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# UCL’s Industrial expert-in-residence funding guidance

You should read this guidance alongside information on the scheme webpage before filling in and submitting your application form.

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## A. Eligibility and requirements

### 1. Project eligibility

#### Project pre-requisites

The Industrial expert-in-residence (IiR) must be employed by UCL for the duration of the project.

The project must demonstrate measurable impact to all partners. *Funding can only be approved where there is evidence of equal benefit to UCL as well as the partner organisation.* You’ll also have to show that there is a clear benefit to the UK arising from the project.

We expect the partner organisation to match the EPSRC IAA funding for all applications. The IiR is expected to be a senior member of their industry and to have demonstrated the appropriate skills and experience for the proposed project. Their current employment can be full-time, part-time, or self-employed.

IiRs cannot be from other higher education institutions or other educational establishments.

The project must be linked to EPSRC research and you’ll need to provide grant numbers.

#### Start date

The earliest start date listed on the website is the earliest the MyFinance project can be set up following review. This is normally around 2 weeks after you hear the outcome and will be longer if further follow-up is required by the Funding Committee prior to confirmation of funding.

You should allow additional time (after the advertised start date) for any UCL procedures you may need to follow before your project can start.

This includes:

* arranging collaboration agreements (these will be arranged via your Department’s Research Contracts Manager)
* employing new staff (this will be arranged via your Department’s HR Business Advisor)

#### Costs and activities that can be funded

Direct costs (directly allocated or directly incurred, of any type) can be covered. This includes salaries, consumables, travel and subsistence, etc.

The following costs and activities cannot be covered:

* Indirect, estates and generic administrative costs
* Costs associated with the protection of intellectual property
* The purchase, or contribution towards the purchase, of a single item of equipment valued more than £10,000
* Research activity (e.g. any activity that could normally be funded through research grants)
* Training for the IiR, as the IiR is expected to have all necessary skills to undertake the work. Benefits to the IiR should come from the project and engagement, not training courses
* Public engagement activities that don’t involve a two-way exchange of knowledge (e.g. one-way dissemination or broadcast)
* Conference attendance (unless the project has developed a strategic, targeted intervention to take place during the event aimed at establishing or strengthening a non-academic relationship)

### 2. What documents you need to provide

As part of your application, you’ll need to provide:

* A **Standalone** Worktribe costing (see [section A.5](#_5._Worktribe_costing)).
* Costing spreadsheet. This calculates the percentage the partner and EPSRC IAA will contribute for your project. You can download the costing spreadsheet on the scheme webpage. Guidance on using it is provided in the ‘Instructions’ tab.
* Letter of support from your IiR (if self-employed) or their employer, including:
  + A statement of commitment to the project and approval of the IiR’s involvement
  + The nature and value of the cash and/or in-kind contribution
  + A statement confirming that they will liaise with the PI to put a collaboration agreement in place.
* An up-to-date CV for the IiR

### 3. Conflicts of interest

All UCL staff must recognise and disclose activities that might give rise to actual, perceived or potential conflicts of interest and ensure such conflicts are properly managed or avoided.

Applicants must be able to confirm that they are in compliance with [UCL’s Disclosure of Conflicts and Declaration of Interest Policy](https://www.ucl.ac.uk/enterprise/about/governance-and-policies/ucl-disclosure-conflict-and-declaration-interest-policy) and that disclosure of any potential conflicts of interest has been made on the relevant system.

If you do not comply with the published policy, your application will be disqualified and any awarded funds will be withdrawn.

### 4. Principal Investigator (PI), Co-Investigator (Co-I) and staffing

PIs and Co-Is must have a UCL employment contract in place when you apply. These contracts should cover the full duration of the project.

At least one of the PI or Co-I(s) must have links to the underpinning EPSRC research grant. You must either be a named investigator on the [Gateways to Research page](http://gow.epsrc.ac.uk/) or have approval from a named investigator to link the grant to the project. If the research was part of a block grant (e.g. CDTs) and you are not named on the grant, please contact us for advice.

The PI is responsible for ensuring any person engaged, employed, or who may volunteer to work on this project complies fully with the UK legislation on right to work throughout any time they are participating on the project. This includes students, postdoctoral research fellows, sponsored researchers, etc. Questions should be directed to the relevant [HR Business Partner](https://www.ucl.ac.uk/human-resources/about-hr/contacting-hr/people-hr/hr-business-partnering-contact-details).

The PI is also responsible for ensuring all standard UCL regulations are followed in the recruitment of staff for the project, e.g. temporary staff must be placed via the approved UCL routes.

### 5. Worktribe costing

Questions on preparing your Worktribe budget should be directed to your department’s financial administrator. Please provide them with this guidance.

