

SO YOU WANT TO DO COLLABORATIVE RESEARCH...

A University of Bristol guide to the practicalities



What is this guide for?

This guide has been developed to help researchers and professional service staff involved in collaborative research at the University of Bristol. It draws upon the experiences of the AHRC Connected Communities Programme, including the Leadership Fellowship of Keri Facer, the Productive Margins project and the Know Your Bristol project, based at the University of Bristol.

We recommend using this guide early in the process of designing your research to agree terms and processes with your partners around the practicalities of project management. This guide is accompanied by advice for community partners in 'Getting Paid: A guide to claiming payments from the University of Bristol'. We would recommend providing any partners with a copy of the guide to help them understand the university's processes.

This guide is not a comprehensive set of rules but as series of questions designed to help you and your community partner build a good foundational relationship for your research project. It is primarily focussed on the practical administrative side of project management but some guidance on working through the ethical challenges can be found in 'So you want to do collaborative research...: A guide to the ethical considerations.' Please see the resources section for links to other guides in this series.

 **This guide is not a comprehensive set of rules but as a series of questions designed to help you and your community partner build a good foundational relationship for your research project**

Edited by Katherine Dunleavy

With thanks to Keri Facer, Heidi Andrews, Emma Gibbons and Jackie Bishop for their contributions

Designed by Carruthers Tanner

www.carrutherstanner.uk

Contents

Where do I start?	4
Some key questions	6
Top Tips	7
Why does this matter?	8
Payments and contracts	9
a) What process should we follow for my community partner?	12
b) I want to pay expenses only...	13
c) I want to pay fees (with or without expenses)...	14
d) I want to pay a fee to someone who thinks they are self-employed...	15
e) Payment to a company	16
Useful contacts and resources	17
Appendix A	19

Where do I start?

From the outset of a project with community partners it is important to be inclusive in decision making and to manage expectations. One way of doing this is to meet with your community partners early in the design process to create two documents: a roadmap and ethics agreement.

Road Map

It will be useful at the beginning of the project to establish the main phases in the work and to assign responsibilities for the work in each phase. This document can then be used as the basis for legal contracts, an induction for new members of the team and as a tool for reflection. It is also a good idea at this point to put in writing key decisions about data management and payments - for example, who will retain copyright and how will distribution be managed? How will expenses or one-off payments be paid? The document could take many forms and be adapted to the needs of the team but an example template is available in Appendix A. Remember that all collaborations are likely to change and/or generate unexpected results - you should allow for this in your roadmap and review the document regularly.

Ethics Agreement

The ethics of collaborative research can be complex and it is useful to think about them from the start with your community partner(s) to clarify the values of the project and to prepare for later phases of the work. Advice about drawing up an ethics agreement can be found in our complementary publication: *So you want to do collaborative research...* A University of Bristol guide to the ethical considerations.

 **The ethics of collaborative research can be complex and it is useful to think about them from the start with your community partner(s) to clarify the values of the project and to prepare for later phases of the work.**

Administration

Often those involved in the collaboration have other responsibilities outside of the project and this can lead to time consuming administration tasks being placed at the bottom of a list of priorities. We recommend from the outset involving a designated administrator with a set amount of time dedicated to the project. They can be the key to running a project efficiently and are particularly important when working with community partners as they are a set point of contact and can offer expertise about university processes and guidelines.

It is also very useful to think about additional administrative support you may need from other university departments, for example, is there a specific person in the finance department who will oversee your budget? or someone in RED who will draw up your contracts? A good relationship with key university contacts will help you to resolve any problems quickly.

Communication and Contact

Successful collaboration needs a way for parties to stay in touch and quickly deal with issues as they arise, it is best to set up these communication tools early on to avoid 'fire-fighting' and confusion later on. Each group – academics and community partners – should name a contact that can be the first point of call for questions (throughout this document we will refer to the designated university contact as the 'university administrator'). This can be especially helpful for dealing with queries over finance and data issues. Also consider how you will stay in touch, for example, will you have a shared email list or meet regularly (or perhaps use a combination of methods) and set a timeline for any discussions that will need to take place face to face.

