UKRI Future Leaders Fellowships

Guidance for Applicants

Version 6 – May 2019

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Version History

Section	Change
3.0	The Application Form – Mandatory Documents – Introduction of SoECAT Form (Schedule of Events Cost Attribution form) which replaces the NHS Costs Template
3.2.12	Letters of Support – Support for NHS Costs section – Advising must attach a completed SoECAT Form (in lieu of the NHS Costs Template)

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1. Considerations before applying

Please note this guidance should be read in conjunction with the Overview of the Scheme and the Frequently Asked Questions.

1.1. Time commitments

Future Leaders Fellowships (FLFs) provide salaries, allowing Fellows protected time to concentrate fully on their research or innovation, training and development and establishing an independent position by the end of the award. Fellows may spend limited time on other commitments and related activities which will enhance their career development (e.g. teaching, demonstrating, peer-review, other funded projects or business-related activities). Those with substantial ongoing research commitments as a result of participation in other grants must relinquish these in order to hold a UKRI FLF award. Fellows in receipt of full-time awards would not be expected to be spending more than in the region of six hours a week (pro-rated for part-time Fellows) on other commitments (teaching, involvement in other grants etc.) or undertaking up to two clinical sessions a week in the case of clinical Fellows during the first two years of the Fellowship. Fellows will have the flexibility to develop a breadth of experience and partnerships, and secure further research/innovation funding later in the award but should ensure that these other activities do not compromise their focus, or achievement of the aims of the Fellowship.

The support offered will be long-term and flexible, with seven years of support available on a 4+3 model, with a review in year 4. For business applicants, those in the user community or other applicants four years' support may be sufficient and there is no need to apply for a further three years of funding if this is not required. Fellowships may be held on a part-time basis in order to combine research/innovation with personal responsibilities. The value of a part-time award may be requested on a pro rata basis (not exceeding the full-time equivalent of the Fellowship scheme period). For example, a four-year fellowship on a full-time basis would equate to an 8-year fellowship with the fellow working 0.5 FTE, but the value of the award would remain the same. Those wishing to hold a Fellowship on a job-share basis may apply as a joint application. Please see the FAQ on job shares for further information. All references to 4 or 4+3 model fellowships within this document should be considered as flexible to accommodate part-time working when combined with personal responsibilities.

1.2. Spending time at organisations other than the host

UKRI is supportive of Fellows who wish to spend part of their Fellowship at academic, non-academic or business organisations, either within the UK or overseas, to benefit from unique research, innovation and/or development opportunities.

Costs incurred while working / training at additional organisations can be requested as part of a UKRI FLF application, as detailed in this guidance. All applications must be submitted via the single lead host organisation, which will remain responsible for the administration of the award during the Fellow's period at another organisation and for the management of all funding during the lifetime of the award. Details of the additional organisations must be included in the Case for Support (see section 3.2.4 for details) and all associated costs clearly labelled as 'additional organisation costs' in the Resources section of the application form.

1.3. Project eligibility and duration

Applications can be submitted within or across any area(s) of research or innovation covered by UKRI from basic, through to applied research and innovation[1]. We particularly encourage

[1] Research and innovation in non-academic organisations to be considered in its fullest sense including business, creative and cultural sector and service and knowledge-based sectors

applications from researchers and / or innovators to explore difficult challenges and those crossing disciplinary or sectoral boundaries, which will gain most from this long-term and flexible funding.

If applying for a 4+3 model fellowship, the case for support should make clear the long-term aims of the programme, and why they matter and provide specific plans and costings for the first four years, as this is what will be peer reviewed at this point. Costings for the additional three years will be sought at the review stage in year 4. For those applying for a 4-year fellowship (not 4+3 model), the case for support should provide specific plans and costings for the four years.

1.4. Overseas applicants

Applicants must comply with Home Office/UK Visa and Immigration requirements and hold a valid work permit where appropriate. Applicants who require a visa must ensure this is in place before the start date of the award. Host organisations should advise and support applicants in securing the necessary visa.

