2 The performance of ESRC Directors is assessed annually by the Directors Remuneration Committee chaired by the Chair of Council with the ESRC Chief Executive and the Chair of ESRC Audit Committee serving as members. Assessments are made using ESRC's Staff Performance Management process taking into account the following:
  - benchmarking against comparators in other Research councils;
  - annual increases agreed for other staff pay grades within ESRC;
  - BIS and Government pay policy guidelines and constraints.There is no separate Remuneration Committee that considers the pay of other senior staff.
- 3 All remuneration increases are subject to a satisfactory performance assessment. The amount of any non-consolidated one-off bonus payments is determined by the level of performance rating within the year.
- 4 The remuneration of ESRC's Council members and Chairman is reviewed annually by BIS.

### Contractual Policy

- 5 The Chief Executive is contracted for the period 1 September 2010 to 31 August 2014 with all Directors being permanent employees of the ESRC. During 2010/11 the previous Chief Executive retained Chief Executive responsibilities on a part-time basis from 1 April to 30 June, with a senior Director appointed as interim Chief Executive for the period 1 July to 31 August.

The Chief Executive and all Directors are subject to a notice period of 3 months and any compensation awarded for early termination is subject to the terms and conditions of the Research Council's Joint Superannuation Early Severance Scheme. The Chairman and Council members receive a letter of appointment from BIS and are not employees of the ESRC although remuneration is made through the ESRC payroll. The terms of appointment allow for members to resign from office by notice in writing to the Secretary of State. Members may also be removed from office by the Secretary of State on grounds of incapacity or misbehaviour or a failure to observe the terms and conditions of appointment.

## Audited Information

### Salary and Pension Entitlements

- 6 The following section provides details of the remuneration and pension interests of the Chief Executive, Directors and ESRC Council members. Remuneration and Pensions Interests for Chief Executive and Directors for 2010/11.

## Remuneration

		2010/11 Salary (£000)	2010/11 Bonus** (£000)	2009/10 (£000)
Prof I Diamond	Former Chief Executive	5-10	25-30	130-135
Prof P Boyle	Current Chief Executive	70-75	–	–
Mr A Alsop	Director	65-70	–	65-70
Mr B Hooper	Director	60-65	–	55-60
Mr J Neathey	Director	30-35*	0-5	55-60
Mr P Sooben	Director	60-65	–	60-65
Drs A Wissenburg	Director	65-70	–	65-70

\* Part-year due to restructuring. Full year equivalent 55-60.

\*\* Bonus relates to 2009/10 but paid in 2010/11.

7 Salary paid in 2010/11 includes gross salary, performance pay or bonuses, overtime, recruitment and retention allowances, responsibility allowances and any other allowance to the extent that it is subject to UK taxation. The average increase of salary for the above senior staff was 2.6%. No benefits in kind were received in 2010/11 (2009/10 zero).

## Pension Benefits

comparative figures for 2009/10 shown in italics

Chief Executive and Directors	Former Chief Executive	Current Chief Executive	Director	Director	Director	Director	Director
Name	Prof I Diamond	Prof P Boyle	Mr A Alsop	Mr J Neathey	Drs A Wissenburg	Mr P Sooben	Mr B Hooper
Real increase in pension at 60 (£)	– 2,442	935 –	142 1,317	500 727	1,061 1,234	2,471 1,382	294 1,531
Related lump sum at 31 March 2011 (£)	– –	– –	79,398 76,598	44,573 41,778	– –	33,758 30,334	86,012 82,571
Total annual accrued pension at 60 at 31 March 2011 (£)	– 59,830	935 –	26,466 25,533	14,858 13,926	8,528 7,243	20,318 17,310	28,671 27,524
Cash equivalent of transfer values at 31 March 2010 (£)	– 999,228	8,894 –	467,342 459,960	185,737 193,147	75,561 69,329	207,034 212,100	604,803 588,822
Cash equivalent of transfer values at 31 March 2011 (£)	– 1,165,593	– –	536,015 546,183	220,037 229,953	98,868 94,335	268,596 258,650	646,716 649,721
Real increase in cash equivalent of transfer values (£)	– 43,251	7,471 –	1,864 27,176	6,548 11,165	9,908 13,732	29,172 17,284	5,760 34,144
Pension provider	RCPS	RCPS	RCPS	RCPS	RCPS	RCPS	RCPS

## Pensions

8 Details of the Research Councils' Pension Scheme (RCPS) is included in Note 7 to the Accounts.

### Research Council Pension Scheme

9 ESRC employees may be in one of five Research Council Pension Schemes: classic, premium, classic plus, partnership or nuvos. The schemes are unfunded with the cost of benefits met by monies voted by Parliament each year and pensions are increased annually in line with changes in the Consumer Prices Index. Full details about these pension schemes can be found at: <http://jsspensions.nerc.ac.uk/> however outlined below are the key features of the schemes:

#### Classic

This scheme is a defined benefits scheme, with benefits based on 'final salary'. Members' contribution rates are 1.5% of pensionable earnings. Benefits accrue at the rate of 1/80th of pensionable salary for each year of service. In addition, a lump sum equivalent to three years' pension is payable on retirement. From 1 October 2002 classic became a closed scheme and no new members could join.

#### Premium

Premium is a defined benefit scheme, with benefits based on 'final salary'. Employee contributions are set at the rate of 3.5% of pensionable earnings. Benefits accrue at the rate of 1/60th of final pensionable earnings for each year of service. Unlike classic, there is no automatic lump sum (but members may give up (commute) some of their pension to provide a lump sum). This scheme was closed to new entrants from 30 July 2007.

#### Classic Plus

Classic Plus is a defined benefits scheme, with benefits based on 'final salary'. It is essentially a variation of Premium, but with benefits in respect of service before 1 October 2002 calculated broadly in the same way as in Classic. This scheme was closed to new entrants from 1 October 2002.

#### Partnership

The Partnership pension account is a defined contribution (money purchase) arrangement. It is a stakeholder pension with employer contributions. The employer makes a basic contribution of between 3% and 12.5% (depending on the age of the member) into a stakeholder pension product chosen by the employee from a selection of approved products (Scottish Widows, Standard Life and TUC/Prudential). The employee does not have to contribute but where they do make contributions, the employer will match these up to a limit of 3% of pensionable salary (in addition to the employer's basic contribution). Employers also contribute a further 0.8% of pensionable salary to cover the cost of centrally-provided risk benefit cover (death in service and ill health retirement). When the member comes to retire they use the fund to buy a pension from a pension provider. They can choose to take up to 25% as a lump sum.

#### Nuvos

Nuvos is a defined benefit scheme, based on a proportion of pay earned in each and every year of service. Members' contribution rates are set at 3.5% of pensionable earnings. The pension is based on a proportion of pay earned in each and every year of service, which builds up at 2.3% of pensionable earnings each scheme year. This scheme was opened to new entrants on 30th July 2007.

### The Cash Equivalent Transfer Value (CETV)

10 A Cash Equivalent Transfer Value (CETV) is the actuarially assessed capitalised value of the pension scheme benefits accrued by a member at a particular point in time. The benefits valued are the member's accrued benefits and any contingent spouse's pension payable from the scheme. A CETV is a payment made by a pension scheme or arrangement when the member leaves a scheme and chooses to transfer the benefits accrued in their former scheme. The pension figures shown relate to the benefits that the individual has accrued as a consequence of their total membership of the pension scheme, not just their service in a senior capacity to which disclosure applies. The CETV figures include the value of any pension benefit in another scheme or arrangement which the individual has transferred to the Research Councils' pension arrangements and for which the RCPS has received a transfer payment commensurate with the additional pension liabilities being assumed. They also include any additional pension benefit accrued to the member as a result of their purchasing additional years of pension service in the scheme at their own cost. CETVs are worked out within the guidelines and framework prescribed by the Institute and Faculty of Actuaries and do not take account of any actual or potential reduction to benefits resulting from Lifetime Allowance Tax which may be due when pension benefits are taken.

### The Real Increase in the Value of the CETV

11 This reflects the increase in CETV effectively funded by the employer. It does not include the increase in accrued pension due to inflation, contributions paid by the employee (including the value of any benefits transferred from another pension scheme or arrangement) and uses common market valuation factors for the start and end of the period.

## Council Members Remuneration

- 12 Council members and Chairmen receive an honorarium in recognition of their service to ESRC, together with a refund of their reasonable expenses. The rate of honorarium is set by BIS. Council members are not employees of ESRC and the appointments are not pensionable. Members of Council who are civil servants are not entitled to receive an honorarium.
- 13 The following table details the period of appointment covering each Council member who served on the Council during 2010/11 along with the remuneration received for that period.

### 2010/11 remuneration for Council Members (comparative 2009/10 figures in brackets)

Name	Period of Appointment	Remuneration £k
Dr Alan Gillespie – Chair of Council	01/06/09 – 31/07/13	15-20 (10-15)
Professor John Beath – Chair; Training and Skills Committee	01/08/09 – 31/07/12	5-10 (5-10)
Mr Martin Brookes – Chair; Audit Committee (until 16/09/10)	01/08/07 – 16/09/10	0-5 (5-10)
Professor Ann Buchanan – Chair; Evaluation Committee	01/08/07 – 31/07/13	5-10 (5-10)
Mr Martin Coleman	01/04/10 – 31/07/12	5-10 (–)
Professor Malcolm Grant*	08/02/08 – 31/07/13	5-10 (5-10)
Mr Paul Grice – Chair; Audit Committee (from 17/09/10)	26/10/09 – 31/07/12	5-10 (0-5)
Professor Charlie Jeffery – Chair; Research Committee	01/08/05 – 31/07/11	5-10 (5-10)
Professor Michael Lamb – Chair; International Network	01/08/06 – 31/07/11	5-10 (5-10)
Professor David Martin – Chair; Impact Network	01/08/10 – 31/07/13	0-5 (–)
Professor Andrew Pettigrew	21/10/04 – 20/10/10	0-5 (5-10)
Mr David Ramsden**	05/02/08 – 31/01/12	– (–)
Professor Judith Rees	01/08/04 – 31/07/10	0-5 (5-10)
Mr David Walker – Chair; Methods and Infrastructure Committee	01/02/07 – 31/07/12	5-10 (5-10)

\* Remuneration gifted to charity.