 **Successful collaboration needs a way for parties to stay in touch and quickly deal with issues as they arise, it is best to set up these communication tools early on to avoid 'fire-fighting' and confusion later on.**

Some key questions

These questions are important to consider early in the planning process and may inform the content of the project roadmap.

Working together

- What is everybody contributing – finance, knowledge, resources, expertise, access?
- Who will be paid, how and by whom? How will you ensure nobody is financially worse off?
- How often will you meet? Who will organise it?
- How will you stay in touch?

Data management

- How will you manage and store any data?
- Who owns the data?
- How will you ensure informed consent?
- Will there be anonymity for participants?
- Who will be able to access the data and how?

Budget and resources

- Who will manage and/or authorise spending?
- How will the money and/or resources be shared?
- What kinds of labour will be remunerated and what kinds will be voluntary?
- How will remuneration take place in practice?

Findings and outputs

- Who will analyse the data and write up any findings?
- How accessible will data and outputs be to communities?
- Who will own the outputs and intellectual property?
- How will you share/promote the findings to meet funder and university guidelines?
- What form of copyright will be appropriate?

 **These questions are important to consider early in the planning process and may inform the content of the project roadmap.**

Top Tips

Name someone in each organisation as the first point of contact

Get an administrator

Have a cooling off period - give people time to consider their contribution and the terms and conditions

Review the roadmap regularly

Make a payment plan – say what you will pay for and factor expenses and honoraria into your budget early on.

Do not over promise - manage expectations from the outset

Keep documents up to date and share them

Choose venues that are accessible to everyone

Keep talking

Get help – universities have lots of people and resources

Why does this matter?

Collaborative research is based on trust and understanding between the relevant stakeholders and, although they may seem a distraction, the practicalities are a key part of building and maintaining a good relationship. Here are some examples of how community partners can feel when the administration of a project isn't clear.

1 *"It would have been really helpful if I had been provided with an overall project outline. I would often be halfway through before I really had any clue what my role was. If this was clearer it would be harder for people to be bullied or excluded."*

2 *"Community groups often only know the academic who actually recruited their group and will be struggling for the first half of the project to figure out who everyone else is and what every different stakeholder wants out of it. This is rarely clarified."*

3 *"I suppose the problem is it is quite complicated and most people in businesses are just used to invoicing for services so it is all a bit of a shock."*

4 *"Some academics I have met haven't even thought about carving the cake fairly or offered any clarity about the claiming process."*

Payments and Contracts

The central administration of the university can be confusing for both academics and their community partners. It is best to decide as far as possible at the outset of the project who you will pay and how.

In the next few pages you will find a brief introduction to some of the different payment methods used by the university for short-term or one off payments. Providing community partners with the best payment route from the start avoids any delays in payment and helps to build a good working relationship. Remember your partners may not be used to bureaucracy like this so you may need to provide ongoing support throughout the payment process. There are several ways for people to get paid by the university depending on the type of work and their circumstances. They can broadly be defined like this:

- Expenses only claims – for people who are not being paid a fee but need to claim back money for travel or purchases. (See page 13)
- Fee claims – for people who need to be paid for their time and may also have expenses. (See page 14)
- Self-employed claims – for people who need to be paid for their time and may also have expenses but they are responsible for paying their own tax and insurance. (See page 15)
- Organisation/Company claims – for organisations and companies who have paid for the time and/or expense of one of their employees to work with the university and need to claim that money back. (See page 16)

 It is best to decide as far as possible at the outset of the project who you will pay and how.

Forms

All of the forms used for claiming expenses or fees can be printed from the Finance Services website <http://www.bristol.ac.uk/finance/receive-payments/fee-and-expense-claims/>. They need to be completed by the claimant, signed by the budget holder and sent to your faculty finance team. Most often, it is easier to complete university specific information, like budget codes, after the claimant has completed the form as this gives you the flexibility to pay from alternative budgets if necessary and avoids confusion if the claimant is working on more than one project at a time.

