UCL’S EPSRC IAA DISCOVERY-TO-USE FUNDING GUIDANCE

You should read sections A and B before filling in your application form.

A. GUIDANCE ON ELIGIBILITY AND DOCUMENTATION

1. Project eligibility requirements:
   - **Project activities:**
     - Projects must be directed towards the translation of EPSRC-funded research to practical industrial use and ‘real-world’ benefit.
     - Projects must focus on knowledge exchange (KE) activities. To be classed as knowledge exchange, there must be two-way exchange of knowledge between UCL and external, non-academic organisations / communities (information on KE can be found on our website).
   - **Previous funding:** The project must be linked to one or more underpinning EPSRC research grants – previous KE/Enterprise awards do not qualify. The EPSRC research grant does not have to be current, but the project must have the potential to demonstrably increase its current impact.
   - **Partner organisation:** A UK-based industrial partner organisation must be in place (see Section 3).
   - **Co-funding requirements:**
     - Projects with match (50:50) funding are prioritised
     - A target level of 25% co-funding from the partner organisation(s) is expected for all applications (i.e., partner contribution: EPSRC IAA = 25:75).
     - Applications carrying some cash co-funding will be prioritised and reasons must be provided from the partner organisation if this is not available. In-kind contributions are also considered.
     - Projects with reduced contributions may be given priority where the partner is a governmental, charity or other not-for-profit body or an SME, and the project is deemed to be highly impactful.
   - **Funds available:** £10–100k for 3–18 months, ending no later than Feb 2020. All direct costs can be covered.
   - **Ineligible costs / activities:**
     - Research activities, though limited research activity will be considered under the Discovery-to-Use scheme if it has a clear focus towards a translational outcome.
     - Public engagement activities (e.g., one-way dissemination or broadcast).
     - Costs associated with the protection of intellectual property
     - Indirect, estates and generic administrative costs.
     - The purchase, or contribution towards the purchase, of a single item of equipment valued at >£10k.

2. Principal Investigator (PI) and Co-Investigator (Co-I):
   - The PI must:
     - Be employed by UCL for the duration of the project.
     - Have links to the underpinning EPSRC research grant e.g., listed as PI or Co-I on Grants on the Web. If not, then a Co-I must be named who can demonstrate the necessary links.
     - Note that PDRAs may be the PI if they meet the above criteria and they receive approval from the PI of the underpinning research grant (who must be named as Co-I) and the Head of Department.
     - The PI is responsible for ensuring any person engaged, employed, or who may volunteer to work on this project (including students, postdoctoral research assistants, sponsored researchers, etc.) complies fully with the UK legislation on right to work throughout any time they are participating on the project. Questions should be directed to your HR Business Partner.

If applicants name a Co-I, they must:
   - Be employed by UCL.
Be able to demonstrate documented links to the underpinning EPSRC research if the PI cannot do so – e.g., listed as PI or Co-I on Grants on the Web.

3. Partner Organisation:
Partner organisations are external, non-academic organisations who will participate in knowledge exchange with the UCL project participants and will benefit from the potential outcomes of the project. Organisations acting purely as suppliers or consultants – i.e., if they are being paid for their services and will gain only ‘business-as-usual’ benefit from the project – should not normally be listed here as there is an expectation for partner organisations to contribute to the project, in line with the potential benefit to them.

Industrial partners are not limited to manufacturing, etc. – this will be dependent on the sector of the project.

The partner organisation must have a UK presence.

4. UCL Business (UCLB) recommendation:
A UCLB recommendation is not essential for this scheme but, if your project is directed towards commercialisation or you have concerns over Intellectual Property, you may wish to consult them before applying. Please contact your UCLB Business Manager as early as possible if you intend to obtain a UCLB recommendation.

If you do cite UCLB support, you must provide evidence of their recommendation (e.g., email) with your application.

Note that, if the application is approved, the Funding Committee may request UCLB input before recommending the application for funding or as a condition of the award where appropriate.

