



## UCL'S HEIF KNOWLEDGE EXCHANGE AND INNOVATION FUND 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 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](#)).
- **Funds available:**
  - Pre-commercialisation projects: up to £30k for up to 12 months.
  - Knowledge Exchange projects: up to £15k for up to 12 months
  - All direct costs can be covered.
- **Ineligible costs / activities:**
  - Research activities
  - Costs associated with the protection of intellectual property
  - Indirect, estates and generic administrative costs
  - Public engagement activities (e.g., one-way dissemination or broadcast)

#### 2. Principal Investigator (PI) and Co-Investigator:

- Must be employed by UCL for the duration of the project; note that PDRAs may be PI if they meet this requirement and have approval from their PI and 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](#).

#### 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 be listed here.

#### 4. Worktribe costing:

You will need to prepare a [Worktribe costing](#) for applications over £10k and any application 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. 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'.
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 costs in the corresponding boxes of the application form ('HEIF funding requested').
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.

## 5. Approval required:

1. 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.
2. UCLB must provide a recommendation for all applications under the Pre-commercialisation scheme. This is not necessary for general Knowledge Exchange projects, though you may wish to consult them if your project has a commercial aspect. Please contact your UCLB [Business Manager](#) as early as possible if you need to obtain a UCLB recommendation.

## 6. Useful links:

1. UCL Business Manager: <http://www.uclb.com/for-researchers/find-your-business-manager/>
2. UCL Research Contracts office contacts: <http://www.ucl.ac.uk/finance/research/rs-contacts.php>
3. HR Immigration and right to work information: <https://www.ucl.ac.uk/human-resources/working-ucl/employment-contract-administration-team/immigration>
4. HR Business Partnering (UCL password required): <https://www.ucl.ac.uk/human-resources/about-hr/contacting-hr/people-hr/hr-business-partnering-contact-details>
5. Worktribe (UCL password required): <https://www.ucl.ac.uk/research-services/worktribe-research-management>
6. Companies House: <https://www.gov.uk/government/organisations/companies-house>
7. UCL Innovation & Enterprise Strategy 2016-21: <https://www.ucl.ac.uk/enterprise/sites/enterprise/files/innovation-and-enterprise-strategy-2016-2021.pdf>
8. 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

<b>Call</b>	Only select one option.	
<b>Project title</b>	Should concisely capture the essence of your project <b>and</b> its anticipated impact.	
<b>PI / Academic Lead at UCL</b>	Name	UCL Email
<b>PI Department</b>		
<b>Co-I at UCL (if any)</b>	Name	UCL Email
<b>Co-I Department</b>	Enter UCL Department or state if same as PI.	

### 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.

<b>Name</b>		
<b>Organisation type</b>	If unknown, this information can be found online at Companies House (companies with UK presence) using the registered company number.	
<b>Size of company</b>	Staff numbers: 1–10 Micro; 10–250 SME and 250+ Large	
<b>Lead contact</b>	Name	Email
<b>Address</b>		
<b>Sector</b> (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.

<p><b>Proposed Activity Category (KE projects ONLY;</b> Select as many as applicable):</p> <p>Please note that this only applies to Knowledge Exchange projects, not to Pre-commercialisation projects. For KE projects, it is important that you tick at least one of these boxes: (a) for statistics/records/analyses of the types of projects we are supporting; and (b) to help us identify any links with existing activities at UCL. The <i>Publications</i> category refers to any document designed to disseminate information about your KE initiatives to a wider audience. It does not refer to academic papers.</p> <p>The category <i>Employment of specialist staff</i> refers to people employed on a consultancy basis.</p> <p>If none of the ten categories in this section applies to your project, please tick 'Other' and provide a description in the box.</p> <p>For <i>Secondment and people exchange</i>, please contact Rachel Corcoran, KTP and Secondments Manager, at r.corcoran@ucl.ac.uk or on 020 3108 7005 (internal: 57005) in the first instance.</p>
<p><b>Summary of aims and objectives of the project</b> (max. 1500 characters):</p> <p>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.</p>

**Describe fully the activities to be undertaken and how they will increase the impact of the underpinning research** (max. 2 pages; add additional pages and Gantt chart if required):  
 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, although this is optional rather than a requirement.

**Describe role of partner organisation** (if any):  
 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.

**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 benefit 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:**  
 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 (MANDATORY for pre-commercialisation projects ONLY):**  
 This recommendation plays an important role in the decision-making process and is mandatory for the pre-commercialisation scheme. Please engage with your UCLB Business Manager (BM) as early as possible. There must be a clear recommendation as to whether to support the scheme.

The BM will be required to provide a rationale for supporting the project (with a focus on the project and the proposed activities, rather than the abilities or expertise of the project team). Their recommendation should focus on the viability of your project, not only in terms of its scientific feasibility, but in terms of the timeline you have given your project. The recommendation should also include a comment on the project's potential for economic and societal impact. Finally, the relevant BM will be asked to confirm that if the proposal is approved they will be engaged in the project.

**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. Please provide any evidence (*e.g.*, emails) where it is available. In addition to the email, UCLB comments should be provided in the space above for review.