Expense claims always require original itemised receipts. Receipts that show the amount spent but do not give details of the purchase won't be accepted and travel receipts or tickets should show the starting point and destination of the journey. It is best to check the claimant has given you all of the receipts and that they match the form before sending anything to the finance team. Expenses must also be in line with the Travel, Subsistence and Expenses Policy <http://www.bristol.ac.uk/finance/receive-payments/fee-and-expense-claims/> providing your community partners with a copy of this or some of the key points can help to avoid disputes after the claimant has spent the money.

Right to work documentation

The Home Office requires that you check that everyone we pay a fee to has the right to work in the UK. To do this you need to see some documentation -the UK Visas and Immigration website <https://www.gov.uk/government/organisations/uk-visas-and-immigration> provides information on documents that can be used and HR can provide further advice.

The procedure is simple:

1. Check the claimant's document(s) before the work is undertaken.
2. Check the validity of the document(s) while they are there.
3. Take a copy of the document(s) and record the date.

Unfortunately, the university is unable to make a payment to individuals if these steps are not followed.

You may want to advise those whose documents you copy of how you will keep them secure and it may be useful to direct them to the university's data protection procedures <http://www.bristol.ac.uk/secretary/data-protection/>.

Documents do not have to be checked in the case of expenses only claims or where a company is invoicing the university.

Contracts

It is common to issue a contract for any work completed over a long term or involving a significant amount of money or resources. RED can offer advice with regard to contracts for any significant partnerships but you may find informal local contracts are more appropriate for some collaborations and for short-term arrangements – your School Manager should be able to talk you through the options available.

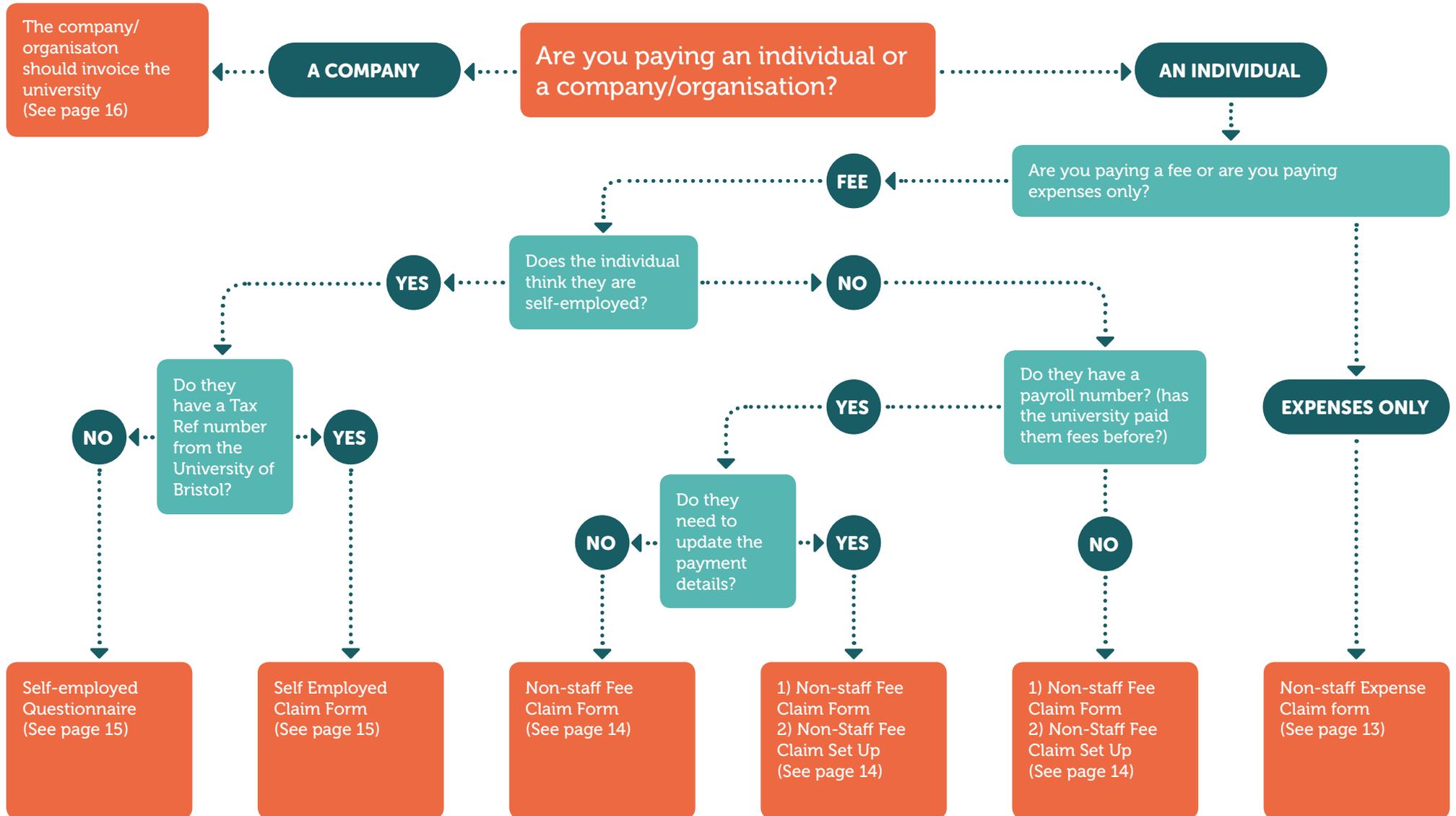
Remember, a contract, where needed, should protect the interests of both the university and your community partner and therefore may require some time and patience for negotiation.