Steps for preparing a Standalone Worktribe budget:

1. Start a new Standalone Budget (not a conventional Worktribe Project)
2. For Funder choose ‘**Staff Forecast – INTERNAL USE ONLY**’. This ensures that all eligible costs will be calculated at 100% (some funders cover only 80%).
3. Any partner contribution should be included in the Worktribe budget, usually under ‘Other’ costs (including their staff time). Please enter this as separate entries to the UCL costs and label it clearly as the partner’s contribution. This may not be possible if the partner is contributing cash towards UCL salaries, in this case, the differentiation should be made clear in the application form.
4. Export the **budget breakdown** to Excel. Please ensure that the spreadsheet shows every line of the budget. Applicants will need to attach this spreadsheet when they submit their application.

### 6. Useful links

1. [UCL’s Disclosure of Conflict and Declaration of Interest Policy](http://www.ucl.ac.uk/enterprise/about/governance-and-policies/ucl-disclosure-conflict-and-declaration-interest-policy) (www.ucl.ac.uk/enterprise/about/governance-and-policies/ucl-disclosure-conflict-and-declaration-interest-policy)
2. [UCL Payscales](https://www.ucl.ac.uk/human-resources/pay-benefits/salary-scales) (www.ucl.ac.uk/human-resources/pay-benefits/salary-scales)
3. [UCL guidance on immigration and right to work](http://www.ucl.ac.uk/human-resources/working-ucl/hr-services/immigration) (www.ucl.ac.uk/human-resources/working-ucl/hr-services/immigration)
4. [HR Business Partnering (UCL password required)](https://www.ucl.ac.uk/human-resources/about-%20hr/contacting-hr/people-hr/hr-business-partnering-contact-details) (www.ucl.ac.uk/human-resources/about-hr/contacting-hr/people-hr/hr-business-partnering-contact-details)
5. [UCL Research Contracts Team](https://www.ucl.ac.uk/research-services/research-contracts) (www.ucl.ac.uk/research-services/research-contracts)
6. [UCL Innovation and Enterprise Interim Strategy 2021 to 2023](https://www.ucl.ac.uk/enterprise/sites/enterprise/files/innovation-and-enterprise-strategy-2016-%202021.pdf) (https://www.ucl.ac.uk/enterprise/ucl-innovation-and-enterprise-interim-strategy-2021-2023)
7. [UCL 2034 strategy](https://www.ucl.ac.uk/2034/) (www.ucl.ac.uk/2034/)

## B. Filling in the application form

This section provides guidance on completing the different fields of the application form where additional guidance might be needed.

You can access the form from the scheme webpage. You can also download a Word template of the form which you can use to gather information before completing the form. This is to allow you to prepare the application collaboratively as the web form can only be accessed by one UCL user. You should then copy and paste the form into the web form.

### General notes

The information we need to assess your project’s fit-to-scheme and impact is different to that required for a standard research grant application. When writing, please keep in mind the following:

Keep in mind that the **project should be directed towards knowledge exchange** (two-way exchange of expertise/knowledge between UCL and non-academic organisations/communities), **translational** or **impact acceleration activities**.

Write for a general, non-expert audience and focus on what you’re doing now and its potential impact, rather than your background research. Avoid including too much technical detail about the activities and over-use of acronyms that aren’t widely used beyond your field.

Be concise. Character limits are listed here and include spaces but they are not targets so just write as much as you need to outline your project and its feasibility and impact. If you’re using the Word template, aim for less 7 pages.

Try to proof-read before submission to ensure you’ve completed all sentences and avoid copy and paste errors.

Consider each question in relation to the scheme to which you are applying.

All fields are mandatory unless indicated otherwise.

### 1. General project information

#### Project title

This should concisely capture the essence of your project and its anticipated impact. As successful projects are widely advertised we suggest you do not include any confidential or commercially sensitive information in your title.

[250 characters max.]

#### Call

##### Stream

This field will be automatically completed.

##### Sub-stream

This field will be automatically completed.

##### Call

Please select the latest call. These are in the format KEI[Year]-number so KEI2021-02 will be later than both KEI2021-01 and KEI2020-06. If you select the wrong call your application may be missed as it is filtered out into a previous call.

#### PI / academic lead at UCL and co-investigators

##### UPI

You’ll find UPIs through the UCL Directory or on staff ID cards. You must log into the directory using your UCL username and password in order to view UPI numbers.

UPI numbers are in the form AAAAAXX (A = letter, X = number) e.g. SHACK22. They are not the UCL user ID associated with your Microsoft account (e.g., ucypsha).

##### Department

You’ll need to select your department from the full list of departments. You’re advised to search using the wildcard (\*) before your search term, e.g. Bartlett departments are listed as ‘The Bartlett’ and will not come up if you start your search with ‘Bartlett’ rather than ‘\*Bartlett’).