Successful applicants who require a visa to work in the UK will be eligible to be considered under the accelerated Tier 1 (Exceptional Talent) visa route (https://www.gov.uk/tier-1-exceptional-talent). In line with the highly prestigious nature of the award, this visa route is designed for people who are internationally recognised as research and innovation leaders or potential leaders and enables the holder to be both adaptable and flexible during their research in the UK.

The grant of any visa is always subject to the standard Home Office general grounds for refusal of a visa. UKRI is able to provide additional guidance regarding the appropriate evidence required to complete the visa application process under the Exceptional Talent visa. Please contact fellowtier1info@rcuk.ac.uk for further details.

1.5. Multiple submissions

Applicants may only have one Fellowship application under consideration by UKRI (which encompasses schemes led by any of the Research Councils and / or Innovate UK) at any point, unless expressly permitted in the Research Council / Innovate UK scheme's call documentation. Fellows may apply simultaneously to other funders' Fellowship schemes, i.e. those outside of UKRI, but cannot hold Fellowships which fund their working time simultaneously.

Applicants may simultaneously seek grant support for other projects, from UKRI or other funders, while their UKRI Future Leader Fellowship application is under consideration, however;

- A substantial part of the Fellowship project may not be under consideration as a grant proposal with any organisation within UKRI, while under consideration for a UKRI fellowship award.
- Any funding secured from UKRI or other funders must comply with the Future Leader Fellowship terms and conditions if awarded, including the time commitments (conditions detailed in section 1.1.).

Any Fellowship or grant submissions under consideration at the time of application must be noted in the 'Other Support' section of the proposal form. Applicants detailing multiple submissions will not be penalised during the assessment process. Applicants must inform UKRI if these submissions are subsequently funded and must withdraw their application from UKRI consideration if the project or parts of the project have already been funded elsewhere.

If applicants apply on a grant for a different project while simultaneously holding a UKRI Fellowship, they cannot request additional salary support whilst the Fellowship is funded, and the award must be within the 6 hours a week permitted during the initial phase of the Fellowship.

1.6. Resubmissions

Unsuccessful applicants can reapply to subsequent FLF calls and will be assessed alongside all other applications to that call without bias. Resubmissions must include substantive change / development from the original submission, addressing feedback from reviewers and, if applicable, the interview panel. These amendments must be detailed in the 'Proposal Cover Letter' attachment type within the Je-S application form. UKRI reserve the right to reject applications that are not deemed to be significantly different to the original submission. Applicants cannot resubmit before reviewers' comments, and if applicable, panel feedback has been received. Applicants may not have two parallel applications into the scheme and must wait for the outcome of an application before resubmitting.

1.7. Responsibilities of the Fellow

If successful in securing a Future Leaders Fellowship award, the 'fEC grants terms and conditions' will apply for applicants based at organisations eligible for research council funding.

For applicants eligible for funding from Innovate UK, please see the 'General Guidance for grant applicants'.

Scheme specific terms and conditions also apply, which will be included in the offer letter for successful Fellows.

2. How to apply

2.1. Outline Proposal stage

In order to gauge demand and inform panel development it is mandatory that host organisations submit an Outline Proposal for all the applicants they intend to submit. The Outline Proposal deadline for applicants to Round 3 is 2 May 2019.

Outline Proposals for applicants to be based at academic host organisations or business host organisations who are Je-S registered should be submitted via the Joint Electronic Submission System (Je-S) (available from 2 April 2019 for applicants to Round 3).

Outline Proposals for applicants to be based at business host organisations who are not currently Je-S registered should be submitted via Smart Survey (available from 2 April 2019 for applicants to Round 3), available on the UKRI FLF webpage.