\*\* Remuneration not payable as member works in the Civil Service.



Paul Boyle  
Accounting Officer  
4 July 2011



## Statement of Council's and Chief Executive's Responsibilities

Under paragraph 3 of Schedule 1 to the Science and Technology Act 1965 the Council is required to prepare a statement of account for each financial year in the form and on the basis directed by the Secretary of State with the consent of the Treasury. The accounts are prepared on an accruals basis and must show a true and fair view of the Council's state of affairs at the year end and of its income, expenditure, losses and cash flows for the financial year.

In preparing the accounts, the Accounting Officer is required to comply with the requirements of the *Government Financial Reporting Manual* and in particular to:

- observe the accounts direction issued by the Secretary of State, including the relevant accounting and disclosure requirements, and apply suitable accounting policies on a consistent basis;
- make judgements and estimates on a reasonable basis;
- state whether applicable accounting standards as set out in the *Government Financial Reporting Manual* have been followed and disclose and explain any material departures in the financial statements;
- prepare the financial statements on the going concern basis, unless it is inappropriate to presume that the Council will continue in operation.

The Accounting Officer for BIS has designated the Chief Executive of the Economic and Social Research Council as the Accounting Officer for the ESRC. The responsibilities of an Accounting Officer, including responsibility for the propriety and regularity of the public finances for which he is answerable, for the keeping of proper records and for safeguarding the Council's assets, are set out in the 'Non-Departmental Public Bodies' Accounting Officers' Memorandum, issued by HM Treasury and published in *Managing Public Money*.

## Economic and Social Research Council Statement on Internal Control

### Scope of Responsibility

As Accounting Officer, I have responsibility for maintaining a sound system of internal control that supports the achievement of ESRC's policies, aims and objectives, as approved by Council, whilst safeguarding the public funds and ESRC assets for which I am personally responsible. This is in accordance with the responsibilities assigned to me in *Managing Public Money*.

### The Purpose of the System of Internal Control

The system of internal control is designed to manage risk to a reasonable level rather than to eliminate all risk of failure to achieve policies, aims and objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness. The system of internal control is based on an ongoing process designed to identify and prioritise the risks to the achievement of ESRC's policies, aims and objectives, to evaluate the likelihood of those risks being realised and the impact should they be realised, and to manage them efficiently, effectively and economically. The system of internal control has been in place in ESRC for the year ended 31 March 2011 and up to the date of approval of the annual Report and Accounts, and accords with HM Treasury guidance.

### Capacity to Handle Risk

ESRC has a Risk Champion at Director level who co-ordinates and leads on risk issues. Risk champions have also been appointed at Directorate level who have a similar devolved responsibility. It is ESRC's policy to assign responsibilities to staff with appropriate skills to manage risk aspects of their work. ESRC's core business involves the commissioning of research and research training. ESRC operates a risk management framework which draws upon engagement of expert advice from leading members of UK and International Researchers, and user communities across the UK, which is applied extensively to underpin ESRC scientific decision-making.

## Risk and Control Framework

Under the policy approved by Council, ESRC's framework embeds risk management via:

- Council itself, which approves the risk policy and oversees the framework and high-level risks;
- Council's Audit Committee, which assesses risk management processes and reports to Council;
- The Chief Executive and Directors of the major functions, who are responsible for identifying and managing risks;
- Devolved risk management responsibilities held by staff within the Directorates.

General risk awareness is made available to staff through issued guidance and corporate induction, with further development in risk assessment and management being provided to the Directorate 'risk champions' which has extended the skill base across ESRC. This Group meets regularly to share issues and consider ways of continuously developing and enhancing the risk management framework.

There are also regular weekly Directors and quarterly Senior Management Team meetings that, where appropriate, include discussion of risk aspects of ongoing and new business developments. Quarterly Directorate reports are also supported by updating of Directorate Risk Registers. From 2011/12 Risk Registers will formally be included with quarterly Directorate reports twice a year and reviewed by Directors.

The Risk Champions Group reported to Directors in 2010/11 on a review of ESRC's risk process. This had resulted in a number of improvements in terms of cross-directorate integration and adoption of improved structures and updated definitions including harmonisation of risk templates and a dedicated risk area within SharePoint. The review also reported that whilst the framework adopted by ESRC was robust the group recognised the benefit in adopting a policy of continuous improvement. Directors accepted the report endorsing the programme of continual improvement.

ESRC operates largely within a low-risk environment where the bulk of operational expenditure occurs within the Higher Education environment, which largely operates within a control framework subject to public sector oversight. ESRC has established a register of risks, and these risks have been evaluated, to include consideration of the desired level of risk appetite having regard to ESRC strategies and priorities. Controls have been assessed and responsibilities for management of risks assigned at various levels. The key corporate risks covered by the Strategy relate to the maintenance of social science research capacity, achieving excellence in commissioned research, sustaining ESRC's reputation and influence and effectiveness of delivery.

During the year, taking account of a concern raised by ESRC's Council, the ESRC Audit Committee undertook a special review of the risk framework to consider the need to provide risk oversight for high-level strategic risks relating to delivery of ESRC business against the ESRC Mission. An outcome was a recommendation on the value of identifying a new category of strategic risk. Further work is being done on this in 2011/12 which is being reported to Council.

Principal processes in place for identifying, evaluating and managing risk are:

- maintenance of a Corporate Risk Register;
- regular review of risks by the Directors;
- establishment of Directorate Risk Registers;
- development project proposals incorporate risk evaluations, and implementation plans include risk registers to manage project risks;
- progress reports to the Directors on the status of key projects;
- annual stewardship returns and reports from ESRC Directors on their operation of devolved systems and management of risk;
- peer review processes covering the conduct of ESRC core business of commissioning of research;
- ESRC Scientific Advisory Committee papers include explicit reference to risk assessments;

- the Research Councils' UK Assurance Unit is hosted by BBSRC and acts on behalf of the Research Councils by reviewing the regularity of expenditure on Research Council grants at all eligible Research Organisations. The programme typically involves around 15-20 visits per annum to the research intensive organisations, supplemented by 15 desk-based reviews for the less research-intensive bodies. Assurance activities focus on the control environment and its effectiveness in ensuring compliance with the Research Councils' terms and conditions which accompany grant funding, with a further strand of work focusing on the scrutiny of the costing methodology used in research organisations, which for universities is the Transparent Approach to Costing (TRAC). The programme is an important element of the risk management framework for the ESRC with an annual report produced for me, as the Accounting Officer, which reports on activities undertaken in the year as well as proposed activities for the following year: For 2010/11, due to unforeseen circumstances, the planned programme of visits could not wholly be completed with only 11 visits undertaken instead of the planned 19. This was because of the diversion of staff to other RCUK priority work and also the loss of staff resource due to resignation without short term replacement due to Government constraints on recruitment. Despite the shortfall in visits, and taking into account the generally positive nature of findings from the actual visits made, the programme was nevertheless considered to provide the Accounting Officer with a satisfactory level of assurance. Relevant considerations include the good level of inherited assurance available from previous years' work, and the fact that the 5 year rolling plan of visits is derived from a risk and assurance map. In addition for ESRC extra assurance is provided from HQ based sample voucher checks undertaken on individual grants at final claim stage settlement stage;
- monitoring/reporting arrangements on business-critical projects:
  - Understanding Society. This project is establishing a major new longitudinal study of the UK population across 40,000 households;
  - Birth Cohort Facility Project. This Project is establishing a new birth cohort study of 90,000 babies in 2012 and a Cohort Resources Facility to co-ordinate the work of the existing UK Birth Cohorts;
  - RCUK SSC implementation.
- those relating to Venture funding which include the requirement for a risk assessment for all proposals put to Directors;
- corporate project management guidance;
- ESRC leads the Global Uncertainties Programme where risks are agreed and managed on a cross-Research Council basis.

In addition, for its large five-year Research and Resource Centre investments, which are commissioned at Research organisations, ESRC grant conditions require each Centre to establish a Risk register which is subject to ESRC oversight. These requirements offer additional assurance in a key area of funded expenditure.

## **Fraud Control**

All new members of staff are made aware of ESRC's fraud policy, response plan and whistle-blowing policy as part of the induction process. Fraud guidance is available to all staff on the Intranet ensuring that there is an awareness of their responsibilities to report fraud and the process by which to do so. There were no instances of fraud reported in 2010/11.

## **Cross-Council Risk Management**

A cross-Research Council Risk Awareness Network Group has been established by RCUK to meet every six months to support sharing of knowledge and approaches to risk management across the Research Councils. This now includes membership of RCUK SSC Limited.

## **RCUK Shared Service Centre Development**

The SSC implementation is a business-critical project that is delivering a single organisation administrative support service for all UK Research Councils. This includes the main administrative activities in Human Resources, Payroll, Finance and Procurement, IT and Grants Processing. ESRC migrated Human Resources to SSC in February 2009, Payroll in May 2009, Finance and Operational Procurement in November 2009 and Grants processing in February 2011. ESRC monitors and manages risks associated with the integrity of data maintained by the SSC and the service provided by SSC.

