

Capital Equipment Fund Call (CEF5)

Faculties of Life and Medical Sciences (LMS)

Frequently Asked Questions:

What equipment may be purchased through CEF5?

You can request one piece of equipment, it must be >£50k in value. We expect many successful applications to be for major equipment that will be managed within strategically important multi-user facilities such as the [UCL Science Technology Platforms \(STPs\)](#) or other core facilities.

Who can apply for CEF5 funding and where must the equipment be based?

Lead applicants (PI) must be based within the UCL faculties of life and medical sciences (LMS) i.e. the Faculty of Life, Brain, Population Health or Medical Sciences. The equipment purchased must be located within LMS.

Can I apply for CEF5 if I am based outside the Faculties of Life and Medical Sciences?

No. Applicants are expected to be based in one of the Faculty of Life, Brain, Population Health, or Medical Sciences. Applicants based in other UCL faculties should contact their local research coordination team or local finance lead to enquire about equipment funding support.

What are the criteria by which applications will be assessed by the review panel?

Applications will be assessed by a review panel constituting the four Faculties of Life and Medical Sciences Vice Deans (Research) or their designated representative. Criteria by which applications will be reviewed and prioritised include, but are not limited to, scientific need and strategic value, user base, cost recovery and management plan, and value for money.

Can I submit more than one application to CEF5?

You may submit more than one application where the requests are for different pieces of equipment and these are free-standing requests. If applying for more than one piece of equipment, please indicate this in your applications making clear the distinction between them and if one application is of higher priority than the other.

Can I submit an application for funding through CEF5 if I already have an application submitted to an external funder for the same equipment?

Yes. If you currently have applications for the same equipment under review externally (e.g. BBSRC ALERT22 or MRC-Equip) please indicate to whom you have submitted your external application in section 11 of your CEF5 application.

Can I resubmit a request for equipment that has previously been rejected externally (e.g. BBSRC ALERT21) or internal CEF calls (e.g. CEF4)?

You may submit a request for equipment that has been previously submitted to an external funder for consideration for CEF5 funding. In section 12 of the application form please state which funder and scheme you applied for and how you are addressing any feedback given by the external funder in your CEF5 application.

For requests that have been submitted to an earlier CEF call, applicants should indicate which call they submitted to. Applicants should also highlight how the current request is different to the previous one e.g. equipment specifications, improved sustainability plan, increased need or user base etc. as relevant to your application and the feedback received on your CEF application.

**** call timelines *****

When is the deadline for applications?

Applications must be submitted by 11:00 on Friday 11th November 2022. All applications should be sent to Nadine Simons-Weidenmaier (n.simons-weidenmaier@ucl.ac.uk) with 'CEF5' in the email subject line.

When will I receive the outcome from my CEF5 application?

The CEF5 review panel will meet in the w/o 5th or 12th December 2022. Applicants can expect to hear the outcome of their applications in w/o 19th December 2022.

**** Links with wider UCL activities & structures *****

What are the UCL Science Technology Platforms (STP) and who are the STP Academic Leads?

The UCL Science Technology Platforms (STPs) are a network of our world-leading science and technology facilities that provide access and support for researchers. Currently there are 9 Science Technology Platforms: Biological Services, Cell Sorting & Analysis, Fish Facility, Genomics, Imaging, Mass Spectrometry, NMR Spectroscopy, Radiochemistry and Biomedical/In vivo Imaging. For more information visit: www.ucl.ac.uk/science-technology-platforms. This page also lists the Academic Leads for each STP who should be contacted if your application falls within the remit of an existing STP.

My application relates to Advanced Research Computing (ARC). What should I do?

If your application involves Research IT infrastructure please contact the Head of Research Computing within [ARC](#) Owain Kenway (o.kenway@ucl.ac.uk) for input into section 15 and 16 of your application.

Why do I need to contact a UCL STP Academic Lead or ARC Head of Research Computing?

All application will be reviewed and ranked by the relevant STP Academic Lead or ARC Head of Research Computing.

If the equipment requested does not align with a UCL STP (e.g. ultracentrifuges) please provide details in section 15 of your application.

The equipment I wish to purchase does align with a UCL STP/ARC but will not be part of a multi-user Core Facility. What should I do?

If the equipment you are requesting aligns with the remit of an STP but will not be part of a multi-user core facility due to the nature of the equipment set-up (e.g. microscope attached to existing equipment with limited access), please contact the relevant UCL STP Academic Lead to discuss your application.

The equipment I wish to purchase does not align with the remit of a UCL STP/ARC but will be equipment for multiple users. What should I do?

