UCL’S EPSRC IAA INNOVATOR-IN-RESIDENCE
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 must have a clear knowledge exchange focus; *i.e.*, 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](#)).
     - Should demonstrate measurable impact to all partners. *N.B. This will form an important part of the decision-making process as we can only approve funding where there is evidence of equal benefit to UCL.*
   - **Previous funding:** Must be linked to the EPSRC portfolio. More details below (Section 3).
   - **Partner organisation:** The IiR’s employer / self-employed IiRs must be based in the UK.
   - **Co-funding requirements:**
     - EPSRC IAA funds can be used for 50% of the total project costs and the project **must** attract matching direct (cash) and/or in-kind contributions from the external partner (the IiR or their employer). This is non-negotiable.
   - **Funds available:**
     - Up to £30,000 for projects ending no later than February 2020. All direct costs can be funded.
     - EPSRC IAA funds can be used to cover travel and subsistence, consumables and a portion of the IiR’s basic salary (up to a maximum of 50% of the project costs in total).
   - **Ineligible costs / activities:**
     - Research activities
     - Public engagement activities (*e.g.*, one-way dissemination or broadcast)
     - Costs associated with the protection of intellectual property
     - Indirect, estates, PI time and generic administrative costs
     - The purchase, or contribution towards the purchase, of a single item of equipment valued at >£10k.

2. Innovator in Residence (IiR):
   - Is expected to be a senior member of their industry and to have demonstrated the appropriate skills and experience for the proposed project.
   - Can be in full-time, part-time or self-employment.
   - The IiR must be employed on a temporary contract at UCL for the duration of the project in order to fulfil the EPSRC’s scheme requirements.
   - IiRs from other HEIs (Higher Education Institutions) or other educational establishments are not eligible. Note that an up-to-date CV for the IiR will have to be provided with the application files.

3. Principal Investigator (PI) and Co-Investigator (Co-I):
   - **The PI must:**
     - Be employed by UCL for the duration of the project.
     - The PI will have responsibility for, or be a key participant in, any underpinning UCL activity
     - Either the PI or Co-I should have links to the EPSRC portfolio – *e.g.*, listed as PI or Co-I on [Grants on the Web](#) – or, if the project is based on a Departmental EPSRC research portfolio, the Head of Department may act as PI.
   - **Note** that PDRAs may be the PI if they meet the above criteria and they receive approval from the PI of an 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 as outlined above – e.g., listed as PI or Co-I on Grants on the Web.

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:
A Standalone Worktribe costing is required for all applications. 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. 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 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’ where applicable).

Column D (EPSRC funding):
This column 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:
1. Projects are not funded at full Economic Cost (indirect costs, estates and PI time are not funded); therefore, approval for the project and costings must be provided from the PI’s:
   - Head of Department, including a commitment to hosting the IIIR and making the necessary arrangements for employing them on a temporary contract.
   - 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 detailed statements of support are not necessary.
2. Approval of the project and statement of support is required from the IIIR (if self-employed) or their employer in the form of an email or scanned letter (headed paper and dated) that should also include:
   - details of the nature of any cash or in-kind contribution and its value;
   - commitment to liaise with UCLB and the Research Contracts office to protect and maximise the value of UCL’s IP, and to sign a UCL Research Services approved contract if the project is awarded.
   Note that a template has been provided (‘IIIR letter of support’).

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 Innovator-in-Residence (IiR)</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>
<tr>
<td>Innovator-in-Residence (IiR)</td>
<td>Name</td>
</tr>
</tbody>
</table>

2. IiR's Employer

| Name | |
| Organisation type | If unknown, this information can be found online at Companies House using the registered company number. |
| Size of company | (i.e. Micro, SME, Large, Large Multinational) |
| Staff numbers: 1–10 Micro; 10–250 SME and 250+ Large |
| Lead contact (if different to IiR) | |
| UK address | |
| Sector (select up to 2 applicable boxes): | |

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.

**Summary of aims and objectives of the project** (max 1500 characters):
Describe the general aims of your project, placing what you hope to achieve in the context of the EPSRC portfolio. Be as succinct as possible in your description.

**Describe fully the activities to be undertaken** (max 2 pages; add Gantt chart if required):
This should be written for a non-specialist audience, limiting technical detail as much as possible.