5. Worktribe costing:
You will need to prepare a Worktribe costing for applications over £10k and any application where where UCL staff are to be funded. Questions on preparing your Worktribe budget should be directed to your Department’s financial administrator. Please provide them with this guidance:

1. Start a new Standalone Budget
2. For Funder choose Staff Forecast – INTERNAL USE ONLY
3. The partner contribution should be included in the Worktribe budget. If possible, please enter this as separate entries to the EPSRC IAA costs and label it clearly as the partner’s contribution. Do not enter staff costs for non-UCL-personnel (if any) as ‘Salaries’ as this will inappropriately attract the estates and indirect costs that are associated with UCL staff. These may be entered as ‘Other’. See the sample example in the costing tool template.
4. For Estates and Indirect costs select ‘NONE’ for Cost to Funder and Price to Funder.
5. Export the Budget Breakdown to Excel (you will need to attach this when you submit your application).
6. Fill in the partner contribution and EPSRC IAA funding distributions in the corresponding boxes of the application form.
7. Send the Worktribe budget along with your application to your HoD and departmental administrator with budgetary responsibility for approval. These emails of approval should be provided with your application files on submission.

6. Costing tool:
The costing tool is provided with the application form and guidance the funding scheme’s webpage. You will need to fill in the costing tool in order to show the percentage partner contribution for your project. You will be filling in columns C and E and/or F of the ‘Application cost summary’ tab. Column D is calculated automatically.

Column C (Worktribe costing):
This column should be equal to the total project costs (EPSRC IAA + Partner Organisation). This should match the Worktribe budget you created, if you included the partner contribution in the budget (see Section 5). If you did not include the partner contribution in the Worktribe budget, you do not need to re-do it but please add the partner contribution to the appropriate box(es) in the ‘Worktribe Costing’ (column C) of the costing tool.
Columns E (partner cash co-funding) and F (partner in-kind contribution):
Enter the partner contribution under the appropriate budget heading and column. Do not fill in the grey cells (include partner salaries under ‘Other’). If multiple partners are contributing, please add their contributions together and enter the total into the relevant cell(s).

Column D (EPSRC funding):
This is calculated automatically. There should be no negative values in column D; if there are, it is likely that you filled in column C incorrectly (i.e., the partner contribution has been included under the wrong budget heading, or has not been included at all).

Once the Costing Tool is filled in correctly, the Funding Split will show the breakdown of the EPSRC IAA and partner contributions. The total third-party contribution (shown in the ‘Partner’ cell of the funding split, cell E4) should in principle come to at least 25% of the project costs.

7. Approval required:
Projects are not funded at full Economic Cost (indirect and estates costs are not funded); therefore, approval for the project and costings must be provided from the PI’s:
- Head of Department
- Departmental administrator with budgetary responsibility (this varies but is often the Departmental Manager; advice should be sought from your Department’s financial support team if you do not know who this is).

Note that the approval can be in the form of a brief email confirming consent – e.g., ‘I approve’ is sufficient.

8. Useful links:
1. EPSRC Portfolio: https://epsrc.ukri.org/research/ourportfolio/
2. EPSRC Grants on the Web: http://gow.epsrc.ac.uk/
4. UCL Research Contracts office contacts: http://www.ucl.ac.uk/finance/research/rs-contacts.php
5. HR Immigration and right to work information: https://www.ucl.ac.uk/human-resources/working-ucl/employment-contract-administration-team/immigration
6. HR Business Partnering (UCL password required): https://www.ucl.ac.uk/human-resources/about-hr/contacting-hr/people-hr/hr-business-partnering-contact-details
7. Worktribe (UCL password required): https://www.ucl.ac.uk/research-services/worktribe-research-management
10. UCL2034: https://www.ucl.ac.uk/2034/
B. FILLING IN THE APPLICATION FORM

These guidelines outline the information that we will need to assess the project’s fit-to-scheme and impact – please read carefully. Note that the information emphasised here will be different to that emphasised in a standard research grant application as we cannot fund research projects.

1. General

<table>
<thead>
<tr>
<th>Call</th>
<th>EPSRC IAA 2017-20 Discovery-To-Use (D2U)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project title</td>
<td>Should concisely capture the essence of your project and its anticipated impact.</td>
</tr>
<tr>
<td>PI / Academic Lead at UCL</td>
<td>Name</td>
</tr>
<tr>
<td>PI Department</td>
<td></td>
</tr>
<tr>
<td>Co-I at UCL (if any)</td>
<td>Name</td>
</tr>
<tr>
<td>Co-I Department</td>
<td>Enter UCL Department or state if same as PI.</td>
</tr>
</tbody>
</table>

2. Partner Organisation

If there is more than 1 partner in place, please fill in their details in the separate ‘Additional templates.docx’, p.1, using a separate box for each partner. Additional boxes can be added to this template if needed.