The decisions to migrate functions were joint decisions between ESRC and SSC, and were taken on assurance that the SSC systems and processes were sufficiently robust to provide transactional services to ESRC. Grants processing migrated to SSC in February 2011, but up until that point the controls within the grants module remained unchanged. All grant payments made in 2010/11 were made through the interim interface between ESRC's grants system and Oracle. This interface passes transaction details on payments into Oracle and was fully tested by ESRC who were satisfied that the interface was robust and that the transactions were handled within a controlled environment.

Stabilisation issues around the services which migrated earlier still remain under review, although core financial transactional support to ESRC is at an acceptable level. The movement to normal working is being supported through Cross council practitioners groups which have been established to cover specific functional areas ie, Finance, Purchasing, HR and IT/IS. These sit within a delivery control framework structure involving a Client Services Group which now acts as the principal mechanism for oversight and management of the overall SSC service delivery-including service charges.

ESRC have developed their own reports from Oracle and OBIEE in order to facilitate financial management and reporting. These reports, which generally provide Financial Information at a summary level, supplement those available direct from the Finance system and have been well received by budget-holders.

An action plan has been put in place covering the year-end Accounts production process for the 2010/11 Accounts based on a lessons learnt exercise undertaken jointly by SSC Limited and the Research Councils. Regular weekly meetings take place between SSC Limited and Senior Finance staff from the Research Councils to review the progress being made on the Accounts production against the agreed plan.

ESRC has obtained assurance from the following key control and assurance mechanisms:

- Governance and risk management of the SSC implementation project has been provided by the RCUK SSC Programme Board acting for the Research Councils. The Board comprised of representatives of each Council, SSC Limited and a number of independent members. This Programme Board was closed on 15 April 2011.
- SSC Limited has a Board of Directors and Audit Committee which provide a corporate governance framework in line with statutory and best practice requirements. Chief Executives, as shareholders, have appointed nominee Directors to the SSC Limited Board. The ESRC nominee is ESRC's Director of Finance, who is also a member of the SSC Limited Audit Committee.
- As a stakeholder in this project ESRC operated its own Project Board to exercise control and oversight regarding its participation in the project and associated risks. The high-level risks and mitigation strategies have been regularly scrutinised by ESRC's Directors Group. Governance arrangements are regularly monitored by ESRC's Audit Committee.
- Internal audit assurance has been provided on the RCUK SSC Limited business operations (supporting that company's annual Statement on Internal Control) and also covered the readiness of each Research Council to transfer to SSC live operations and independent assurance on project delivery.
- During the year the RCIAS undertook a range of System Control Audits to provide end-to-end assurance on 12 separate SSC-supported systems including payroll, accounts payable and receivable. Each audit included some testing of controls operating both within the RCUK SSC and retained function areas in order to cover the whole business process. All audits have reported limited assurance but recommendations as accepted by RCUK SSC and retained function managements (the latter via the Cross-Council Client Services Group) have established a route for further stabilisation and improvement of overall services and the assurance available from them.
- A comprehensive internal audit strategy relating to the RCUK SSC project and operations for 2011/12 and beyond has been developed. A feature of this strategy is that the control framework operating within the Enterprise Resource Planning platform and within the end-to-end processes managed by each Councils' retained functions are subject to comparative testing and assurance for live systems.

Audit findings on weaknesses in assurance also have to be viewed within the context of the SSC's continued evolution from initial start up through stabilisation to mature service delivery. This process, within the challenges presented under a large-scale system implementation, also has to necessarily develop in hand with client-retained function processes and familiarity with the new operating environment.

Regarding specific ESRC assurance and implications arising from the system audits where limited assurance was reported, the findings were of limited significance for ESRC in view of low volumes and materiality of transactions in affected areas such as travel expenses, GPC card usage and purchasing. In the key area of risk concern identified by RCIAS relating to cash management and bank reconciliations, ESRC risks were low, given the narrow range of banking services operated by ESRC. Whilst ESRC management have accepted that SSC reconciliation processes and ESRC oversight of that work have needed to be strengthened, as now agreed and being implemented, all movements and balances have been confirmed, and the risks are regarded as under control.

## Business Continuity

ESRC has a Business Continuity Plan and a Business Continuity Team made up of key personnel from across all ESRC's business and support areas.

To facilitate consideration of potential threats to business continuity, and integration with cross-council and IT-specific disaster recovery plans, risks have been grouped into the following categories:

- Disruption of Non-IT infrastructure;
- Disruption of IT infrastructure;
- Information systems.

A number of different scenarios, under each of these headings, have been identified and analysed. Where applicable, specific contingency arrangements and disaster recovery strategies have been determined for incidents.

The following elements of the plan have been identified as critical and are tested and reviewed as appropriate. A formal exercise to test ESRC's Business Continuity plan took place in 2010/11 involving Directors and members of ESRC's Incident Management Team:

- Emergency Response;
- Disaster Recovery;
- Contingency Arrangements.

The existing Business Continuity Plan has been approved by the Executive Directors' Group, and has also received the endorsement of ESRC's Audit Committee. It is also subject to independent review, on a regular basis, by the Research Councils' Internal Audit Service. The existing Business Continuity plan is being refreshed in light of ESRC's processing now being undertaken by SSC. A revised Business Continuity plan will be agreed in 2011/12.

## New Chief Executive

- For the period from 1 April to 30 June Ian Diamond retained Chief Executive responsibilities on a part-time basis, following his appointment as Vice Chancellor of the University of Aberdeen. This arrangement was agreed by ESRC Council and BIS, subject to appropriate special measures.
- Between 1 July and 31 August Astrid Wissenburg, whose standing appointment was as ESRC Director of Communications and Information, was appointed interim Chief Executive and Accounting Officer by the BIS Principal Accounting Officer.
- On 1 September I took up my appointment as new ESRC Chief Executive and Accounting Officer.

## Review of Effectiveness

As Accounting Officer, I also have responsibility for reviewing the effectiveness of the system of internal control. My review of the effectiveness of the system of internal control is informed by:

- regular reports by ESRC's internal audit including the Director of Internal Audit's independent opinion on the adequacy and effectiveness of ESRC systems of internal control. All completed ESRC-specific audits undertaken during 2010/11 received an assurance rating of 'Substantial Assurance'. Areas covered are as follows:
  - Strategic and Operational Critical Projects
  - Statement on Internal Control
  - Knowledge Transfer – Follow on Fund
  - Global Uncertainties Programme
  - Retained Finance Functions
  - Other Support Systems: Human Resources.

- ESRC Executive Directors' Group members who have responsibility for the development and maintenance of the internal control framework, and who provide annual reports on their stewardship and management of risk within their Directorates;
- Comments made by the external auditors in their management letter and other reports;
- The Audit Committee's review of internal controls and risk management processes;
- Research award validation procedures under the cross-Research Council annual Funding Assurance Programme which provide assurance on the regularity of research project expenditure at Universities and other research bodies.
- Measures in place at a cross-Research Council level to obtain assurance on the operation of Transparent Approach to Costing at Universities supporting cost data used in Full Economic Costing of funded research proposals.

I have been advised by the Council and the Audit Committee on the implications of the result of my review of the effectiveness of the system of internal control. A plan is in place to address weaknesses and ensure continuous improvement of the system.

### **Control Issues**

The internal control system provides confidence that the risk is managed to a reasonable level and I can provide assurance that it supports the achievement of the ESRC's policies, aims and objectives.



Paul Boyle  
Accounting Officer  
4 July 2011

## **The Certificate and Report of the Comptroller and Auditor General to the Houses of Parliament**

I certify that I have audited the financial statements of the Economic and Social Research Council for the year ended 31 March 2011 under the Science and Technology Act 1965. These comprise the Statement of Comprehensive Net Expenditure, the Statement of Financial Position, the Statement of Cash Flows, the Statement of Changes in Taxpayers' Equity and the related notes. These financial statements have been prepared under the accounting policies set out within them. I have also audited the information in the Remuneration Report that is described in that report as having been audited.

### **Respective Responsibilities of the Council, Accounting Officer and Auditor**

As explained more fully in the Statement of Council's and Chief Executive Responsibilities, the Chief Executive is responsible for the preparation of the financial statements and for being satisfied that they give a true and fair view. My responsibility is to audit, certify and report on the financial statements in accordance with the Science and Technology Act 1965. I conducted my audit in accordance with International Standards on Auditing (UK and Ireland). Those standards require me and my staff to comply with the Auditing Practices Board's Ethical Standards for Auditors.

### **Scope of the Audit of the Financial Statements**

An audit involves obtaining evidence about the amounts and disclosures in the financial statements sufficient to give reasonable assurance that the financial statements are free from material misstatement, whether caused by fraud or error. This includes an assessment of: whether the accounting policies are appropriate to the Economic and Social Research Council's circumstances and have been consistently applied and adequately disclosed; the reasonableness of significant accounting estimates made by the Economic and Social Research Council; and the overall presentation of the financial statements. In addition I read all the financial and non-financial information in the Annual Report to identify material inconsistencies with the audited financial statements. If I become aware of any apparent material misstatements or inconsistencies I consider the implications for my certificate.

In addition, I am required to obtain evidence sufficient to give reasonable assurance that the expenditure and income reported in the financial statements have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

### **Opinion on Regularity**

In my opinion, in all material respects the expenditure and income have been applied to the purposes intended by Parliament and the financial transactions conform to the authorities which govern them.