Please indicate in section 15 if the equipment requested is unrelated (e.g. ultracentrifuges) to a UCL STP/ARC and provide details. You will not need to contact a UCL STP Academic Lead and will not need a statement from them.

*** Budgets, costs and procurement ***

Is there a minimum value for equipment requested through CEF5?

Yes, one piece of equipment must cost >£50k in order to be eligible for CEF5 funding.

Is there a maximum value for equipment requested through CEF5?

There is no upper funding limit. All applications will be reviewed by the review panel who prioritise all requests using the assessment criteria laid out for this call including, but not limited to, need, value for money and cost recovery.

Which types of costs can be covered by the CEF5 budget?

The CEF5 budget considers the costs of the equipment, shipping and installation, taxes (VAT and import tax, where chargeable), standard guarantees and standard warranties as eligible costs.

CEF5 funds cannot be used to cover:

- extended warranties,
- running costs of the equipment,
- staff,
- consumables,
- training,
- maintenance/service contracts; and
- lab refurbishments.

Are Division/Institute contributions to CEF5 applications a requirement?

For applications for equipment, we do not require any Division/Institute contributions except where the request is for a new recruit or the request is led by UCL but involves partners (e.g. hospital partner, research partner/organisation). For equipment not related to recruitment if the Division/Institute wishes to contribute financially to the purchase please highlight the value, funding source and relevant details in your application.

Who can be considered a 'new recruit' for the purposes of the CEF5 call?

For the purposes of CEF4 new recruits are those who joined UCL in an academic post on 1st November 2021 or more recently, and those new recruits not yet in post but who will be in post by 1st December 2022.

What if the equipment I would like to request comprises multiple parts from different suppliers?

There may be instances where the equipment to be purchased requires assembly from multiple different technical parts. Such equipment is typically eligible for support through CEF5, however please clarify the component parts to be ordered, their expected costs and the likely supplier. Please contact Nadine Simons-Weidenmaier (n.simons-weidenmaier@ucl.ac.uk) to discuss if you are eligible to apply or have any questions.

Should I include VAT in the costs I include in the application form?

You should provide the cost of the equipment in pounds sterling (GBP). VAT should only be included in the costs if it is chargeable. Make clear in your application what the cost of the equipment is with and without VAT. If in doubt whether the equipment is VAT zero rated, please liaise with [UCL Finance - Taxation](#) who can advise.

My equipment comes from an international supplier and the costs are not provided in pound sterling (GBP). What should I do?

Provide the costs of the equipment in the original currency and a pound sterling (GBP) value using an up-to-date currency conversion rate and adding a 10% conversion buffer. If import taxes, or other taxes, apply please include these so the true cost to the CEF5 budget is clearly stated. Please describe what the costs do and don't include in the free text part of Section 7 (Budget) of the application form.

My request is associated with a new recruit and thus requires a cash contribution towards the cost of the equipment. Where do I highlight the Divisional/Institute cash contribution in the application form?

Any cash contributions to the cost of the equipment should be noted in the free text part of Section 8 of the application form. If the request is associated with a new recruit please also provide details in section 10 of your application.

I have identified a source of additional funding that can be used in part to pay for the equipment I am requesting. Where do I highlight this additional funding in the application form?

Please indicate the funding to be committed from another source to the cost of the equipment and the source of this funding (Division/Institute or other) in the free text part of Section 8 of the application form.

Can I request costs associated with the installation of the equipment?

Costs associated with the installation, if charged by the company supplying the equipment, can be covered from the CEF5 budget. Other types of refurbishment costs required to allow the equipment to be installed must be covered by Division/Institute funds.

The equipment will be housed in a room that will require refurbishment before the equipment can be installed. What should I do?

Liaise with your Division/Institute Manager to ensure that costs associated with the refurbishment will be met by Division/Institute budgets and agree how to work with UCL Estates to ensure that the required refurbishments are on their priority list. CEF5 funds may not be used for refurbishment costs.

Why do we need to clarify the lead time for the equipment and what is the significance of the 31st July 2023 delivery deadline?

CEF5 funding is provided via a UKRI Research England allocation (Research Capital Investment Fund – RCIF) to UCL for the 2022/23 Financial Year. As a result, all equipment purchased through CEF5 must be on UCL premises no later than 31st July 2023. Given the timeline for the CEF5 understanding the lead time will allow us to assess whether, if awarded, equipment will arrive by the delivery deadline.

Equipment delivered after the 31 July 2023 deadline cannot be funded from the CEF5. If the delivery date cannot be met, costs will move as a commitment to the next fiscal year reducing the available budget. Please inform Nadine Simons-Weidenmaier (n.simons-weidenmaier@ucl.ac.uk) of any delivery issues as soon as possible. This will allow us to consider allocating the available budget to further finance additional equipment in the current fiscal year.