Essential points to include are:
- A summary of the project activities, how they will help you achieve your aims, and a timeframe for the project (including Gantt chart if needed – this can be provided separately if unable to insert it into the application form)
- An explanation of how the IiR is best-placed to achieve the proposed aims. Include any key qualifications or experience they have that are applicable to the project.
- Key outcomes, potential impact and measures of success. You should outline what qualitative and/or quantitative indicators you will use to measure the success of the project and its impact as well as an outline of the potential ‘real-world’ impact.
- An outline of how the IiR, their employer, UCL and any other key beneficiaries could benefit from this project in the long-term, and how it will accelerate the impact of UCL’s EPSRC portfolio.
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.

Describe the expected benefits to UCL resulting from the activity including the impact on UCL’s research and/or teaching:
Outline the potential benefits that the IiR will bring to UCL. Please consider how the collaboration will benefit: (i) research and impact activities, and its contributory role in Departmental planning of Impact Case Studies for REF2021 / REF2028, (ii) research groups and/or department / faculty / wider University communities; (iii) UCL’s EPSRC portfolio. What indicators will you use in order to measure the benefit? These can be qualitative, quantitative, or both.

Describe the expected benefits to the IiR and/or their employer resulting from the activity:
Outline the potential benefits that the project will bring to the IiR. Consider how your research interests fit with the expertise and activities of the collaborating organisation. Also consider how the IiR will benefit from the particular environment in which they will be working. What indicators will you use in order to measure the benefit? These can be qualitative, quantitative, or both.

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 Business Manager(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 grant portfolio
If this project relates to a specific grant or grants, please briefly outline how it is linked and provide relevant research grant numbers below. If it links to a broader portfolio of EPSRC grants (e.g., the PI or Department’s EPSRC portfolio), please briefly outline how – grant numbers are not necessary if too extensive but please provide any available data (e.g., relevant Department, number of grants, number of EPSRC funded academics, total value etc.) on the specific EPSRC portfolio here.

Has the PI engaged with UCL KE/Enterprise previously?
Please indicate whether the PI has previously engaged in KE/Enterprise schemes, whether related to this project or another. If yes, please provide reference numbers in the box provided. This is for statistical purposes only.

Previous engagement between UCL and IiR/their employer
Indicate whether this is a new partnership or, if not, list any existing relationships you have developed with the potential partner organisation. If there are engagements with other parts of UCL that you are aware of, please include them here.

6. Resources and Financial Details

Proposed start/end
Should not start before the ‘Earliest Start Date’ listed for the call and must end no later than Feb 2020. Costs cannot be incurred outside the start and end dates.
**Partner contribution**

Details of contribution from IiR/their employer:
Give details of how the IiR/their employer will contribute to this specific project. If cash and in-kind contributions are involved, they can be mentioned here, but use the space below for specific values. For in-kind support, please detail how the total value has been calculated. In-kind funding can usually be entered for application costing purposes as if it were cash.

<table>
<thead>
<tr>
<th>Cash (£)</th>
<th>In kind (£)</th>
<th>Total (£)</th>
</tr>
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**EPSRC IAA funding requested**

(£, direct costs only)

Justification of resources requested (including IiR staffing requirements)
It is expected that the EPSRC IAA funding will be put towards approx. 50% of the IiR’s basic salary, though this will vary. Additional resources required should be detailed here (note that the EPSRC IAA must come to no more than 50% of the total project costs).

<table>
<thead>
<tr>
<th>Salaries</th>
<th>Consumables</th>
<th>Travel</th>
<th>Other</th>
<th>Total</th>
</tr>
</thead>
</table>

The maximum value of the awards available allowed under this scheme is £30,000.

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

Describe expected spend by month (please refer to guidelines for details):
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 & 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 & Enterprise staff.

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)

**IiR to be funded**

FTE | Current Basic Salary | Equiv. UCL Salary Spine Point
---|---------------------|---------------------

**Financial Administration**

Departmental Administrator 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.

Worktribe ID
Please provide the ref. number for the Standalone Worktribe budget.

MyFinance Organisational Unit

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 (IiR, 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 IiR 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 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, the Department 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.