### **Opinion on Financial Statements**

In my opinion:

- the financial statements give a true and fair view of the state of the Economic and Social Research Council's affairs as at 31 March 2011 and of its net expenditure for the year then ended; and
- the financial statements have been properly prepared in accordance with the Science and Technology Act 1965 and the Secretary of State directions issued thereunder.

## Opinion on Other Matters

In my opinion:

- the part of the Remuneration Report to be audited has been properly prepared in accordance with the Secretary of State directions issued under the Science and Technology Act 1965; and
- the information given in the Financial & Other Information and the Vital Statistics: Who's Who at the ESRC sections of the Annual Report for the financial year for which the financial statements are prepared is consistent with the financial statements.

## Matters on which I Report by Exception

I have nothing to report in respect of the following matters which I report to you if, in my opinion:

- adequate accounting records have not been kept; or
- the financial statements and the part of the Remuneration Report to be audited are not in agreement with the accounting records or returns; or
- I have not received all of the information and explanations I require for my audit; or
- the Statement on Internal Control does not reflect compliance with HM Treasury's guidance.

## Report

I have no observations to make on these financial statements.

8 July 2011

Amyas C E Morse  
Comptroller and Auditor General  
National Audit Office  
157-197 Buckingham Palace Road  
Victoria  
London  
SW1W 9SP



# accounts

## Statement of Comprehensive Net Expenditure for the year ended 31 March 2011

Expenditure	Notes	2010/11 £000	2009/10 £000
Research	4	141,593	135,009
Postgraduate Training	5	55,625	58,150
Knowledge Transfer	6	4,814	4,418
Staff and Council Members' Costs	7(a)	6,258	6,292
Other Expenditure	8	4,348	6,392
Loss on Joint Venture	10	71	34
Depreciation	9(a)	190	219
Amortisation	9(b)	319	628
<b>Total Expenditure</b>		<b>213,218</b>	211,142
<b>Income</b>			
Interest receivable		(6)	(3)
<b>Net Expenditure after Interest</b>		<b>213,212</b>	211,139
<b>Other Comprehensive Expenditure</b>			
Net Revaluation loss/(gain) on Revaluation of Property, Plant and Equipment		523	(1,512)
<b>Total Comprehensive Expenditure for the year ended 31 March 2011</b>		<b>213,735</b>	209,627

All activities are continuing.

The notes on pages 100 to 118 form part of these accounts.

## Statement of Financial Position for the year ended 31 March 2011

	Notes	1 April 2011 £000	1 April 2010 £000
<b>Non-current assets</b>			
Property, Plant and Equipment	9(a)	3,060	4,768
Intangible Assets	9(b)	792	357
Investment in Joint Venture	10	1,030	111
<b>Total non-current assets</b>		<b>4,882</b>	5,236
<b>Current assets</b>			
Trade and other receivables	11	15,631	19,860
Cash and cash equivalents	12	11,018	10,596
<b>Total current assets</b>		<b>26,649</b>	30,456
<b>Total assets</b>		<b>31,531</b>	35,692
<b>Current liabilities</b>			
Trade and other payables	13	(54,855)	(59,325)
Non current assets less net current liabilities		(23,324)	(23,633)
<b>Non-current liabilities</b>			
Provisions	14	(24)	(94)
<b>Assets less liabilities</b>		<b>(23,348)</b>	(23,727)
<b>Taxpayers' Equity</b>			
Income & Expenditure Reserve		(25,803)	(26,876)
Restricted Reserve		219	362
Revaluation Reserve		2,236	2,787
		<b>(23,348)</b>	(23,727)



Paul Boyle  
Accounting Officer  
4 July 2011

The notes on pages 100 to 118 form part of these accounts.

## Statement of Cash Flows for the year ended 31 March 2011

	Notes	2011 £000	2010 £000
<b>Cash flows from operating activities</b>			
Net expenditure after interest		<b>(213,212)</b>	(211,139)
Interest income		<b>(6)</b>	(3)
Investment impairment		<b>71</b>	34
Depreciation charge	9(a)	<b>190</b>	219
Amortisation charge	9(b)	<b>319</b>	628
Decrease in provisions	14	<b>(70)</b>	(183)
Decrease in receivables	11	<b>2,522</b>	1,927
(Decrease) / Increase in payables	13	<b>(7,915)</b>	774
<b>Net cash outflow from operating activities</b>		<b>(218,101)</b>	(207,743)
<b>Cash flows from investing activities</b>			
Payments to acquire property, plant and equipment	9(a)	<b>(117)</b>	(310)
Payments to acquire intangible assets	9(b)	<b>(632)</b>	–
Payments to acquire investments	10	<b>(990)</b>	–
Proceeds from sale of property, plant and equipment		<b>990</b>	
Interest received		<b>6</b>	<b>3</b>
<b>Net cash outflow from investing activities</b>		<b>(743)</b>	(307)
<b>Cash flow from financing activities</b>			
Grant-in-aid received		<b>188,000</b>	178,652
Funding received from other bodies		<b>31,266</b>	33,102
<b>Net cash inflow from financial activities</b>		<b>219,266</b>	211,754
<b>Net increase in cash and cash equivalents in the year</b>	12	<b>422</b>	3,704
<b>Cash and cash equivalents at the beginning of the year</b>	12	<b>10,596</b>	6,892
<b>Cash and cash equivalents at the end of the year</b>	12	<b>11,018</b>	10,596

The notes on pages 100 to 118 form part of these accounts.

## Statement of Changes to Taxpayers' Equity for the year ended 31 March 2011

	Notes	Restricted Reserve £000	Revaluation Reserve £000	Income & Expenditure Reserve £000	Total Govt Funds £000
Balance at 31 March 2009		646	1,307	(25,582)	(23,629)
<b>Changes in Taxpayers' Equity for 2009/10</b>					
Grant-in-aid received		–	–	178,652	178,652
Funding received from Other Bodies	2	–	–	30,877	30,877
Revaluation in year		–	1,512	–	1,512
Transfer from/to Income and Expenditure Reserve – depreciation		–	(32)	32	–
Transfer of Restricted funds		(284)	–	284	–
Net Expenditure after Interest		–	–	(211,139)	(211,139)
<b>Balance at 31 March 2010</b>		<b>362</b>	<b>2,787</b>	<b>(26,876)</b>	<b>(23,727)</b>
<b>Changes in Taxpayers' Equity for 2010/11</b>					
Grant-in-aid received		–	–	188,000	188,000
Funding received from Other Bodies	2	–	–	26,114	26,114
Revaluation in year		–	(523)	–	(523)
Transfer from/to Income and Expenditure Reserve – depreciation		–	(28)	28	–
Transfer of Restricted funds		(143)	–	143	–
Net Expenditure after Interest		–	–	(213,212)	(213,212)
<b>As at 31 March 2011</b>		<b>219</b>	<b>2,236</b>	<b>(25,803)</b>	<b>(23,348)</b>

The movement in the Restricted Fund reflects funds received from the William and Flora Hewlett Foundation that became attributable against research investments in which the foundation wished to co-fund.

# notes to the accounts

## 1 Accounting Policies

### (a) Basis of Accounting

The accounts have been prepared in accordance with a direction given by the Secretary of State, with the approval of HM Treasury, in pursuance of Section 2 (2) of the Science and Technology Act 1965 and with the 2010/11 Government's Financial Reporting Manual (FReM).

The accounting policies contained in the FReM apply International Financial Reporting Standards (IFRS) as adapted or interpreted for the public sector context. Where the FReM permits a choice in accounting policy, the accounting policy which is judged to be most appropriate to the particular circumstances of the ESRC for the purpose of giving a true and fair view has been selected.

### Accounting Convention

These financial statements have been prepared under the historical cost basis modified to include the revaluation of land and buildings and other fixed assets where material.

These financial statements are presented in sterling, ESRC's functional currency, and all amounts have been rounded to the nearest thousand.

The particular policies adopted by ESRC are described below. They have been applied consistently in dealing with items that are considered material to the accounts.

### Adoption of New or Revised Standards Effective and Major FReM Changes for 2010/11

All International Financial Reporting Standards, Interpretations and Amendments to published standards, effective at 31 March 2011, have been adopted in these financial statements, taking account the specific interpretations and adaptations included in the FReM.

IAS 7 Statement of cash Flows (effective for periods beginning on or after 1 January 2010) – this requires that only expenditure which results in a recognised asset in the Statement of Financial Position can be classified within investing activities. ESRC is compliant with IAS 7 in that the only recognised investing activities are the purchase and sale of property, plant and equipment, investments and intangible assets within the Statement of Financial position.

An additional amendment to the FReM, effective from 1 April 2010, has been made in respect of IAS 36 Impairment of Assets. This requires impairments of property, plant and equipment that arise from a clear consumption of economic benefits to be taken direct to the Statement of comprehensive Net Expenditure.

A change in accounting policy has occurred regarding the cost of capital. As part of HM Treasury's Clear Line of Sight project the cost of capital will no longer need to be reported in an entity's annual report and Accounts. In response to this ESRC will no longer be showing notional cost of capital on the Statement of Comprehensive Net Expenditure. This is to make the reporting simpler and easier to understand. For the financial years 2009/10 and 2010/11 this adjustment has no effect on the Statement of Comprehensive Net Expenditure as it was charged and reversed, and therefore the net expenditure for the year transferred to the Statement of taxpayers' Equity is unaffected.

### Effective for Future Financial Years

The IASB and IFRIC issued certain standards and interpretations with an effective date after these financial statements. Where these changes are relevant to ESRC's circumstances they are listed below and will be adopted at the effective date. They have not been adopted early and their adoption is not expected to have a material impact on ESRC's reported income or net assets in the period of adoption.