<table>
<thead>
<tr>
<th>Name</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Organisation type</td>
<td>If unknown, this information can be found online at Companies House (companies with UK presence) using the registered company number.</td>
</tr>
<tr>
<td>Size of company</td>
<td>Staff numbers: 1–10 Micro; 10–250 SME and 250+ Large</td>
</tr>
<tr>
<td>Lead contact</td>
<td>Name</td>
</tr>
<tr>
<td>UK Address</td>
<td>At least one UK-based partner is required for consideration under this scheme.</td>
</tr>
<tr>
<td>Sector</td>
<td>(select up to 2 applicable boxes):</td>
</tr>
</tbody>
</table>

3. Planned Activities

This section will allow the reviewers and Committee to assess the eligibility of the activities / project to the scheme, the feasibility of the project and how it will increase the impact of the underpinning research.

Although some of the reviewers will have knowledge of the specific subject-area, others will have expertise in different aspects of the application/scheme so the application should be accessible for a general audience.

Avoid over-use of technical language; keep in mind that the project should be focused on the knowledge exchange activities (two-way exchange of expertise/knowledge between UCL and non-academic organisations/communities) and what you are trying to achieve, rather than a detailed description of any technical activities taking place or the underlying science of the project.

<table>
<thead>
<tr>
<th>Summary of aims and objectives of the project</th>
<th>(max. 1500 characters):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe the general aims of your project, placing what you hope to achieve in its wider research context. Be as succinct as possible in your description.</td>
<td></td>
</tr>
<tr>
<td>Describe fully the activities to be undertaken and how they will increase the impact of the underpinning research</td>
<td>(max. 2 pages; add additional pages and Gantt chart if required):</td>
</tr>
<tr>
<td>Outline the proposed activities; explain how they will help you achieve your aims and contribute to maximising impact of the underlying research. For highly technical projects, you may wish to explain in more detail – this is optional rather than a requirement.</td>
<td></td>
</tr>
<tr>
<td>Describe role of partner organisation:</td>
<td></td>
</tr>
<tr>
<td>Describe how the partner organisation is linked to this project (i.e., how it is placed to help achieve the project aims) and how it will contribute to the development of the project and participate in knowledge exchange.</td>
<td></td>
</tr>
</tbody>
</table>
4. Impact and risk assessment

**How does this project fit in with the UCL Innovation & Enterprise Strategy 2016–21 and UCL2034?**

The specific aim of this funding is to support projects aligned with the objectives of the UCL Innovation & Enterprise Strategy 2016–21 and UCL2034.

**Provide an outline of why this project matters in ‘real-world’ terms:**

Briefly outline how this project will further develop the benefit of the underlying research for the wider community; e.g., for economic or societal impact.

**Describe (i) anticipated outcomes, (ii) the potential impact and beneficiaries and (iii) measures of success:**

How will you know the project has achieved its aims? What is the impact of the desired outcome and who will benefit? What indicators will you use in order to measure the success of your project? These can be qualitative, quantitative, or both.

**Plan for ongoing activity and securing further funding if project is successful:**

This funding is intended to act as bridge funding towards other sources of funding for the further translation of the underpinning research. Take this opportunity to expand on your ambitions for the project, what you see as the next step and where you are likely to go for funding.

**Risk assessment and competitor analysis:**

You must answer all of the questions below. Indicate if any are not applicable (i.e., if you are not working on commercialisation you may not need to identify competitors).

Outline (i) the financial and reputational risks and opportunities of this project and (ii) what competitors exist and how this project is differentiated in the market?

**Commercialisation possibilities, including UCLB engagement (where applicable):**

Where applicable, please outline the commercial relevance of the idea and how you see the likely project outputs being commercialised (i.e., Route to Market). This information plays an important role in the decision-making process for proposals related to commercialisation.

After review, we may obtain a formal recommendation from UCLB if the funding committee finds that it is necessary. Where you intend to discuss commercialisation possibilities with UCLB, please engage with your UCLB Business Manager (BM) as early as possible.

**UCLB Business Manager (full name; attach evidence of UCLB support (e.g., email) where applicable:**

Insert the full name of the UCLB BM(s) with whom you have discussed your project, if applicable. If you have not discussed the project with UCLB, please leave this blank. Note that it is not essential that you engage with UCLB for this scheme. However, if you cite UCLB engagement in this section, please provide any evidence (e.g., emails) where it is available. UCLB comments should be provided in the space above for review.