Contract Options

- **Casual or short term contract** – for individuals working for less than 3 months or on an ad-hoc basis. This can be set up locally within the school. Payments will be claimed through a Non-staff Fee Claim form (see page 14)
- **Consultancy contract** – for self-employed individuals. May be set up at school level or by RED via your faculty finance team depending on the type of work and the length of time it covers. Speak to your School Manager or faculty finance team if you are unsure.
- **Company contract** – for companies or organisations being paid for their time or resources. May be set up at school level or by RED via your faculty finance team depending on the type of work and the length of time it covers. Speak to your School Manager or faculty finance team if you are unsure.

 A contract should protect the interests of the university and the community partner.

What process should we follow for my community partner?



I want to pay expenses only...

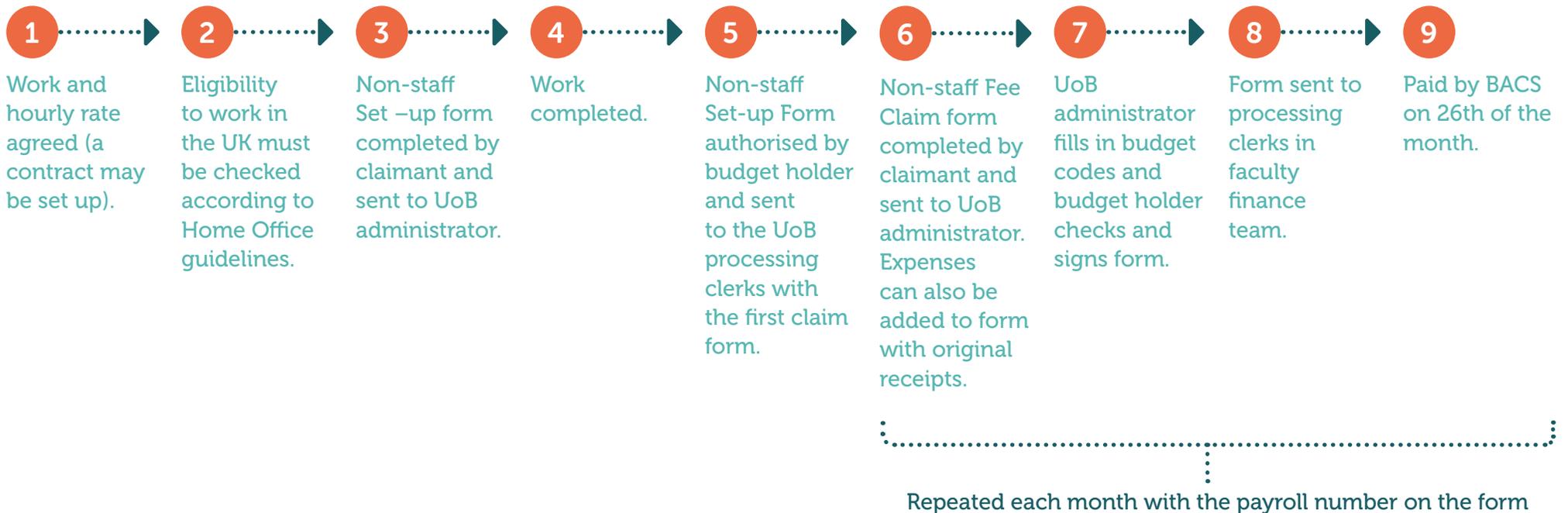
If you are only paying expenses only for travel or purchases a **Non-staff Expenses Claim Form** with the receipts has to be sent to the finance team. Payments are made by cheque or bank transfer and are posted every two weeks. This diagram explains the process:



