UKRI COVID-19 Extension Allocation (CoA) Governance Group

**CoA Category 3 nominations**

# Summary

## This document provides guidance on submitting nominations for consideration under Category 3 of the CoA received by UCL.

# Background

## UKRI’s objectives for the CoA are as follows:

* To ensure that UKRI grant outcomes continue to be met, and the value of grant investments is realised by enabling research projects to complete, recognising the challenges faced by the research community during the pandemic disruption;
* To secure the key talent pipeline of research and technical staff, securing short-term employment and maintaining the talent pool essential for long-term recovery and growth of the sector, underpinning the post-pandemic national recovery.

## About £1.2m from the CoA has been retained to support vulnerable projects. A vulnerable project is defined as one that is affected by the pandemic and its impacts to the extent that it is unable to meet its grant outcomes (as stated in the funding application) and/or where staff on the project have been disproportionately affected. A vulnerable project can be either a grant or a fellowship, but it must end after 31 March 2021. The full criteria are in the Appendix.

## A project may be unable to meets its grant outcomes due issues such as: an inability to collect data, a lack of access to research facilities, issues regarding animals, and delays in time-dependent experiments or other research activities.

## Staff may have been disproportionately affected due to issues such as: illness, caring responsibilities, difficulties in working remotely, and circumstances related to protected characteristics (as defined under the Equality Act 2010), and working in a non-research environment to support the national response to COVID-19 (e.g., the National Testing Centre).

# Funding level

## Requests under Category 3 should be under £40,000.

# Nomination process

## For a project to be considered under Category 3, the grant-holder completes and submits the [online nomination form](https://forms.office.com/Pages/ResponsePage.aspx?id=_oivH5ipW0yTySEKEdmlwq4Bvtno8p1JjPIK6eWdWLBUMEs2S0IzVVJRNlE1OFdPMElHVFRaV1hNQyQlQCN0PWcu). The form requests basic information about the project and reasons for the request. (The Department/Division should set their own internal deadline so that recommended projects can be considered by the faculty by the 19 October 2020 deadline.)

## The Head of Department/Division (or the Department Manager/Administrator) views the nominations in spreadsheet on a [password-protected SharePoint site](https://liveuclac.sharepoint.com/:f:/s/CoACategory3/Eu0kA_L2AJNJpZ-bPrXaihoBnB6qPdTnUsSS6ps0YA-92g?email=j.barraud%40ucl.ac.uk&e=5%3aCmLVpg&at=9) (they will need to request access on the first visit). The Head of Department considers the nominations using the decision-making criteria (Appendix). The Department indicates the recommended projects on the spreadsheet by 31 October 2020.

## The Dean considers the nominations in the [SharePoint file](https://liveuclac.sharepoint.com/:f:/s/CoACategory3/Eu0kA_L2AJNJpZ-bPrXaihoBnB6qPdTnUsSS6ps0YA-92g?email=j.barraud%40ucl.ac.uk&e=5%3aCmLVpg&at=9), using the decision-making criteria (Appendix). The Dean can select **up to five projects**. The Dean (or the Director of Operations) indicates the shortlisted projects on the spreadsheet by 13 November 2020.

## The CoA Governance Group considers the faculty shortlist against the criteria and UKRI’s expectations of the funding. Grant-holders allocated Category 3 funding are notified in due course.

# Further information

## Useful guidance is available as follows:

* [COVID-19 individual health assessment tool](https://www.ucl.ac.uk/human-resources/health-wellbeing/workplace-health/what-we-do/covid-19-individual-health-assessment-tool-managers)
* [Protected characteristics under the Equality Act 2010](https://www.ucl.ac.uk/equality-diversity-inclusion/equalityucl/equality-act-2010)

# Appendix: Category 3 decision-making criteria

The decision-making criteria has been agreed by the [CoA Governance Group](https://www.ucl.ac.uk/research/strategy-and-policy/research-operations-group/ukri-covid-19-grant-extension-allocation).

## To be considered under Category 3, a grant-holder is expected to demonstrate BOTH of the following:

| Condition | Notes |
| --- | --- |
| A.1  The project ends after 31 March 2021; | Category 3 funding is focused mainly on projects which fall outside of Categories 1 and 2. |
| A.2  The project is not suitable for a no-cost extension. | A project may be vulnerable due to time lost during lockdown. It may have sufficient funds but require more time in order to deliver its grant outcomes. If so, a no-cost extension would be more appropriate. |

## The grant-holder must demonstrate at least ONE of the following:

|  |  |
| --- | --- |
| Condition | Notes |
| B.1  The project is unable to meet its grant outcomes as stated in its funding application. | Inability to meet grant outcomes could be due to issues such as the inability to collect data, lack of access to research facilities, and time-dependent experiments.  The grant-holder should identify:   1. The specific grant outcomes at risk as originally stated in the funding application; 2. The intended activity to mitigate the outcomes that are at risk. |
| B.2  Staff on the project have been disproportionately affected by the pandemic and its impacts. | The grant-holder identifies where staff have been affected by issues such as:   * Illness * Caring responsibilities * Working in a non-research environment to support the national response to COVID-19 (e.g., the National Testing Centre) * Difficulties in working remotely * Circumstances related to protected characteristics. |

**Version history**

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| **Version** | **Date** | **Description / summary of changes** |
| 1 | 23 September 2020 | New creation. |
| 2 | 29 September 2020 | Revised following decisions by the CoA Governance Group. |