If your department is not listed, please contact the Knowledge Exchange team and we’ll arrange for it to be added.

#### Declaration of interest

Are you in compliance with UCL’s policy on Disclosure of Conflicts and Declaration of Interest?

Select ‘Yes’ or ‘No’. Provide more details in the available box if your answer needs further explanation (e.g. if you mark ‘No’ to being in compliance with the policy, or to outlining any potential conflicts where applicable).

Please see [Section A.3 (Conflicts of interest)](#_3._Conflicts_of) for further information.

[2,000 characters max.]

If relevant to this proposal, have you disclosed any actual, potential or perceived conflicts of interest to UCL?

Select ‘Yes’ if there are no conflicts of interest related to this proposal (you may clarify in the details box if you wish). Otherwise select ‘Yes’ or ‘No’ as appropriate and add details of how any conflicts are being managed if needed.

[2,000 characters max.]

#### Ethical approval

Please choose from the list to indicate whether your project requires ethical approval.

Research Services require confirmation of this, along with the approval document where applicable. If ethical approval is not required initially but may be required at a later stage of the project, please select ‘Yes’ and we’ll follow up for more detail on the expected timeline.

#### Confidentiality

We’ll occasionally publish information from successful proposals, e.g. in the form of case studies or success stories. You’ll always be given an opportunity to review any material before publication.

Please indicate here whether or not any information in your application is confidential. You can provide more detail if needed.

Note that your application will be shared with reviewers and members of the UCL Innovation & Enterprise Funding Committee. Details may also be provided to the funders for reporting purposes. We’ll inform all recipients that information is confidential unless advised otherwise.

[2,000 characters max.]

### 2. Partner organisations: IiR’s employer

#### Organisation type

Select from list provided. If unknown, this information can be found online at Companies House (if the company has a UK presence) using the registered company number.

#### Size of company

Select from list provided. Staff numbers:

* 1 to 10 - Micro
* 11 to 250 - SME
* 250 or more - Large

#### UK address

Please enter UK region at a minimum.

Sectors

Select up to 2 from the list provided.

#### Is this the first time you have worked with this partner?

Please indicate if you have worked with the partner organisation before or if you are aware of other work within UCL with this partner.

If relevant, provide details of previous engagement.

[2,000 characters max.]

### 3. Planned activities

This section will allow the reviewers and committee to assess the eligibility of the activities and project, the project’s feasibility and how it will increase the impact of the underpinning research.

#### Summary of aims and objectives of the project

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. This section should give the reviewers an overview so that they understand where the project is going. Further details can be provided in the next section.

[1,500 characters max.]

#### Describe fully the activities to be undertaken

This should be written for a non-specialist audience, limiting technical detail as much as possible. Use text only and do not include Gantt charts or images in this section. These can be attached separately at the end.

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.
* 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 project will accelerate the impact of UCL’s EPSRC portfolio.

[20,000 characters max.]

### 4. Impact and risk assessment

#### How does this project fit in with the UCL Innovation & Enterprise Strategy and UCL 2034?

The specific aim of this funding is to support projects aligned with the objectives of the [UCL Innovation & Enterprise Strategy Interim Strategy 2021–23](https://www.ucl.ac.uk/enterprise/ucl-innovation-and-enterprise-interim-strategy-2021-2023) and [UCL 2034](https://www.ucl.ac.uk/2034/). Please explain how your project supports these objectives.

[3,000 characters max.]

#### Outline the benefits to the Industry expert-in-residence resulting from participating in this activity

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’ll be working.

This will help differentiate their role from that of a standard contractor for whom the project would be largely business-as-usual (if you wish to employ a contractor, you may wish to consider instead the [General Knowledge Exchange scheme](https://www.ucl.ac.uk/enterprise/staff/access-funding/knowledge-exchange-and-innovation-funding)).

What indicators will you use in order to measure the benefit? These can be qualitative, quantitative, or both.

[3,000 characters max.]

#### Describe the expected benefits to the partner organisation resulting from the activity

If the IiR is self-employed, you may leave this section blank.

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

This question is important for reviewers to assess the sustainability and potential for ongoing impact beyond the current project.

Consider potential post-project developments. These may include developing further collaborative proposals, which look to exploit emerging impact, engage with additional users, or any other means of furthering the outcomes of the project.

[3,000 characters max.]

#### Describe the expected benefits to UCL resulting from the activity (including the impact on UCL’s research and/or teaching)

Consider how the collaboration will benefit:

1. research and impact activities, and its contributory role in departmental planning for research assessment exercises (e.g. REF) or other institutional returns
2. your research group, department, faculty, and/or wider university communities
3. culture change

What indicators will you use in order to measure the benefit? These can be qualitative, quantitative, or both.

[5,000 characters max.]