Note that the deadline relates to delivery of the requested equipment not the award spend. Equivalent equipment loans, where the 31st July 2023 delivery deadline will not be met for the purchased equipment, are not considered deliveries in the context of CEF5.

Why do I need to seek quotes for the equipment I am requesting and how does this inform the procurement process?

The quote(s) will enable you to clarify the specifications (required and optional extras) of the equipment you are requesting, discuss any discounts the suppliers may be able to offer, clarify the standard warranty to be provided, delivery requirements/lead times and get a clearer idea of the funds required from the CEF5 budget.

Once awarded CEF5 funding you (or your Departmental Finance Lead) will need to contact UCL Procurement - STEMEd Team (stem.procurement@ucl.ac.uk) to discuss the intended purchase. This will allow determination of the correct UCL procurement process to follow which may include a competitive tender, single source justifications, supplier appraisals and other processes. More information can be found on the [UCL Procurement website](#).

The application states that I must provide three quotes, however the equipment I wish to purchase is only available from one supplier. What do I do?

Typically purchases over £50k require a competitive tender or procurement process however there are some exemptions in the case of specialised supply. See the [UCL Procurement website](#) for more information.

*** Application submission and follow up for successful applications ***

I have completed my application, who should sign it before it is submitted?

We require:

- Statement from Science Technology Platform (STP) Academic Lead (if relevant)
- Statement from Advance Research Computing team (if relevant and the application does not fall in remit of an STP)
- Statement from multi-user core facility academic lead (if relevant)
- Statement & signature from Division/ Institute Director: who will confirm support for the equipment in terms of strategic need, that necessary space is available, and that support is available.

How do I submit my completed application?

Once the application form is fully signed it should be submitted to Nadine Simons-Weidenmaier n.simons-weidenmaier@ucl.ac.uk with 'CEF5' in the email subject line and with the Division/Institute Director and (if required) the UCL STP Academic Lead/ARC Head of Research Computing cc'd in.

If successful will funds be transferred to me or my department? Will I get a project code?

Successful applicants and their Division/Institute Manager will be informed. Applicants will need to liaise with their departmental finance leads, using the appropriate UCL procurement process, to organise purchase and delivery of the equipment. The equipment must be purchased using a departmental budget code in the first instance. Once the equipment is delivered to UCL the department can request transfer of the expenditure from their budget to the UCL central budget, by contacting the Faculty Management Accountant. Expenditure cannot be transferred until the equipment is on site.

Reporting and updates

If successful, you may be asked to provide brief reports on the equipment and related research activity/facility.

All Research Facilities (TRAC listed and multi-user facilities) that run on cost-recovery model (apply a charge-out or access fee to users) will be required to submit an annual financial return, with pricing information maintained by Research and Innovation Services.

Who do I contact if I still have questions?

If you have any queries on the call that are not answered by the call guidelines or the FAQ please contact Nadine Simons-Weidenmaier (n.simons-weidenmaier@ucl.ac.uk) with 'CEF5' in the email subject line.

Key Principles - Governance and Financial Management

The following principles were approved by the Life and Medical Sciences Research & Innovation Board in relation to Research Facilities and use of the UCL Research Capital Infrastructure Funds (RCIF) from which CEF5 funds are derived.

- Research Facilities will run on cost-recovery model, and income will be returned to the facility in a transparent fashion thus enabling them to operate on a more sustainable basis in the long term. All research facilities will provide an annual financial return to School Finance teams (setting out up to date access rates) for faculty approval.
- The financial treatment of a UCL Research Facility should be chosen to maximise the financial return to UCL, and this should be agreed with host department and faculty management accountant, with advice from Research & Innovation Services and UCL's TRAC accountant. This may be a TRAC or Multi-User (Non-TRAC) Research Facility.

- In line with Funder's expectations and audit controls, an approved list of UCL research facilities and the associated access rates which can be charged to research grant applications, will be kept by Research Services, and updated annually.

- Where appropriate, research facilities will be aggregated as Science Technology Platforms, with academic and technical leadership and local admin support. We will also seek to standardise charge out rates for similar facilities/equipment across the University, so as not to create an internal market.

- Research facilities must be transparent and consistent in terms of price applied to users and in line with funder type (FEC, Charity, Commercial). Any price discounts should be met by the user and their host department not the facility.

- UCL Research Capital Infrastructure Funds (RCIF), provide by Research England, will be used to support strategic investment (e.g., new or replacement equipment) in UCL research facilities.