IAS 24 Related Party Transactions (effective for periods beginning on or after 1 January 2011) – The amendment provides exemption for full disclosure of transactions with state-controlled entities and does not impact the current exemption allowed within the FReM. IAS 24 also clarifies the definition of a related party.

IFRS 7 Financial Instruments: Disclosures (effective for periods beginning on or after 1 July 2011) – Detailed disclosures are required for financial assets transferred to another entity but not derecognised in their entirety and financial assets derecognised in their entirety but in which the reporting entity has an involvement. ESRC does not expect there to be any transactions requiring disclosure but will assess further as appropriate for the 2012/13 financial statements.

IFRS 9 Financial Instruments: Classification and Measurement (effective for periods beginning on or after 1 January 2013) – IFRS 9 is a replacement for IAS 39 and introduced new requirements for the classification and measurement of financial assets, together with the elimination of two categories. Further proposals were introduced in October 2010 in respect of the derecognition of financial assets and liabilities. IFRS 9 is due to be expanded further in June 2011 with regard to the impairment of financial assets measured at amortised cost. ESRC will undertake an assessment of the impact of IFRS 9 once the full requirements are known.

## **(b) Going Concern**

The accounts have been prepared on the basis of a going concern. Any deficit shown on the Income and Expenditure Reserve would be extinguished over time, having regard to the resource and capital budgets to which ESRC can be expected to have access from the sponsoring department, BIS.

Grant-in-aid for the coming year, taking into account the amounts required to meet the ESRC's liabilities falling due in that year, has already been included in the Department's Estimates for that year, which have been approved by Parliament. ESRC financial commitments on research and training grants beyond that period can be met well within the minimum reasonably anticipated income for those years. Such grants issued by ESRC are made under statutory powers within the terms of the Science and Technology Act 1965, applied upon the objects set out in Article 2 of the ESRC Royal Charter.

The settlement from the Comprehensive Spending Review provides for the continuing going concern of ESRC.

IAS 10 also states that for non-trading entities the anticipated continuation of the provision for that service is normally sufficient evidence of going concern. It has accordingly been considered appropriate to adopt a going concern basis for the preparation of these financial statements.

## **(c) Property, Plant and Equipment**

Capital expenditure includes the purchase of land, buildings, equipment to the value of £1,000 or more.

Property, plant and equipment is included at cost or at valuation. The basis of valuation for land and buildings is open market value for existing use.

Land and buildings are professionally valued every five years. In the intervening period relevant indices are used.

In the opinion of the ESRC there is no material difference between the historic and current cost values of the computing and office equipment. ESRC has therefore, as permitted by the FReM, elected to adopt depreciated historic cost as a proxy for fair value for its non-property tangible and intangible assets.

Provision is made for depreciation/amortisation on property, plant and equipment, except land, at rates calculated to write off the costs or the valuation of each asset to its estimated residual value evenly over its expected useful life, as follows:

<u>Freehold Buildings</u>	<u>60 years</u>
<u>Office and Computing Equipment</u>	<u>3-10 years</u>

The useful economic life of assets is reviewed regularly and where a valuation has provided a more accurate assessment this has been used.

Depreciation is taken from the month of purchase with assets in the course of construction not depreciated until they are available for use.

# notes to the accounts

## (d) Intangible Assets

Intangible assets that are acquired by the Council are stated at cost less accumulated amortisation and impairment losses.

Amortisation is charged to the Statement of Comprehensive Net Expenditure on a straight-line basis over the estimated useful lives of intangible assets unless such lives are indefinite. Intangible assets with an indefinite useful life and goodwill are systematically tested for impairment at each Statement of Financial Position date. Other intangible assets are amortised from the date they are available for use. The estimated useful lives are as follows:

Software	5 years
Datasets	5-10 years
Website	5 years

## (e) Financial Assets

Fixed asset investments are stated at cost less provision for permanent diminution in value.

## (f) Impairment

The carrying amounts of the Council's assets are reviewed at each Statement of Financial Position date to determine whether there is any indication of impairment; an asset is considered to be impaired if objective evidence indicates that one or more events have had a negative effect on the estimated future cash flows of that asset. If any such indication exists, the asset's recoverable amount is estimated.

An impairment loss is recognised whenever the carrying amount of an asset or its cash-generating unit exceeds its recoverable amount. Impairment losses are recognised in the Statement of Comprehensive Net Expenditure.

## (g) Investments in Joint Ventures and Associates

An associate is an entity over which the group has significant influence and that is neither a subsidiary nor an interest in a joint venture. A joint venture is a contractual arrangement whereby two or more parties undertake an economic activity that is subject to joint control.

Interests in joint ventures and associates are accounted for under the equity method of accounting in accordance with the principles of IAS 28 and IAS 31.

Under the equity method, the investment in the joint venture or associate is carried in the Statement of Financial Position sheet at cost plus post-acquisition changes in the Group's share of net assets of the joint venture or associate. After application of the equity method, the Group determines whether it is necessary to recognise any additional impairment loss with respect to the Group's net investment in the joint venture or associate.

The joint ventures' and associates' accounting policies generally conform to those used by the Group for like transactions and events in similar circumstances and in those instances where they do not conform, material adjustments are made to the Financial Statements.

The Group holds a 1.83% shareholding in the joint venture company RCUK SSC Limited. Under the terms of the joint venture agreement control is shared jointly with 6 other shareholders. RCUK SSC Limited is therefore accounted for as a joint venture.

There are no material differences in accounting policies between ESRC and its joint ventures.

## (h) Ownership of Equipment or Facilities Purchased with Council Grants

Equipment or facilities purchased by an institution with research grant funds supplied by the ESRC belong to the institution and are not included in ESRC's property, plant and equipment. Through the conditions of the grant applied to funded institutions, the ESRC reserves the right to determine how such equipment or facilities shall be disposed of and how any disposal proceeds are to be utilised.

## (i) Parliamentary Grant-in-Aid and Other Funding

Grant-in-aid for revenue and general capital purposes is credited to the Income and Expenditure Reserve.

## **(j) Research and Development**

As a research funding organisation, the ESRC's research and development expenditure is charged to the Statement of Comprehensive Expenditure when it is incurred.

The ownership of the intellectual property arising from a research project is made clear from the outset. Normally this rests with the university or institution receiving the ESRC award, unless stated to the contrary. Where there are material returns from intellectual property rights from an ESRC supported award, ESRC reserves the right to reclaim up to one third of the total, up to the value of its original award. Recoveries are credited to the Statement of Comprehensive Expenditure when received. Future intellectual property rights arising from the ESRC's research and development have not been included in the accounts as their value in terms of future income is not material and unpredictable.

## **(k) Operating Segments**

The primary format used for segmental reporting is by programme expenditure as this reflects ESRC's internal management structure and reporting. ESRC's assets and liabilities are shared across all business units, which reflects the way the ESRC is managed. Disclosure of assets and liabilities by segment is therefore not required.

## **(l) Insurance**

In line with Government policy, ESRC carries its own risks in respect of employment of staff, buildings, equipment etc, except where there exists a statutory requirement to insure or where commercial insurance represents better value for money.

## **(m) Operating Leases**

There were no finance leases. Operating lease rentals are charged to the Statement of Comprehensive Expenditure on a straight line basis over the period of the lease. An operating lease exists covering ESRC's rental obligations on a London office (see Note 14).

## **(n) Foreign Currencies**

Transactions in foreign currencies are translated at the foreign exchange rate ruling at the date of the transaction. Monetary assets and liabilities denominated in foreign currencies at the Statement of Financial Position date are translated at the foreign exchange rate ruling at that date. Foreign exchange differences arising on translation are recognised in the Statement of Comprehensive Net Expenditure. Non-monetary assets and liabilities that are measured in terms of historical cost in a foreign currency are translated using the exchange rate at the date of the transaction. Non-monetary assets and liabilities denominated in foreign currencies that are stated at fair value are translated at foreign exchange rates ruling at the dates the fair value was determined.

## **(o) Value Added Tax**

ESRC is partially exempt for VAT purposes. All expenditure and fixed asset purchases are shown inclusive of VAT where applicable.

## **(p) Research Grants**

ESRC policy is to accrue for the costs of work undertaken at Higher Education Institutions at Statement of Financial Position date which remain unpaid by ESRC at that date. Future commitments in respect of costs of work yet to be undertaken within approved cash limits at the Statement of Financial Position date are disclosed in note 15.

## **(q) Derivatives and Other Financial Instruments**

Due to the non-trading nature of its activities and the way in which ESRC is financed, ESRC is not exposed to the degree of financial risk faced by non-public sector entities. Moreover, financial instruments play a much more limited role in creating or changing risk that would be typical of the listed companies to which IAS 32, 39 and IFRS 7 mainly apply. ESRC has very limited powers to borrow or invest surplus funds and financial assets and liabilities are generated by day-to-day operational activities and are not held to change the risks facing ESRC in undertaking its activities.

Trade receivables are not interest bearing and are carried at original invoice amount less allowance for non collectable amounts. Provision for impairment is established when there is objective evidence that the Council will not be able to collect all amounts due according to the original terms of the receivable. The amount of provision is the difference between the carrying amount and recoverable amount and is recognised in the Statement of Comprehensive Expenditure.



# notes to the accounts

Trade and other payables are recognised in the period in which related money, goods or services are received or when a legally enforceable claim against ESRC is established or when the corresponding assets or expenses are recognised.

## (r) Cash and Cash Equivalents

Cash and cash equivalents consist of cash balances.