### 5. Track record

#### Summary of underpinning work and link to grant portfolio

Provide a brief outline of how your underpinning research outputs or work are related to the project. Extensive technical details are not necessary, the focus should be on how this project is connected to the research.

There must be a link to previous EPSRC-funded research. Please contact the Knowledge Exchange team if you have any questions on eligibility.

[2,000 characters max.]

##### Project numbers

Provide the corresponding EPSRC research grant numbers (previous KE awards are not eligible here but may be outlined below). These are the original grant numbers given by the EPSRC, not the MyFinance project codes assigned by UCL.

Please only enter the reference numbers in these boxes (titles etc. are not required).

#### Pathways to impact statement (PtI)

We cannot fund activity that was included or could have been foreseen in the preparation of any previously awarded UKRI research bids.

This is not required if your research grant application did not include a PtI section.

#### Outline of your previous engagement in knowledge exchange or innovation

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 funding, please state that this is the case.

[2,000 characters max.]

You also need to provide the relevant project numbers and the year you received these, from the EPSRC or other external or UCL sources.

### 6. Resources and financial details

#### Proposed start and end dates

The length of your project must be 3 months or longer.

It cannot start before the ‘earliest start date’ listed for the call on the website. It cannot end after 31 March 2022.

Costs cannot be incurred outside the start and end dates.

Remember to allow some time before the project starts to begin the process of putting in place an employment contract for the IiR and a collaboration agreement.

#### Partner contribution

Give details of how the IiR/their employer will contribute to costs related to the project activities. If cash and in-kind contributions are involved, they can be described here, but you’ll also need to give specific values in the next question. For in-kind support, please detail how the total value has been calculated.

If there’s an ongoing relationship that brings in co-funding, the contribution entered here and in the letter of support must be specific to this project.

[2,000 characters max.]

You’ll need to enter total figures, in £, for cash, in kind and total.

#### UCL funding requested (£, direct costs only)

##### Justification of resources requested

Provide an outline of how the requested funds will be used for the project.

If there is no box for any of your budget headings, add the costs under ‘Other’.

It’s important that the costs in this section 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 you are requested from the relevant funding scheme where possible.

[2,000 characters max.]

##### List expected spend by month

Provide preliminary information about how and when you intend to spend funds during the course of your project. 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’s important that this section is filled in as accurately as possible. Any changes to the expected spend profile or costs must be discussed with the Knowledge Exchange team.

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 and consumables)
* Months 2 to 5: £2,500 per month (staff only)
* Month 6: £4,500 (staff and travel)

[2,000 characters max.]

##### Funding request per financial year (1 August to 31 July)

These fields are not relevant for this funding scheme but you’ll need to answer Financial Year 1 to progress. Please enter any year and the total value of funding you are requesting.

#### Departmental Manager or Departmental Administrator with budgetary responsibility

This should be the person who has responsibility for the departmental budget and approves the finances (additionally to the Head of Department). The system will generate an email to this person requesting approval of the project when the completed application is passed for review.

Please be particularly careful that you enter the email address correctly as this is how the system links the project to the HoD for approval. A space or error in the email address will cause glitches.

See [PI section for guidance on UPI numbers](#_UPI).

##### Worktribe ID

For EPSRC IAA projects, please provide the reference number for the Standalone Worktribe budget. This is a 7-digit number that can be found at the top of the screen (next to your budget title) when you open the budget. If this information is not included, we will be unable to award funds and your project may be delayed.

##### MyFinance organisational unit

Please enter your department’s organisation unit (XAA where X = letter and A = number).

### 7. Completion and documents

#### Confirm documents attached

You’ll need to ensure the following documents are attached:

* Standalone Worktribe costings (Excel – Budget Breakdown version)
* Costing spreadsheet (provided on website)
* An up-to-date CV for the IiR
* Evidence of support from the partner organisation support (i.e., letter or email of support from IiR/their employer)

Refer to [section A.2](#_2._What_documents) and the scheme webpage for more details.

#### Head of Department

See [PI section for guidance on UPI numbers](#_UPI). The system will generate an email to the HoD requesting approval of the project when the completed application is passed for review. Please be particularly careful that you enter the email address correctly as this is how the system links the project to the HoD for approval. A space or error in the email address will cause glitches.

## C. Assessment

Proposals will be assessed initially by UCL Innovation & Enterprise staff. All applications will be reviewed by at least two members of the UCL community for applications under £15,000, and three for all others.

Applications over £15,000 will also be assessed by the UCL Innovation & Enterprise Funding Committee, who will make recommendations to the Executive Director, Office of the Vice Provost. The final decision to award, suggest resubmission, or to decline, will be made by the Executive Director, Office of the Vice Provost.

Applications below £15,000 will be assessed according to the same criteria as those above £15,000.

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