The Je-S Outline Proposal form and the Smart Survey will include the following mandatory fields:

- Project Details (Host Organisation, Department, Grant Reference, Project Title)
- Fellow
- Co-Investigators
- Project Partners
- Objectives
- RC/IUK Relevance
- Summary (4000 characters including spaces)
- A Proposal Cover Letter must also be uploaded as an attachment for those proposals whereby funds over £1.2m (80% FEC) or equipment costs over £138k (inc VAT and Import Duty) are being sought, and appropriate justification for these costs clearly described.

Creating the Je-S Outline Proposal form:

- From the applicant's Je-S account home page, select 'Documents' from the left-hand menu list, then select 'New Document' from the functions section near the top of the page
- Select Council: MRC (MRC are hosting the FLF proposals on behalf of UKRI)
- Select Document Type: Outline Proposal
- Select Scheme: UKRI Future Leaders Fellowships Outline
- Select Call: UKRI Future Leaders Fellowships Outline May 2019
- Select 'Create Document'

Applicants must ensure sufficient time to create Je-S accounts for both the Fellow and any Co-Investigators, and for the Co-Investigators' accounts to be verified by the institution at which they are based before submitting the application.

Information about navigating the Je-S system can be found here. If you experience difficulties using Je-S or have questions regarding its use, please contact the Je-S help desk.

Host organisations will receive confirmation of receipt of the Outline Proposals, either via Je-S or via Smart Survey.

Full applications will not be accepted from any applicant for whom an Outline Proposal has not been received.

There are no restrictions on the number of Outline Proposals that a host organisation can submit, however organisations will need to be prepared to commit to the long-term potential of all Fellows. We expect host organisations to have effective and transparent arrangements for managing applications with the aim of submitting fewer – but higher-quality – applications. All Outline Proposals must be submitted by a host organisation, with full knowledge of the applicant.

Interested applicants should discuss the FLF funding opportunity and the Outline Proposal requirement with the organisation they wish to host their FLF.

2.2. Full proposal - submitted via the Je-S system

Full applications must be submitted via the Joint Electronic Submission system (Je-S). The Je-S system has not yet been updated to host UKRI applications and so the Medical Research Council (MRC) will host the FLF scheme on behalf of all Research Councils and Innovate UK. The delivery of the peer review/assessment criteria will be undertaken by a central UKRI team working in collaboration with experienced staff across the Research Councils and Innovate UK.

Full applications must be submitted to UKRI via the Je-S system by 4pm (BST time) on the deadline date. Applications cannot be submitted after the deadline. If an applicant misses the deadline, the application will need to be submitted to the next call.

Information about navigating the Je-S system can be found here. If you experience difficulties using Je-S or have questions regarding its use, please contact the Je-S helpdesk.

If the host organisation is Je-S registered: (e.g. HEIs, IROs, all NHS trusts)

Applications must be submitted through the host organisation where the Fellow plans to undertake the Fellowship. Applicants must ensure sufficient time to create Je-S accounts for both the Fellow and any Co-Investigators, and for the Co-Investigators' accounts to be verified by the institution at which they are based before submitting the application. When an application is submitted through Je-S it often does not pass directly to UKRI, but to the host organisation's administration team who will then submit the application to UKRI. All applicants are strongly advised to contact the team responsible for application submissions at their host organisation to clarify their internal deadlines to confirm how much time the institution will need to process the application and complete the submission process.

If the host organisation is not currently Je-S registered: (i.e. businesses)

If the host organisation is not currently Je-S registered, applicants will need to self-register their organisation before making an full application. Once the application has been completed, this will be submitted directly to UKRI by the applicant. Full registration of the organisation will take place should the proposal be shortlisted for interview. Should you require any assistance, please contact the FLF team (fellows@ukri.org).