5. Track Record

**Summary of underpinning research and link to EPSRC grant portfolio**

Provide a brief outline of the underpinning research and how it relates to this project. Technical details of the research are not necessary as the purpose of this section is to establish links to one or more EPSRC research grants so that the project can be funded from this scheme. EPSRC research grant numbers should be provided below (previous KE awards are not eligible).

**Project numbers:**

- **EPSRC research grant(s)**
- Other

**Engagement in KE/Enterprise to date**

Indicate if you have received any prior funding to help with this activity, whatever its source. Indicate how much and from whom. If you have not received previous KE/Enterprise funding, please state that this is the case.

**Project numbers and date received (where applicable):**

- **EPSRC IAA**
- Other UCL
- External
### 6. Resources and Financial Details

<table>
<thead>
<tr>
<th>Proposed start/end</th>
<th>Should not start before the ‘Earliest Start Date’ listed for the call. Duration of 3–18 months, ending no later than Feb 2020. Costs cannot be incurred outside the start and end dates.</th>
</tr>
</thead>
</table>
| Partner contribution | Details of contribution from partner organisation:
Give details of how your project partner(s) will contribute to this specific project. If cash and in-kind contributions are involved, they can be mentioned here, but there is space for specific values below. For in-kind support, please detail how the total value has been calculated.
If the partner organisation has declined to provide a cash contribution, please briefly outline their reasons here.

<table>
<thead>
<tr>
<th>Cash (£)</th>
<th>In kind (£)</th>
<th>Total (£)</th>
</tr>
</thead>
<tbody>
<tr>
<td>If more than one partner is in place, the relevant values should be added together for each section. In-kind funding can usually be entered for application costing purposes as if it were cash.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| EPSRC funding requested (£; direct costs only) | Staffing and recruitment requirements (include all current/new staff who will work on project, if any):
Provide details of how the staff being employed will contribute to the project (both current staff – e.g., PI – and any to be employed specifically for the project).

<table>
<thead>
<tr>
<th>Justification of resources requested:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide an outline of how the requested funds will be used for the project.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Salaries</th>
<th>Consumables</th>
<th>Travel</th>
<th>Other</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>£10,000 to £100,000 is available under this scheme.</td>
<td></td>
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</table>

It is important that the total EPSRC IAA costs in the application form match those in the accompanying Worktribe budget (if a partner contribution is included in the Worktribe budget, please highlight or otherwise distinguish clearly the costs that are requested from the EPSRC IAA where possible).

<table>
<thead>
<tr>
<th>Describe expected spend by month:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide preliminary information about how and when you intend to spend funds during the course of your project (this may, of course, be subject to change as your project progresses). This breakdown will enable UCL Innovation &amp; Enterprise to monitor your expenditure over time in order to ensure that the funding is being used as expected. This will constitute go/no go points and a shortfall at any stage will be followed up in order to ensure the award will be used in full. This may result in the funds being clawed back if necessary so it is important that this section is filled in as accurately as possible and that any changes to the expected spend profile are discussed with UCL Innovation &amp; Enterprise staff.</td>
</tr>
</tbody>
</table>

For example, for a 6 month project in which £15,000 is requested for staff, £5,000 for consumables and £2,000 for travel and subsistence where:
- the member of staff is employed for a regular number of hours for the full duration of the project (£15,000 / 6 = £2,500 per month)
- all consumables are purchased at the beginning of the project (£5,000)
- travel to the partner organisation occurs in the final month of the project (£2,000)

Spend by month would be entered as:
- Month 1: £7,500 (staff + consumables)
- Months 2–5: £2,500 per month (staff only)
- Month 6: £4,500 (staff + travel)

<table>
<thead>
<tr>
<th>Staff to be funded 1, 2 and 3</th>
<th>This applies only to UCL staff or new staff to be employed by UCL expressly for this project. If more than 3 members of staff will be funded, please provide the equivalent details in a separate document.</th>
</tr>
</thead>
</table>
| Financial administration | Departmental Administrator full name (and email)
This should be the person who will administer your funds on a day-to-day basis if awarded. It may not be the same person who approves the application. |

<table>
<thead>
<tr>
<th>Worktribe ID</th>
<th>MyFinance Organisational Unit</th>
</tr>
</thead>
</table>
Submit your application including all necessary documentation, as listed at the end of the application form.

C. POST-SUBMISSION PROCEDURES AND CONDITIONS

ASSESSMENT OF APPLICATIONS

Awards will be assessed initially by UCL Innovation & Enterprise staff. Any applications exceeding a threshold of £15,000 will be reviewed by at least three members of the UCL community and the Innovation & Enterprise Funding Committee, who will make recommendations to the Vice-Provost (Enterprise). The decision to award, suggest resubmission, or to decline, will then rest with the Vice-Provost (Enterprise).