## (s) Restricted Reserve

The restricted reserve has two components and relates to: (i) funds received by ESRC as beneficiary of a will that can only be used for specified purposes; (ii) deposits received from international bodies for specific future research investment. Any income earned is transferred to the reserve from the Income and Expenditure Reserve. Restricted reserve used in year is transferred into the Income and Expenditure Reserve.

## (t) Accounting Estimates

The Council makes estimates and assumptions that affect the reported amounts of assets and liabilities in the next financial year. Estimates and judgements are continually evaluated and based on historical experience and other factors, including expectations of future events that are believed to be reasonable under the circumstances at the reporting date. The estimates and assumptions that have a significant risk of causing a material adjustment to the carrying amount of assets and liabilities within the next financial year are discussed below.

The estimated economic useful lives of property, plant and equipment and intangibles are estimated based on the period over which the asset is expected to be available for use. Such estimation is based on experiences with similar assets and practices of similar businesses. The estimated useful life of each asset is reviewed periodically and updated if expectations differ from previous estimates due to physical wear and tear, technical or commercial obsolescence or legal or other limits on the use of an asset. An increase in the estimated useful life of any item of property, plant and equipment and intangibles would decrease the recorded operating expenses and increase non current assets values.

## Key Accounting Judgements

ESRC's significant accounting policies are stated above. Not all of these policies require management to make difficult subjective or complex judgements. Those that follow are intended to provide an understanding of the policies that management consider critical because of the level of complexity and judgement involved in their application and their impact on the financial statements.

## Research Accrual

Research accrual figures are primarily based on evidence derived from an annual claim process managed by ESRC which requires financial outturn reports on work in progress on live grants. The percentage subject to annual claim returns are around 45% focused on the larger grants in the portfolio at the date of the Statement of Financial Position. Variance data derived from this sample is used to estimate accruals on those grants which are not subject to the exercise. Other statistical data, which is annually updated taking account of change, including that on final under spend on grants and slippage on grant starts, is applied to profiled payments on other grants to provide for completeness and reasonable accuracy of research accrual figures. Period end accruals on Studentships are also based on expenditure data derived from comparable annual reconciliations.

## Provisions for Liabilities

Estimates are subject to uncertainty regarding timing or amounts of obligations (legal or constructive) due by the ESRC. Significant judgements are made regarding probability and measurement of obligations.

## Impairment of Assets

Property, Plant and Equipment are included at recoverable amounts. Management assesses whether assets retain their recoverable amount or whether the asset is impaired, suffering a permanent diminution in value. Judgements are made on obsolescence, damage and loss resulting from normal business operations, and changes in value as part of the annual review of Property Plant and Equipment.

## (u) Pension Scheme

The employees of the Council are members of the Research Councils' Pension Scheme (RCPS) which is a defined benefit scheme but is accounted for as a defined contribution scheme funded from annual grant-in-aid on a pay-as-you-go basis. RCPS the entity has no legal or constructive obligation to

pay those future benefits: its only obligation is to pay the contributions as they fall due and if the entity ceases to employ members of RCPS, it will have no obligation to pay the benefits earned by its own employees in previous years. For this reason, RCPS is treated as a defined contribution plan as stated in IAS 19. The benefits are by analogy to the Principal Civil Service Pension Scheme, except that while the schemes provide retirement and related benefits based on final emoluments, redundancy and injury benefits are administered and funded by ESRC. As permitted by paragraph 31 of IAS 19, ESRC has recorded the pension contributions payable for the period and a corresponding charge to the Statement of Comprehensive Net Expenditure.

## 2 Funding Received from Other Bodies

	<b>2010/11</b>	2009/10
	<b>£000</b>	£000
Contributions from government departments	<b>8,201</b>	7,694
Contributions from non-departmental public bodies	<b>16,253</b>	21,817
Contributions from other bodies	<b>1,660</b>	1,366
	<b>26,114</b>	30,877

## 3 Analysis of Net Expenditure by Segment

The primary format used for segmental reporting is by programme expenditure as this reflects ESRC's internal management structure and reporting. ESRC's assets and liabilities are shared across all business units, which reflects the way the ESRC is managed. Disclosure of assets and liabilities by segment is therefore not required.

ESRC comprises the following programme segments:

### Research

ESRC funds and promotes high-quality basic, strategic and applied research that focuses on pushing back the frontiers of social science on areas of major national importance.

### Postgraduate Training

ESRC supports postgraduate training in the social sciences thus providing trained social scientists who meet the needs of users and beneficiaries thus contributing to the economic competitiveness of the UK. The ongoing training needs for researchers is also met throughout their career.

### Knowledge Exchange

ESRC has a range of processes and mechanisms to actively engage with stakeholders. These processes are used to generate impacts and create benefits for stakeholders, individuals and communities.

## Analysis by Programme Segment – 2010/11

	<b>Research</b>	<b>Postgraduate</b>	<b>Knowledge</b>	<b>Non-</b>	<b>Total</b>
	<b>£000</b>	<b>Training</b>	<b>Exchange</b>	<b>Programme</b>	<b>£000</b>
		<b>£000</b>	<b>£000</b>	<b>costs</b>	
				<b>£000</b>	<b>£000</b>
Programme Costs	141,593	55,625	4,814	–	202,032
Staff Costs	2,393	419	510	2,936	6,258
Other Operating Costs	720	11	32	3,585	4,348
Depreciation	–	–	–	190	190
Amortisation	–	–	–	319	319
Loss on investment	–	–	–	71	71
<b>Total</b>	<b>144,706</b>	<b>56,055</b>	<b>5,356</b>	<b>7,101</b>	<b>213,218</b>

# notes to the accounts

## Analysis by Programme Segment – 2009/10

	Research £000	Postgraduate Training £000	Knowledge Exchange £000	Non- Programme costs £000	Total £000
Programme Costs	135,009	58,150	4,418	–	197,577
Staff Costs	2,363	418	512	2,999	6,292
Other Operating Costs	482	128	33	5,749	6,392
Depreciation	–	–	–	219	219
Amortisation	–	–	–	628	628
Loss on Investment	–	–	–	34	34
<b>Total</b>	<b>137,854</b>	<b>58,696</b>	<b>4,963</b>	<b>9,629</b>	<b>211,142</b>

## 4 Research

	2010/11 £000	2009/10 £000
Research Programmes	16,823	19,774
Research Centres	18,813	18,359
Research Resources	8,382	4,960
Research Grants	44,873	47,426
Fellowships	1,578	1,884
Research Ventures	17,139	12,457
Department for International Development	2,484	3,819
Other Research	1,614	1,614
International Office	2,979	3,389
International Subscriptions	213	267
Research Equipment and Facilities	26,695	21,060
	<b>141,593</b>	135,009

## 5 Postgraduate Training

	2010/11 £000	2009/10 £000
Standard Course Studentships	1,274	1,283
Standard Research Studentships	42,591	42,073
Other Studentships	3,103	1,984
Language-based Area Studies	4,814	5,419
Post Doctoral Fellowships	3,843	7,391
	<b>55,625</b>	58,150

## 6 Knowledge Exchange

	2010/11 £000	2009/10 £000
Knowledge Exchange Activities	4,581	3,070
Knowledge Exchange Partnerships	233	1,348
	<b>4,814</b>	4,418

## 7a Staff Costs

	Permanently Employed Staff	Temporary Staff	Seconded Staff	Council and Committee Members	2010/11 £000	2009/10 £000
Wages and Salaries	4,413	2	336	214	4,965	5,034
Social Security Costs	311	–	22	–	333	365
Superannuation (Note 7(c))	974	–	89	–	1,063	893
<b>Sub Total</b>	5,698	2	447	214	<b>6,361</b>	6,292
Less recoveries in respect of outward secondments	(103)	–	–	–	(103)	–
<b>Total</b>	<b>5,595</b>	<b>2</b>	<b>447</b>	<b>214</b>	<b>6,258</b>	6,292

Staff costs include costs for an average of 23 staff transferred to SSC Limited under the Transfer of Undertakings (Protection of Employment) Regulations 2006 but seconded back to ESRC for the period 1 April 2010 to 31 March 2011.

There have been no compensation payments or exit packages in the current or prior year.

## 7b Staff Numbers

	2010/11 Permanently Employed Staff	2010/11 Temporary Staff	2009/10
Senior Management (Chief Executive and Band H)	4	–	4
Managerial (Bands C to G)	116	–	120
Administrative Support (Band B)	28	4	36
	<b>148</b>	<b>4</b>	160

The temporary agency staff covered complemented vacancies, long-term absences and additional resource for the SSC Project.

# notes to the accounts

## 7c Superannuation

The employees of the Council are members of the Research Councils' Pension Schemes (RCPS) which are defined benefit schemes funded from annual grant-in-aid on a pay-as-you-go basis. The benefits are by analogy to the Principal Civil Service Pension Scheme, except that while the schemes provide retirement and related benefits based on final or average emoluments any redundancy or injury benefits are funded directly by ESRC.

The scheme is administered by the Research Councils' Joint Superannuation Services with the associated grant-in-aid managed by the Biotechnology and Biological Sciences Research Council (BBSRC). The schemes' accounts are prepared by BBSRC, on behalf of the BBSRC Chief Executive as the Accounting Officer for the RCPS, and these are published. Employee contributions vary between 1.5% and 3.5%.

The employer's contribution is agreed by the RCPS Board of Management on the recommendation of the Government Actuary's Department. The actuarial valuation was carried out as at 31 March 2006 by a qualified independent actuary. Based on this valuation, it was agreed to increase in the employer contribution rate to 25.6% from 21.3%, effective from 1 April 2010. The rate of 25.6% therefore applies to these accounts. The full actuarial valuation is carried out every four years, with the next valuation as at on 31 March 2010 but not yet completed. Details are available in the accounts of the RCPS, which can be found at [www.bbsrc.ac.uk](http://www.bbsrc.ac.uk).