In Je-S, all applicants should select the following:

- Council: Medical Research Council (MRC) (regardless of the sector you work in- there will be opportunities later to suggest how your application should be reviewed).
- Document Type: Fellowship Proposal
- Scheme: UKRI Future Leaders Fellowships
- Call name: UKRI Future Leaders Fellowships [date]

3. The application form

The application has several components; the Je-S electronic proposal form, mandatory attachments and optional attachments, as tabled below. All attachments must be completed in 11-point Arial typeface and adhere to the side limits detailed below. Minimum margins of 2cm in all directions apply. Applications will not be accepted where smaller typefaces or narrow versions of the typeface have been used, or where side limits have been exceeded. UKRI reserve the right to reject or return applications that do not abide by the guidance.

Document Type	Mandatory	Template provided	Side limits
Je-S Proposal Form	Yes	Yes – on Je-S	N/A
CV	Yes, for Applicant, Co-Investigators and any named Researchers / Innovators or Visiting Researchers / Innovators	Yes: CV template	2 sides of A4
List of Publications (to also include patents / products / processes etc. where relevant).	Yes, for Applicant, Co-Investigators and any named Researchers / Innovators or Visiting Researchers / Innovators	No	1 side of A4
Workplan	Yes	No	1 side of A4

Document Type	Mandatory	Template provided	Side limits
Case for Support	Yes	No	8 sides of A4
Justification of Resources	Yes	No	2 sides of A4
Pathways to Impact (exploitation plan)	Yes	No	2 sides of A4
Data Management Plan	Yes	Yes: Data Management Plan template	3 sides of A4
Head of Department Supporting Statement (to be completed by Senior Business Representative if applicant intends to host Fellowship in a business)	Yes	No	N/A
Proposal Cover Letter	Yes, if application is resubmission No, if application is not resubmission	No	2 sides of A4
Finance Form for Business Costs **(Attachment type: Letter of Support)**	Yes, if applicant intends to be based in business host organisation No, if applicant does not intend to be based in business host organisation	Yes: Finance Form for business costs	N/A
Additional Organisation's Supporting Statement **(Attachment type: Letter of Support)**	Yes, if applicant being hosted by more than one organisation No, if applicant not being hosted by more than one organisation	No	N/A

Document Type	Mandatory	Template provided	Side limits
Project Partner and Collaborator’s Supporting Statement **(Attachment type: Letter of Support)**	Yes, if Project Partners / Collaborators are included in application No, if Project Partners / Collaborators not included in application	No	2 sides of A4
Support for NHS Costs **(Attachment type: Letter of Support)**	Yes, if application will incur NHS costs No, if application will not incur NHS costs	Yes: SoECAT Form	N/A – Template provided
Signed Animal Usage Declaration **(Attachment type: Letter of Support)**	Yes, if application involves use of animals overseas No, if application does not involve use of animals overseas	Yes: Signed Animal Usage Declaration	2 sides of A4
Use of Rodents Overseas Form **(Attachment type: Letter of Support)**	Yes, if application involves use of rodents overseas No, if application does not involve use of rodents overseas	Yes: Use of Rodents Overseas Form	2 sides of A4
Facility Form	Yes, if proposing to use national Research Council facilities No, if not proposing to use national Research Council facilities	No	2 sides of A4
Technical Assessment or equivalent form (e.g. NERC High Performance Computing)	Yes, if proposing to use national Research Council facilities No, if not proposing to use national Research Council facilities	No	N/A
Mentor Statement **(Attachment type: Mentor Statement)**	Yes, for formal mentoring relationships.	No	2 sides of A4

Further guidance is provided on each of these document types below.

3.1. The Je-S proposal form

Further guidance on how to complete the Je-S proposal form is available within the Je-S help text.

3.1.1. Project details

Details of the host organisation, the project title, start date and duration must be entered in this section. This section contains the detailed costings, which are required for the first four years only – so you must enter start and end dates for the first four years (or the equivalent period for part-time applicants). Applicants must also enter their own reference number for ease of grants management within their host organisation.