**5. Track Record**

<p><b>Summary of underpinning research and link to grant portfolio</b>                  (where applicable)</p>	<p>Where underpinning research is being used for the project, provide a brief outline of the research and how it relates to this project. Technical details are not necessary as the purpose of this section is to establish links to research grants so that UCL Innovation &amp; Enterprise staff can identify whether there are alternative sources from which the work could be funded. It will also be used for reporting purposes. If any of the underpinning research was funded by the EPSRC/STFC, please apply for EPSRC/STFC IAA funding instead (note that the maximum available for STFC is £10k – if you are applying for more and have no EPSRC links, you should continue with your HEIF application but please include the STFC grant numbers below).</p>
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	<b>Project numbers:</b>		
	Research Council grant(s)	Other	
<b>Engagement in KE/Enterprise to date</b>	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.		
	<b>Project numbers and date received</b> (where applicable):		
	UCL HEIF	Other UCL	External

**6. Resources and Financial Details**

<b>Proposed start/end</b>	Should not be before the 'Earliest Start Date' listed for the call. Maximum duration of 12 months. Costs should not be incurred outside the start and end dates.				
<b>Partner contribution</b> (if any)	<b>Details of contribution from partner organisation:</b> 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.				
	Cash (£)	In kind (£)	Total (£)		
	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.				
<b>HEIF funding requested</b> (£, direct costs only)	<b>Staffing and recruitment requirements</b> (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).				
	<b>Justification of resources requested:</b> Provide an outline of how the requested funds will be used for the project.				
	Salaries	Consumables	Travel	Other	Total
	The value of the awards available allowed under the schemes are: KE project: max. £15k Pre-commercialisation project: max. £30k				
	It is important that the total HEIF costs in the application form match those in the accompanying Worktribe budget (where applicable).				
	<b>Describe expected spend by month:</b> 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: <ul style="list-style-type: none"> <li>– the member of staff is employed for a regular number of hours for the full duration of the project (<math>£15,000 / 6 = £2,500</math> per month)</li> <li>– all consumables are purchased at the beginning of the project (£5,000)</li> <li>– travel to the partner organisation occurs in the final month of the project (£2,000)</li> </ul> Spend by month would be entered as: <ul style="list-style-type: none"> <li>– Month 1: £7,500 (staff + consumables)</li> <li>– Months 2–5: £2,500 per month (staff only)</li> <li>– Month 6: £4,500 (staff + travel)</li> </ul>				

	<p><b>Funding request per financial year</b> (1<sup>st</sup> Aug–31<sup>st</sup> July): As we are allowing funding to be spread across more than one financial year, it is essential for auditing purposes that you specify how much of the requested funding you will spend in each of the two years (the financial year runs from August 1st to July 31st each year). The sum of the amount for the two financial years should match the total amount of funds being requested in the section 'HEIF funding requested'.</p> <p>In line with UCL's financial regulations, we will release one tranche of funding in one year, and the remainder in the next. Please discuss this with your Departmental Administrator, as it is important that we have accurate figures for the split between two years. <b>When the financial year ends, the remaining balance released for that financial year cannot be carried across to the next financial year and will therefore be lost</b> – the PI is responsible for monitoring spend and must keep UCL Innovation &amp; Enterprise informed if you foresee that you will be unable to spend your full allocation for each financial year as early as possible.</p>			
<p><b>Staff to be funded 1, 2 and 3</b></p>	<p>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.</p>			
<p><b>Financial administration</b></p>	<p><i>Departmental Administrator Name (and email)</i> 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.</p> <table border="1" data-bbox="475 869 1505 1115"> <tr> <td data-bbox="475 869 970 1115"> <p><i>Worktribe ID</i> Please provide the ref. number for the Standalone Worktribe budget.</p> </td> <td data-bbox="970 869 1505 1115"> <p><i>MyFinance Organisational Unit</i> Funds will remain under the UCL I&amp;E MyFinance Organisational Unit and relevant personnel will be given access. UCL I&amp;E are not involved in day-to-day management of funds but we will occasionally need this information for financial administration.</p> </td> </tr> </table>		<p><i>Worktribe ID</i> Please provide the ref. number for the Standalone Worktribe budget.</p>	<p><i>MyFinance Organisational Unit</i> Funds will remain under the UCL I&amp;E MyFinance Organisational Unit and relevant personnel will be given access. UCL I&amp;E are not involved in day-to-day management of funds but we will occasionally need this information for financial administration.</p>
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**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 HEIF funding, any changes (*e.g.*, budget virements, extension requests *etc.*) to funded projects must be authorised by UCL Innovation & Enterprise. Note that approved changes will be progressed by the finance team at 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. If a partner organisation is in place, 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), the project's unique reference number and its dedicated MyFinance project code (which will be owned by UCL Innovation & Enterprise). The PI and other personnel approved by the PI will be given access to the project; the PI will be responsible for the day-to-day management of the funds.
  - To allow auditing and monitoring, costs should be charged directly to the dedicated account, rather than by transferring money to other accounts.
  - Completion of spend within the approved time frame is necessary, and failure to do so may affect future UCL KE funding to an individual applicant.
  - You must adhere to the agreed funding profile, in particular splits between different financial years. We will release one tranche of funding in one year, and the remainder in the next. When the financial year ends, the remaining balance allocated to that financial year cannot be carried across to the next financial year and therefore cannot be recovered for later use.
  - Where funds are not managed correctly, any unaccounted costs or underspends may be reclaimed for re-use within further calls and the project shut down.
  - 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.