The RCPS is an unfunded multi-employer defined benefit State scheme which is funded on a pay-as-you-go basis: contributions are set at a level that is expected to be sufficient to pay the required benefits falling due in the same period; future benefits earned during the current period will be paid out of future contributions. In RCPS, ESRC has no legal or constructive obligation to pay those future benefits: its only obligation is to pay the contributions as they fall due and if the entity ceases to employ members of RCPS, it will have no obligation to pay the benefits earned by its own employees in previous years. For this reason, RCPS is treated as a defined contribution plan as stated in IAS 19.

For 2010/11, employer's contributions of £974k were payable to the RCPS (2009/10 £893k) at 25.6% of pensionable pay, based on the salary bands. Employer contributions are to be reviewed every four years following a full scheme valuation by the Government Actuary. The contribution rates reflect benefits as they are accrued, not when the costs are actually incurred, and reflect past experience of the scheme.

## 8 Other Expenditure

	<b>2010/11</b>	2009/10
	<b>£000</b>	£000
Maintenance and Office support	<b>946</b>	976
Postage and Telecommunication	<b>35</b>	89
Archive Services	<b>–</b>	6
Management Consultancy and Other Professional Fees	<b>51</b>	214
Research Evaluation and Information Contracts	<b>506</b>	586
Auditors' Remuneration	<b>67*</b>	56
Staff Training and Subscriptions	<b>95</b>	125
Publicity and Distribution	<b>527</b>	1,979
Travel and Subsistence	<b>308</b>	465
Meetings and Catering	<b>30</b>	142
Conference Costs	<b>19</b>	43
Recruitment	<b>26</b>	130
VAT/NI Services	<b>–</b>	3
Legal Services/Internal Audit	<b>69</b>	75
RCUK Office	<b>102</b>	90
SSC Implementation Costs	<b>87</b>	379
SSC Service Costs	<b>1,418</b>	1,031
Miscellaneous	<b>63</b>	6
Provision for Bad and Doubtful Debts	<b>(1)</b>	(3)
	<b>4,348</b>	6,392

\*Includes £7k for 2009/10 IFRS transition work

# notes to the accounts

## 9a Property, Plant and Equipment

The freehold land and buildings net book value relates to the Council's share of Polaris House, Swindon. The land and buildings in totality were professionally valued as at 31 March 2011 by Paul Powis (FRICS) of Powis Hughes Chartered Surveyors in accordance with SAVP and RICS guidance notes on an open market value basis. Between formal professional valuations appropriate indices are used. The figure disclosed represents an agreed apportionment to ESRC of the total valuation.

	Freehold buildings £000	Freehold land £000	Assets under Construction £000	IT / Furniture and Fittings £000	Total £000
<b>Cost/Valuation</b>					
At 1 April 2009	1,852	333	690	1,600	4,475
Additions	–	–	305	5	310
Revaluation	318	1,124	–	–	1,442
Disposals	–	–	–	–	–
<b>At 31 March 2010</b>	<b>2,170</b>	<b>1,457</b>	<b>995</b>	<b>1,605</b>	<b>6,227</b>

<b>Depreciation</b>					
At 1 April 2009	–	–	–	1,310	1,310
Provided in year	70	–	–	149	219
Revaluation	(70)	–	–	–	(70)
Disposals	–	–	–	–	–
<b>At 31 March 2010</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>1,459</b>	<b>1,459</b>

<b>Net Book Value</b>					
<b>31 March 2010</b>	<b>2,170</b>	<b>1,457</b>	<b>995</b>	<b>146</b>	<b>4,768</b>

<b>Cost/Valuation</b>					
At 1 April 2010	2,170	1,457	995	1,605	6,227
Reclassification	–	–	(122)	–	(122)
Additions	–	–	117	–	117
Revaluation	(140)	(449)	–	–	(589)
Disposals	–	–	(990)	(32)	(1,022)
<b>At 31 March 2011</b>	<b>2,030</b>	<b>1,008</b>	<b>–</b>	<b>1,573</b>	<b>4,611</b>

<b>Depreciation</b>					
At 1 April 2010	–	–	–	1,459	1,459
Provided in year	68	–	–	122	190
Revaluation	(68)	–	–	–	(68)
Disposals	–	–	–	(30)	(30)
<b>At 31 March 2011</b>	<b>–</b>	<b>–</b>	<b>–</b>	<b>1,551</b>	<b>1,551</b>

<b>Net Book Value</b>					
<b>31 March 2011</b>	<b>2,030</b>	<b>1,008</b>	<b>–</b>	<b>22</b>	<b>3,060</b>

Both assets under construction have been completed in year and the software asset costs of £122k has transferred to intangibles assets (note 9b).

The remaining asset under construction represents ESRC's agreed share (1.83%) of the capital costs to date of the Research Councils UK Shared Services Centre. On the 29th March 2011 each of the seven Research Councils who were joint investors in the Research Councils UK Shared Services Centre project sold their individual assets under construction which totalled £54 million to RCUK Shared Services Centre Limited in exchange for 'B' shares to the same value in RCUK SSC Limited. ESRC's agreed share (1.83%) of the capital costs of the project to the date of sale was £990k.

## 9b Intangible Assets

Datasets relate to the purchase of licences giving ESRC the rights to access data. Software relates to the internal development of in-house systems used within the business. Website costs relate to the internal development costs of ESRC's website.

Cost	Datasets £000	Software £000	Website £000	Total £000
At 1 April 2009	1,542	2,788	1,546	5,876
Additions	–	–	–	–
<b>At 31 March 2010</b>	<b>1,542</b>	<b>2,788</b>	<b>1,546</b>	<b>5,876</b>
<b>Amortisation</b>				
At 1 April 2009	907	2,722	1,262	4,891
Provided in year	278	66	284	628
<b>At 31 March 2010</b>	<b>1,185</b>	<b>2,788</b>	<b>1,546</b>	<b>5,519</b>
<b>Net Book Value</b>				
<b>31 March 2010</b>	<b>357</b>	<b>–</b>	<b>–</b>	<b>357</b>
At 1 April 2010	1,542	2,788	1,546	5,876
Reclassification	–	122	–	122
Additions	402	56	174	632
<b>At 31 March 2011</b>	<b>1,944</b>	<b>2,966</b>	<b>1,720</b>	<b>6,630</b>
<b>Amortisation</b>				
At 1 April 2010	1,185	2,788	1,546	5,519
Provided in year	302	12	5	319
<b>At 31 March 2011</b>	<b>1,487</b>	<b>2,800</b>	<b>1,551</b>	<b>5,838</b>
<b>Net Book Value</b>				
<b>31 March 2011</b>	<b>457</b>	<b>166</b>	<b>169</b>	<b>792</b>



# notes to the accounts

## 10 Investment in Joint Venture

Investment in SSC	2010/11 £000	2009/10 £000
<b>Cost</b>		
1 April 2010	145	145
Additions	990	–
<b>31 March 2011</b>	<b>1,135</b>	<b>145</b>
<b>Impairment</b>		
1 April 2010	34	–
Impairment	71	34
<b>31 March 2011</b>	<b>105</b>	<b>34</b>
<b>Net Book Value</b>		
1 April 2010	111	
<b>31 March 2011</b>	<b>1,030</b>	<b>111</b>

RCUK Shared Services Centre Limited (SSC) (registered in England, registration number 6330639). Place of business – North Star House, North Star Avenue, Swindon, SN2 1FF.

ESRC's share ownership in RCUK Shared Services Centre Limited is one 'A' ordinary share of £1 and 1,134,900 'B' shares of £1 each. The 'A' shares carry a voting right per share. Each of the seven Research Councils are joint investors in the project and each Council's individual share is 14%. The 'B' shares convey ownership rights to the holder, including any distributions or proceeds from the sale of the SSC. The 'B' shares are apportioned in accordance with the agreed share of the implementation costs. ESRC's share ownership is therefore 1.83%.

In accordance with IAS31 the value of the shares has been reduced by the loss incurred by the RCUK SSC. ESRC share of £71k has been charged directly to the Statement of Comprehensive Net Expenditure. The loss relates to depreciation incurred by SSC Limited but not recharged to its customers, who are the seven Research Councils.

For the period ended 31 March 2011 the draft financial statements of the SSC shows revenue of £61.2m (2009/10 – £64.8m) and administration costs of £5.9m (2009/10 – £8.9m) resulting in a loss for the year of £4.4m (2009/10 – profit £0.1m). The Statement of Financial Position totals are £7 'A' shares and £62,016,358 'B' shares issued to the Research Councils and £3.9m cash (2009/10 – £5.2m).