I want to pay fees (with or without expenses)...

Individuals should be paid in this way if they are paid an hourly or daily rate. They have to be set-up on university payroll using a **Non-staff Set Up Form** and a new **Non-staff Fee Claim Form** has to be sent each month of work. The deadlines for this payment method aren't flexible

and tax, national insurance and student loan payments may be deducted. Expenses can be added to the fee claim form and paid together. The deadlines for submission can change from month to month so it is best to check them with your faculty finance team. This diagram explains the process:



I want to pay a fee (with or without expenses) to someone who thinks they are self-employed...

The tax team at the university must confirm if an individual is eligible to be paid as self-employed. The claimant needs to apply for a reference number by completing a **Self-employed Questionnaire** (available from the tax team) and then can submit a **Self-employed Fee Claim Form** each month once they have the number. This diagram explains the process:

! Please note: If they are not accepted as self-employed they need to follow the standard fee claim procedure (See page 14). If they charge VAT as a sole trader they will need to invoice the university as a company (see page 16).



Payment to a company

If you need to pay an organisation other than the university directly they need to be registered with the university as a supplier. To do this, speak to a department administrator if you need help with this process. The following diagram explains how the payment process will work:



Useful contacts and resources

Online resources

Several Connected Communities Projects have published on issues of collaborative research, their reports can be found in the resources section of the website http://connected-communities.org/index.php/project_resources/ along with information about the projects. Here are a selection relevant to the advice in this book:

Making Media with Communities Guidance for Researchers: http://connected-communities.org/index.php/project_resources/making-media-with-communities-guidance-for-researchers/

Community-based Participatory Research: Ethical Challenges: http://connected-communities.org/index.php/project_resources/community-based-participatory-research-ethical-challenges/

Creating Living Knowledge Report: https://connected-communities.org/index.php/project_resources/creating-living-knowledge-report/

Beyond the Creative Campus: Reflections on the evolving relationship between higher education and the creative economy: https://connected-communities.org/index.php/project_resources/beyond-the-creative-campus-reflections-on-the-evolving-relationship-between-higher-education-and-the-creative-economy/

Other useful online resources

GW4 Alliance guide to collaboration: <http://gw4.ac.uk/guidetoresearchcollaboration/>

National Institute for Health Research: <http://www.invo.org.uk/resource-centre/payment/> - useful for those involved in NHS, public health and social care research

Centre for Social Justice and Community Action: <https://www.dur.ac.uk/beacon/socialjustice/toolkits/> - provides toolkits and case studies for both academics and community partners

University of Bristol

RED – Research and Enterprise Development – can offer advice on a range of research issues such as contracts, impact and funding opportunities.

<http://www.bristol.ac.uk/red/>

CPE – Centre for Public Engagement - can offer advice on engagement beyond the university and help with engagement events.

<http://www.bristol.ac.uk/public-engagement/>

NCCPE – National Co-ordinating Centre for Public Engagement – is joint hosted by the University of Bristol and the University of the West of England. They run events and provide training for academics and community partners and have a good range of resources and information on their website.

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

Research Data Service – provide advice on data planning, management and sharing.

<https://data.bris.ac.uk/>

Finance Services - can provide advice on payment processes, the travel & subsistence policy and provide forms for claimants <http://www.bristol.ac.uk/finance>



The other guides in this series are available from the Connected Communities website.

So you want to do collaborative research...

