**Research Income Classification Group – Case Referral Form**

*To be completed by referring PI/Department and submitted to Amy Rutherford (amy.rutherford@ucl.ac.uk).*

*Please ensure all supporting documentation, including the funding proposal/application and any award Terms and Conditions or funding agreement/contract, where available, is attached to the referral form and that the responses below reference the relevant document section / clause(s). [[1]](#footnote-1)*

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| --- | --- | --- |
| **Project title:** | | |
| **PI:** | **PI department:** | |
| **Funder(s):** | | |
| **Project start date:** | **Duration (months):** | |
| **Value:** | **UCL Refs including Worktribe project number and Award number, if available:** | |
| **Project description / abstract (to comprise at least 100 words, including details of the purpose of the funding/aims of the project):** | | |
| **Description of UCL’s role within the project (please provide a plain English summary of no less than 200 words of the work/activities to be undertaken by UCL)**: | | |
| **1. Please indicate [Y/N] whether the work to be undertaken by UCL in the project meets each of the following Frascati criteria for Research. Where the answer is ‘Yes’, please reference the relevant section of the application and/or contract and demonstrate how the criterion is met:**   * **Be aimed at new findings (novel): [Y/N]** * **Be based on original, not obvious, concepts and hypotheses (creative): [Y/N]** * **Be uncertain about the final outcome (uncertain): [Y/N]** * **Be planned and budgeted (systematic): [Y/N]** * **Lead to results that can be reproduced (transferrable): [Y/N]**   **2. Is the funding source external to, and independent from, UCL? [Y/N]** | | |
| **3. Will the Project have public benefit? If ‘Yes’, please elaborate and confirm if the benefit to the public will be non-incidental (i.e. not significantly outweighed by the benefit to the Funder or collaborator, if not a public body).** | | |
| **4. With reference to the proposal / application, demonstrate whether or not the project scope (objectives and plan) has been/will be subject to external (i.e. Funders’) scrutiny and has been/will be agreed at the outset.** | | |
| **5. With reference to the award / contract terms and conditions, demonstrate the existence of performance related conditions (e.g. reporting requirements) and any consequences of non-adherence to any such conditions.** | | |
| **6. With reference to the funding / contract terms and conditions, does UCL retain the right to publish the results of the project and otherwise use the results for academic purposes on a royalty-free basis? Please include details of any time restrictions or other limits on the above.** | | |
| **7. With reference to the funding / contract terms and conditions, will UCL own any IP arising from the results of the project? If ‘yes’, please provide further details (e.g. UCL will own all IP arising from the project; UCL will own the IP that it generates; or as applicable).** | | |
| **Any other Comments (optional):** | | |
| **For Research Services use only:** | | |
| KPMG VAT / Tax Research Liability Report Reference: | | |
| VAT Conclusion: | | |
| CT Conclusion: | | |
| Other Notes: | | |
| Date of referral request: | | RICG review date: |

1. The criteria for Sponsored Research are available at <https://www.ucl.ac.uk/research-services/research-criteria> [↑](#footnote-ref-1)