## 11 Trade and Other Receivables

	2010/11 £000	2009/10 £000
<b>Current Receivables</b>		
Contributions (Central Government bodies)	4,705	5,473
Contributions (Other bodies)	539	1,478
Other debts (Central Government bodies)	–	105
Other debts (Other bodies)	128	401
	<b>5,372</b>	7,457
Less: provision for bad and doubtful debts	(3)	(5)
	<b>5,369</b>	7,452
Prepayments (Central Government bodies)	–	–
Prepayments (Other bodies)	10,262	12,408
	<b>15,631</b>	19,860

## 12 Cash and Cash Equivalents

### (a) The following balances were held at the year end

	2010/11 £000	2009/10 £000
Citibank/Lloyds	10,369	9,949
Restricted Reserve bank account	649	647
<b>Cash at 31 March</b>	<b>11,018</b>	10,596

### (b) Reconciliation of movements in cash to movements in net funds

	2010/11 £000	2009/10 £000
Cash at 1 April	10,596	6,892
Net change in cash balance	422	3,704
<b>Cash at 31 March</b>	<b>11,018</b>	10,596

# notes to the accounts

## 13 Trade and Other Payables

	2010/11 £000	2009/2010 £000
<b>Amounts falling due within one year</b>		
Research Accrual (Other bodies)	<b>31,043</b>	37,883
Studentship Accrual (Other bodies)	<b>655</b>	671
Prefunding Receipts (Central Government bodies)*	<b>10,003</b>	8,501
Prefunding Receipts (Other bodies)*	<b>5,834</b>	3,891
Other (Other bodies)	<b>4,139</b>	–
Other (Central Government bodies)	<b>3,181</b>	8,379
	<b>54,855</b>	59,325

\* Prefunding receipts relate to cash receipts in 2010/11 from co-funders which were paid in advance and will be matched as income against expenditure as it is incurred in future accounting periods.

## 14 Provisions for Liabilities and Charges

	Onerous lease obligations £000	SSC £000	2011 Total £000	2010 Total £000
As at 1 April 2010	42	52	<b>94</b>	277
Provided in year	–	–	–	8
Provisions utilised in year	(18)	(52)	<b>(70)</b>	(41)
Provisions not required and written back	–	–	–	(150)
As at 31 March 2011	24	–	<b>24</b>	94

The provision has not been discounted on the basis that the time value of money is not significant.

Provision is being made for outstanding rental obligations on a London office leasehold property held jointly by the Research Councils. Negotiation of a sub-lease to a third party has left a residual lease obligation of £51,000 pa over the next two years which totals £102,000. ESRC's provision together with other minor residual liabilities totals £24,000.

The Research Councils and RCUK SSC Limited have developed a Shared Services Centre to carry out the central functions of HR, Finance, Grants and IT across the Councils. As a result some Research Councils incurred redundancy costs, particularly where existing staff live a distance away from Swindon where the Centre is situated. The prior year balance of £52k represented ESRC's share (1.83%) of all Research Council SSC-related termination provisions. The remaining liabilities were fully met during 2010/11.

## 15 Forward Commitments on Approved Grants and Awards

### (a) Research Awards

Future commitments on approved research awards to Higher Education Institutions and other approved Research bodies:

	<b>31 March 2011 £000</b>	31 March 2010 £000
2010/11	–	138,969
2011/12	130,040	82,330
2012/13	81,572	69,716
Later years	62,492	–
	<b>274,104</b>	<b>291,015</b>

### (b) Postgraduate Training

Future commitments on approved postgraduate awards:

	<b>31 March 2011 £000</b>	31 March 2010 £000
2010/11	–	44,238
2011/12	45,759	27,697
2012/13	26,263	15,364
Later years	<b>15,627</b>	–
	<b>87,649</b>	<b>87,299</b>

### (c) Capital Commitments

Contracted capital commitments at 31 March 2011 not otherwise included in these financial statements:

	<b>2010/11 £000</b>	2009/10 £000
Shared Services Centre	–	152

# notes to the accounts

## 16 Contingent Liabilities

The Council has no material contingent liabilities (2009/10 nil).

## 17 Related Party Transactions

ESRC is a non-departmental public body sponsored by BIS. For the purposes of *International Accounting Standard 24*, BIS is regarded as a related party. During the year, ESRC has had various material transactions with BIS and other bodies for which BIS is regarded as the parent department; namely the Biotechnology and Biological Sciences Research Council, the Engineering and Physical Sciences Research Council, the Natural Environment Research Council; the Medical Research Council; the Science and Technology Facilities Council; the Arts & Humanities Research Council; the Technology Strategy Board; Higher Education Funding Council for England and the RCUK Shared Services Centre Limited.

In addition ESRC has had various material transactions with other Government Departments and other Central Government bodies, viz: Department for Environment, Food & Rural Affairs; Department of Health; Department for Education; Department for Transport; Department for Work and Pensions; Higher Education Funding Council for Wales; Department for International Development; The Cabinet Office; Scottish Funding Council; Scottish Government; UK Commission for Employment and Skills.

Transactions have taken place between ESRC and RCUK Shared Services Centre Limited in respect of the HR, strategic procurement, IT, payroll and Financial Services being supplied in the year.

These Accounts provide disclosure of all material financial transactions with those who have been defined as 'Directors'. In the ESRC context this has been taken to include senior executive staff, as at Section 5 of the Remuneration Report, and all Council members. In addition disclosure is provided in respect of members of ESRC Scientific Advisory Committees, which are used to make recommendations on research and training awards.

During the year, ESRC did not enter into any transactions with any such Directors. However it did enter into a number of material transactions with Institutions employing Council members who had no direct interest in the award concerned (**Table A**). None of the Council members were involved in the recommendation of awards to the Institution where they are a senior member of staff or member of the Governing body. The amounts disclosed represent actual amounts paid in 2010/11.

Information is disclosed on material transactions with any related party of these senior staff, Council and Committee members (**Table B**). The amounts disclosed represent actual amounts paid in 2010/11.

In addition, ESRC made a number of payments in respect of ESRC-funded awards to institutions where Committee/Council members were the named Principal Investigator. None of the disclosed Committee/Council members were involved in the approval of awards to the institution where they were named as the Principal Investigator. (**Table C**). Under ESRC regulations all proposed awards to Council and Committee members are subject to prior review by the Chair of Audit Committee and approved by Council. The amounts disclosed represent actual amounts paid in 2010/11.

**Table A**

Council Member	Institution	No of Awards	Amount £
Professor P Boyle	University of St Andrews	14	876,915
Professor J Beath	University of St Andrews	14	876,915
Professor A Buchanan	University of Oxford	80	8,379,158
Professor M Grant	University College London	78	6,075,179
Professor C Jeffrey	University of Edinburgh	96	6,098,029
Professor M Lamb	University of Cambridge	57	4,170,286
Professor D Martin	University of Southampton	41	3,547,364
Professor A Pettigrew	University of Oxford	80	8,379,158
Professor J Rees	London School of Economics and Political Science	63	5,521,468

**Table B**

<b>Council/Committee Members</b>	<b>Related Party</b>	<b>No of Awards held by Related Party</b>	<b>Amount paid to Related Party £</b>
Mrs B Doig	Barbara Doig Consulting	1	14,476
Mr M Brookes	Pro Bono Economics	1	6,909
Mr D Ramsden	Pro Bono Economics	1	6,909
Dr S Witherspoon	Partner	1	63,982

**Table C**

<b>Council/Committee Members</b>	<b>Institution</b>	<b>No of Awards</b>	<b>Aggregate Amount £</b>
Dr S Adolphs	University of Nottingham	1	55,790
Professor S Arber	University of Surrey	1	338,951
Professor P Boyle	University of St Andrews	2	295,133
Professor J Brannen	Institute of Education	1	129,670
Professor G Bremner	Lancaster University	1	128,466
Professor D Demeritt	King's College London	1	50,232
Professor R Edwards	University of Southampton	1	5,969
Professor P Elias	University of Warwick	2	240,316
Professor B Francis	Lancaster University	2	446,706
Professor V Hazan	University College London	2	124,632
Professor C Jeffery	University of Edinburgh	3	60,210
Professor D Martin	University of Southampton	3	196,108
Professor M Michael	Goldsmiths College	1	57,186
Professor J Nazroo	University College London	2	44,999
Dr P Nightingale	University of Sussex	1	148,734
Professor L Plowman	University of Stirling	1	122,196
Professor J Raymond	University College London	1	42,760
Professor G Rees	Cardiff University	1	482,262
Professor J Rees	London School of Economics	1	1,095,443
Professor K Rowlingson	University of Birmingham	1	18,848
Professor R Smith	University of Sheffield	1	1,921
Professor F Steele	University of Bristol	2	363,736
Professor S Wheeler	Queen's University of Belfast	1	10,488

# notes to the accounts

## 18 Financial Instruments

IFRS 7, Financial Instruments: Disclosures, requires disclosure of the role which financial instruments have had during the period in creating or changing the risks ESRC faces in undertaking its activities. Specifically: (a) the significance of financial instruments affecting financial position and performance; and (b) the nature and extent of risks arising from financial instruments to which it is exposed. Because of the largely non-trading nature of its activities and the way it is financed, the ESRC is not exposed to the degree of financial risk faced by businesses. Moreover, financial instruments play a limited role in creating or changing risk on its operational activities.

**Liquidity Risk** – ESRC's net revenue resource requirements are financed by resources voted annually by Parliament, and administered as grant-in-aid through BIS, just as its capital expenditure largely is. ESRC is not therefore exposed to significant liquidity risks. As described in note 1 (b) ESRC is dependent on funding from BIS to meet liabilities falling due in future years, but there is no reason to believe that this funding will not be forthcoming.

**Interest-Rate Risk** – All of ESRC's financial assets and liabilities carry nil or fixed rates of interest. ESRC is not therefore exposed to significant interest-rate risk.

**Currency Profile** – At the Statement of Financial Position date ESRC held no significant foreign currency assets or liabilities.

**Foreign Currency Risk** – ESRC's exposure to foreign currency risk is not significant. Foreign currency income is negligible and foreign currency expenditure at less than 1% of total expenditure is not significant.

## 19 Losses and Special Payments

There were no losses or special payments that need to be reported.

## 20 Events after the Reporting Period

There were no events between the Statement of Financial Position date and 8 July 2011, the date when the Accounting Officer approved the accounts for issue. The Financial Statements do not reflect events after this date.



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