A University of Bristol guide to the ethical considerations
https://connected-communities.org/index.php/project_resources/so-you-want-to-do-collaborative-research-a-university-of-bristol-guide-to-the-ethical-considerations

Getting Paid

https://connected-communities.org/index.php/project_resources/getting-paid-a-guide-to-claiming-payments-from-the-university-of-bristol

Appendix A

Roadmap template/example

Describe the overall research project:

Outline the research questions to be answered in this project:

This example of a roadmap is from Productive Margins project team. It has been populated to provide some examples of how work may be divided between the community organisation (CO) and project team at the university (UoB) - you should adapt the plan to your own needs with input from your partners.

Template by Heidi Andrews

Key Dates	Output Required	Responsibilities
Phase 1	Working groups leading to the development of the research questions to be answered	(Completed)
Start Date		
Phase 2	Recruit Researcher Employer: [CO/UoB]	<p>Both: Advertise position, shortlist candidates and hold panel recruitment.</p> <p>Candidate appointed must first be approved by both UoB and CO.</p> <p>Employer: Shall take the lead responsibility for employing the candidate and complying with relevant legislation governing recruitment and employment.</p>
Phase 3	Literature Review and Preliminary Scoping Exercise	<p>CO: Researcher will explore the agreed research questions via various means such as literature review, scoping exercises, etc. During this time the Researcher will liaise with the UoB academic lead and the working group.</p> <p>UoB: Provide academic support to the Researcher and guidance on the scoping exercise.</p>
Phase 4	Draft and Agree Project Plan	<p>CO: Researcher will work closely with the UoB academic lead and the working group to draft a detailed project plan addressing the research questions above, based on the results from Phase 3. The Researcher will provide the project plan to the UoB academic lead for approval or comment.</p> <p>UoB: Provide academic support to the Researcher and guidance on the project plan. Review the draft project plan and either approve or provide guidance on changes required for approval. Collaborate with the researcher and CO throughout</p>

Key Dates	Output Required	Responsibilities
Phase 5	Ethical Approvals	<p>Should ethical approval be required under UoB's research governance policies, CO and UoB will liaise closely to ensure compliance with such policies. These policies are available at http://www.bristol.ac.uk/red/researchgovernance/.</p> <p>UoB shall take the lead in any application for ethical approval and will provide appropriate guidance to the CO, however both parties are responsible for compliance.</p> <p>For the avoidance of doubt, the parties agree that NO research requiring approval under the above policies shall be undertaken prior to such approval being granted.</p>
Phase 6	Conduct fieldwork based on agreed Project Plan (data collection)	<p>CO: Most fieldwork will be undertaken by the Researcher using the CO resources – this includes the fieldwork costs provided in the budget as well as the local CO expertise. As the research will involve community members, the CO shall be responsible for selecting and recruiting such community members in collaboration with the UoB academic lead.</p> <p>[Peer Researchers will be selected by the CO/Working Group and trained by the Researcher]</p> <p>UoB: The UoB Academic Lead will provide academic support and guidance to the Researcher</p>
Phase 7	Analysis of data collected	<p>CO: The Researcher shall analyse the data collected at Phase 6.</p> <p>UoB: The UoB Academic Lead will provide academic support and guidance to the Researcher on analysis, particular with respect to analysis techniques and data integrity.</p>

Key Dates	Output Required	Responsibilities
Phase 8	Outputs, including Final Report and Journal Article (if appropriate)	CO: The Researcher shall produce a final report on the project, to include the analysis of data collection. The report should address the research questions.
		If the data collection and analysis warrant, the Researcher and UoB Academic Lead, as well as any appropriate community members, shall co-author a journal article for submission.
Phase 9	Dissemination of results	The CO shall be responsible for dissemination of the results of the research project within the community (subject to the terms of ethical approval, if applicable) UoB shall be responsible for dissemination of the results of the research project within the academic community.

Data Plan

Who will collect data?	
Where will the data be stored?	
Will data be anonymised?	
Who will have access to the data?	

Data Use and Ownership

Any data collected in the research project shall be owned by:	
CO shall have the following rights to use any data collected in the research project:	
UoB shall have the following rights to use any data collected in the research project:	