If the proposal involves one or more partner organisations (of any type) who will receive support from the Fellowship, details must be entered in the Case for Support (see section 3.2.4). Please note: where business organisations are partnered on applications, hosts should consider any implications this may have under state aid guidance (See annex 1)**.** Organisations making a financial or in-kind contribution to the project but not seeking direct funding from the Fellowship must be included in the Project Partners section (3.1.11.9).

The project title is limited to 150 characters (including spaces) and must reflect the aim of the project.

The start date of the award should be realistic and would normally be between one and six months after the date of the decision-making meeting. The dates of planned panel meetings will be made available on the UKRI website.

3.1.2. Fellow details

Details of the Fellow and any Co-Investigators must be entered here.

The Fellow's salary is awarded as a directly incurred cost (these are costs that are explicitly identifiable as arising from the conduct of a project, are charged as the cash value actually spent and are supported by an audit record) as UKRI provide support for the Fellow's contracted working time.

The salary requested for each member of staff must reflect the full anticipated cost during the lifetime of the award, including any anticipated promotions and salary increments to ensure that the costs requested are as accurate as possible. Indexation must not be included as this is calculated post-award. Once the grant is awarded **no** additional requests can be made for supplementary salary costs.

Applicants from academic host organisations

To demonstrate their support, academic host organisations are required to commit to funding an increasing percentage of the applicant's salary, which is not to be derived from the full Economic Cost (FEC) of the award.

- Years 1 and 2: The Fellow can request the full economic cost of their salary from the award. This will be awarded at the standard 80% FEC so the UKRI contribution will be 80% overall (80% of 100%).
- Years 3 and 4: The Fellow can request 75% of the full economic cost of their salary from the award. This will be awarded at 80% FEC so the UKRI contribution will be 60% overall (80% of 75%).

To assist applicants and organisations with the calculation, please see the templates for full-time and part-time applicants available on the FLF web page.

	Total salary request from award	UKRI contribution	Academic host organisation's contribution
Year 1	100%	80%	20%
Year 2	100%	80%	20%
Year 3	75%	60%	40%
Year 4	75%	60%	40%
Review point (Below figures not captured within application)			
Year 5	50%	40%	60%
Year 6	50%	40%	60%
Year 7	25%	20%	80%

Applicants from Catapult host organisations

To demonstrate their support, the Catapult host organisation is required to commit to funding an increasing percentage of the applicant's salary.

The total cost of the Fellow's salary on the grant must be for the first four years of the Fellowship and take into consideration the tapered salary from year three, as detailed below. The total cost input should equate to 5,775 hours, pro-rata for part-time applicants.

	Total salary request from award	UKRI contribution	Catapult host organisation's contribution
Year 1	100%	100%	0%
Year 2	100%	100%	0%
Year 3	75%	75%	25%
Year 4	75%	75%	25%
Review point (Below figures not captured within application)			
Year 5	50%	50%	50%
Year 6	50%	50%	50%
Year 7	25%	25%	75%

- **Years 1 and 2:** The Fellow can request the full cost of their salary from the award. This will be awarded at 100% of direct costs so the UKRI contribution will be 100% overall.
- **Years 3 and 4:** The Fellow can request 75% of the full cost of their salary from the award. This will be awarded at 100% of direct costs so the UKRI contribution will be 75% overall.

Applicants from large business or SMEs

Costings for business-based Fellows do not need to be included in the Je-S costings which will automatically recalculate these costs into Full Economic Costs. All Je-S costs must be indicated as zero and instead business based applicants must complete the template entitled 'Finance Form for Business Costs' as directed in this guidance.

The total salary requested must be calculated to include provision for anticipated salary increments and promotions, such that the salary at the end of the award is in line with the host organisation's career structure for an individual with equivalent experience.

3.1.3. Co-Investigator

As the FLF scheme aims to develop the next generation of research and innovation leaders, Co-Investigators (Co-I's) are only permitted where they clearly bring complementary and different skills to the project. Co-Is may be from eligible academia or business. It is expected that Co-I's will only be costed for a limited period of the project whilst the Fellow learns the new discipline; they must not be costed for the whole duration of the fellowship. Co-Investigators must have a 'Research Proposal' type Je-S account and their account must be verified by their organisation.