Applications for less than £15,000 funding may be considered between meetings.

Projects will be prioritised based on their impact or the building of longer-term research partnerships.

Impact will be monitored through identifiable and measurable outcomes such as new jobs, scientific dissemination and follow-on activity (e.g., business start-ups and/or new collaborations with clear potential for intellectual property (IP) development and/or development of longer-term research partnerships).

The prospective benefits to project stakeholders (UCL, external partner) will all be considered, as well as the strength of the application and its fit with the UCL Innovation & Enterprise Strategic Plan 2016-21 and UCL 2034.

TIMELINE OF APPROVAL

Applications below £15k:
These can be considered outside funding calls. However, if they are submitted during a funding call, they will be considered according to the same timeline as applications above £15k.

Please allow a minimum of 2 weeks for a decision. If approved, an award letter will be issued at this stage to confirm the award. Once the award letter is issued, allow a further 2 weeks at a minimum for the project to be set up on MyFinance.

Applications above £15k:
These will be considered as part of the next available funding call (listed on the website). Committee meetings will normally take place 4 to 5 weeks after the closing date. Applicants will be notified of the decision and any further steps to be taken within three working days following the committee meeting. Projects cannot start before the earliest start date listed for the relevant call.

TERMS AND CONDITIONS OF AWARD

1. By using the funds, you agree to abide by the conditions laid out below and in the award letter. All projects should adhere to UCL’s standard best practice and ethical guidance.
2. Funds may only be used for the activities described in the application for the project awarded. As the Vice-Provost (Enterprise) is the Principal Investigator of UCL’s EPSRC IAA, any changes (e.g., budget virements, extension requests, etc.) to funded projects must be authorised by UCL Innovation & Enterprise. Note that approved changes will only be progressed by a member of the Research Services team upon approval from UCL Innovation & Enterprise. Extension requests will require a new award letter before they can be progressed.
3. Project participants will be required to take part in the monitoring and reporting processes associated with the scheme and the development of case studies. Impacts will be monitored through identifiable and measurable outcomes such as scientific dissemination and follow-on activity (e.g., business start-ups and/or new collaborations with clear potential for intellectual property (IP) development and/or development of longer-term research partnerships).
4. In order for the funds to be released after award of the grant, a contract approved by the UCL Research Contracts team will be required that establishes the ownership rights of the parties involved in the project. The PI and partner organisation must engage with UCL Business (UCLB) and/or the UCL Research Contracts office to ensure UCL’s IP is protected and its value maximised where appropriate.

5. The PI is responsible for ensuring any person engaged, employed, or who may volunteer to work on this project (including students, postdoctoral research assistants, sponsored researchers, etc.) complies fully with the UK legislation on right to work throughout any time they are participating on the project. For more information please check the UCL HR website and/or contact your HR Business Partner for assistance.

6. Funds are dispensed using the normal UCL financial regulations and systems. All successful applicants will be issued with an award letter from the Vice-Provost (Enterprise), which will provide details of the sum awarded, any specific conditions associated with the project (usually set by reviewers or the Innovation & Enterprise Funding Committee), and the project’s unique reference number. Funds will be allocated to the PI’s Department and projects will then be assigned a dedicated Departmental MyFinance project code.

   – To allow auditing and monitoring according to EPSRC requirements, costs should be charged directly to the dedicated account, rather than by transferring money to other accounts. Where the project must start before the MyFinance project has been set up, costs must be transferred to the EPSRC IAA account as soon as possible once the funds are made available for use.
   – All projects will have a start and end date. No commitments can be made after the end date; after the end date, departments will have 3 months to process invoices, etc., then the account will be shut down.
   – Funds must be spent within the terms and conditions of the IAA, meaning any unaccounted costs or underspends will be reclaimed for re-use within further calls.
   – The day-to-day management of the funds and any overspends in expenditure outside the funds awarded will be the responsibility of the PI’s department. It should be noted that it is the responsibility of PIs to monitor the expenditure and budget; UCL Innovation & Enterprise are not responsible for the day-to-day management of the funds. It is advised to contact your Departmental Administrator or Research Services Post Award contact in the first instance if you have any queries or concerns about day-to-day management of your account.

7. Awardees will be required to acknowledge EPSRC support in any published outcomes associated with the award.