A Co-I's role in the project must be clearly defined and justified within the 'Case for Support' attachment (3.2.4). These roles must not overlap with the roles of mentors, who provide career development support, or with the roles of collaborators.

Where a Co-I is included on the proposal, the following should apply:

- **Contractual eligibility:** A Co-I must hold a contract of employment for the duration of their time on the project at an eligible UK based Research Organisation, Business or Independent Research Organisation.

- **Academic Standing:** A Co-I must hold a PhD or have equivalent or comparable research or innovation experience.

Business-based Co-Is:
Due to the nature of overheads paid to business they should not be included for the purpose of calculating overheads and therefore costings should be submitted under the Other Directly Incurred costs section of the proposal form, including all costs associated with their part of the project. They should still be referred to as Co-I's within the case for support. There may be considerations of state aid where an industrial Co-I is heavily involved in the project and the services provided are not covered at market rates. We would encourage all applicants working with or considering working closely with a business to contact the FLF team for more details.

3.1.4. Objectives for the full period of the Fellowship

The **Objectives** section should summarise the project's main aims and objectives over the full period i.e. the four or seven years, or as detailed in section 1.1. This section is limited to 4000 characters (including spaces).

3.1.5. Summary

The Summary section should be used to provide a plain English summary of the research / innovation proposed i.e. in language that can be understood by a non-academic audience. It should explain the context of the research / innovation, its aims and objectives, and its potential applications and benefits. The section is limited to 4000 characters, (including spaces).

Sharing information and knowledge about UKRI's research portfolio is central to UKRI's mission and consequently the summary of UKRI awards is published on Gateway to Research. During the preparation of this section, applicants should bear in mind that it will subsequently be publicly available, along with the applicant's name and organisation, if the application is successful.

3.1.6. Academic beneficiaries

This section should summarise how the proposed Fellowship research / innovation outcomes will contribute to knowledge, both within the UK and globally. This should include how the research / innovation will benefit others in the field, identify beneficiaries in other disciplines and outline how the results of the proposed research / innovation will be disseminated to these beneficiaries. For the purpose of this scheme, beneficiaries both within and beyond academia should be described. The section is limited to 4000 characters, (including spaces).

3.1.7. Impact summary – Beneficiaries of Research/Innovation Outputs and Outcomes

The summary should address the following two questions:

Who will benefit from this research / innovation? Summarise who is likely to be interested in or to benefit from the proposed research / innovation, both directly and indirectly. It may be useful to think of beneficiaries as 'users' of the outputs, both immediately and in the longer term. This section should therefore include, for all applicants, a description of the approach to openness. For academic applicants, beneficiaries must consist of a wider group than that of the Fellow's immediate professional circle carrying out similar research, and should include any:

- Commercial private sector beneficiaries (academic Fellowships will generally not inherently benefit a single business, unless the costing/funding of the Fellowship complies with EU State Aid rules (see Annex 1), but may provide underpinning knowledge with broad utility or may ultimately license out arising intellectual property)
- Policy-makers within international, national, local or devolved government, government agencies or regulators who would benefit from this research
- Public sector or third sector organisations, including museums, galleries and charities
- The wider public

How will they benefit from this research/innovation? Describe the relevance of the work to these beneficiaries, identifying the potential for impacts arising from the proposed work. Provide realistic timescales for the benefits to be realised. Consider how the research / innovation has the potential to contribute to the nation's health, wealth or culture, for example:

- Fostering global economic performance, and specifically the economic competitiveness of the UK
- Increasing the effectiveness of public services and policy
- Skills development

The section is limited to 4000 characters (including spaces).

3.1.8. Other support

List any funding received in the last three years which will overlap with the lifetime of the Fellowship award, including details of the project title, funder, amount, duration and whether the funding has been awarded or is under consideration. Please refer back to time commitments.

For academic applicants, only funding secured or applied for by the applicant as Principal or Co-Investigator should be listed; awards held by previous supervisors must not be included.

For business applicants, confirmation must be provided that the proposed work is separate from and additional to any work already covered by other public sector funding, either already awarded or under consideration.

Contributions from Project Partners must not be entered here. See section 3.1.11.9 for guidance on Project Partners.

3.1.9. Related proposals

Provide details of the Outline Proposal to the FLF in this section, selecting 'Follow up to outline proposal' from the drop-down list.

If the proposal is a resubmission of a previous application, provide details of the previous submission in this section. For resubmissions, a brief (<100 characters, including spaces) reason for resubmitting the proposal should be included. A more detailed description of the amendments since the original submission must be included in the cover letter. Section 1.6 summarises the eligibility considerations relating to resubmissions.

3.1.10. Staff

Where required, support for researchers/innovators, visiting researchers / technicians and other staff may be requested. Support for PhD students may not be requested. Costs for these staff must be justified in the Justification of Resources attachment and their added value to the Fellowship described in the Case for Support. Funding for visiting researchers/innovators is limited to 12 months per individual.

CVs and publication lists must be attached to the application for any named researchers/innovators and visiting researchers/innovators; named technicians and other staff do not need to provide a CV.

The salary of any staff whose contribution to the project can be supported by an auditable record for the duration of the Fellowship must be requested as directly incurred. Any directly incurred staff (whether full or part-time) who are not contracted to work 100% of their working time on the Fellowship project will be required to maintain timesheets or project records for auditing purposes. Visiting researchers and other staff must entered as directly incurred. Funding for staff whose time will not be exclusively dedicated to the project and whose contribution will not be supported by an auditable record must be entered as directly allocated.

Fellows planning to spend time at an additional research organisation overseas may request exceptional support for 100% of the cost associated with any overseas staff salaries, however a contribution towards indirect and estates costs can only be included where the research is being undertaken in a developing country.

Academic Fellows planning to spend time in a business environment may requests costs for consumables and their own salary. If any costs are requested on behalf of the business, they must be recorded separately and follow the scheme guidance on state aid.

3.1.11. Resources

3.1.11.1. Costings for business-based Fellows

Business-based Fellows do not need to be included in the Je-S costings which will automatically recalculate these costs into Full Economic Costs. All Je-S costs should be indicated as zero and instead business based applicants must complete the template entitled 'Finance Form for Business Costs' as directed in this guidance and upload this template as document type Letter of Support. Any value claimed under this method will need to be reviewed by the IUK project finance team if your application is successful as to whether it is appropriate.

3.1.11.2. Travel and subsistence

Funds for travel and subsistence for the Fellow and any staff working on the project, including any overseas costs, must be entered in this section. The cost and destination of each travel item must be entered in the form and justified in the Justification of Resources. All costs associated with a placement at an overseas organisation, additional UK research organisation or business partner must be labelled ‘additional organisation cost’ within the description in the Destination and Purpose field.

All travel must occur between the start and end date of the award and must be costed by the most suitable and economical means at current prices with no allowance for inflation. Subsistence rates, both UK and overseas, must be those applicable within the host organisation.

If the project includes a period overseas of six months or more, costs for fares, baggage, medical insurance and rent of reasonable accommodation may be included; an overseas living allowance may be requested. In general, a request of up to 11% of the Fellow’s salary is considered a reasonable contribution towards the cost of living overseas. Travel costs for a spouse and/or for children may be requested if the Fellow intends to spend over six months abroad and their family will accompany them for the whole period. Non-EEA nationals holding a UK work visa should be aware that extensive time overseas may invalidate an application for Indefinite Leave to Remain in the UK.

3.1.11.3. Equipment

Any item costing over £10,000 (including VAT) must be detailed in this section. Any item less than £10,000 (including VAT) is classed as a consumable and must be listed under the ‘Other directly incurred’ cost heading.

UKRI will meet the costs of new equipment, the costs of equipment repair and major spares, the costs of external maintenance agreements and the cost of equipment relocation and installation, where required by the proposed research.

If applicable the host organisation should make its own arrangements for applying for exemption from import duty.

All equipment must be justified in the ‘Justification of Resources’ attachment as part of your application.

Single items of equipment costing between £10,000 (inc VAT) and £138,000 (inc VAT).

These costs include import duty where applicable.

Any equipment bought or leased for the project which costs £10,000 (inc VAT) or above must be included under the ‘Equipment’ fund type heading. Please note the £10,000 includes all component parts of the equipment requested.

Applicants are asked to request that their organisation contributes towards the cost of any capital items or equipment over £10,000 (inc VAT). The organisation is expected to contribute 50% of the cost. Funding panels look at contributions from organisations and any contribution of less than 50% must be fully justified or it may be viewed as the organisation being less committed to the Fellow.

These items require explanation in the ‘Justification of Resources’ attachment.

Single items of equipment costing over £138k (inc VAT)

Equipment which costs over £138k (inc VAT) must be included under the ‘Equipment’ fund type heading. Items of equipment above £138k (inc VAT) require a two-page business case outlining the strategic need for the equipment and three quotations for each individual item.

Where it is not possible to provide 3 quotes, e.g. due to the specialist nature of the item concerned, the host organisation must upload dummy quotes in addition to the actual quote(s) to enable the application to be submitted.

Equipment for instrument development

Items of equipment for instrument development will be funded at 100% FEC, although UKRI reserves the right to request organisational contributions in exceptional circumstances. This only applies to individual pieces of equipment. Other equipment requested on the proposal not related to the instrument development will be subject to UKRI rules for equipment. All applicants wishing to request funds for instrument development must state this in their outline proposal and must contact fellows@ukri.org prior to submission of their application.

A proposal will be classed as instrument development where it is wholly or mainly focused on creating a novel instrument that will either enable research capability not available using any existing instrument or will substantially improve research capability beyond what currently exists, in a way that opens up significant new research / innovation opportunities.

The equipment section in costings should be completed as outlined below. All fields must be completed for each entry when making an application and costings must be at current prices with no allowance for inflation.

Heading	Description
Description	A brief description of the equipment so that what is being requested can be identified
Country of manufacture	The country where the item was manufactured
Delivery date	Please estimate this if not known
Basic price	Not including VAT
Import duty	Mark as 0 if none has been incurred
VAT	Mark as 0 when it can be reclaimed by the RO
Total	Total cost (excluding any VAT etc that can be reclaimed)
Amount sought	Total amount requested (this will normally be 50% of total cost)

3.1.11.4. Other directly incurred and directly allocated costs

Any material item less than £10,000 (inc VAT) is classed as a consumable. Consumables explicitly identifiable as arising from the conduct of a project must be entered as directly incurred other costs. Any costs arising from resources used by the project that are shared by other activities must be entered as directly allocated other costs.

It is expected the that organisations will provide computers and laptops for Investigators and other research staff on continuing contracts. Costs may be claimed for new staff who are recruited specifically for the project.

Costs to meet externally commissioned surveys (through a procurement/contract with a professional provider) may also be included, provided that the survey is not undertaken by the Fellow. Externally contracted social surveys are funded within the Exceptions heading at 100%.

Subcontracted costs may be included here and, with the exceptions above, will be met at the standard rate for the Fellowship (i.e. 80% FEC for academic Fellowships or at the appropriate rate for business-led Fellowships). Subcontractors must not be named as part of the project team and must only carry out a specific piece of work on behalf of the Fellow on a fee-for-service basis, with no potential claim as an inventor over any arising intellectual property. Details of any subcontracts must be specified in the Case for Support and fully justified in the Justification of Resources

As per the 'UKRI Policy on Open Access', applicants based at academic host organisations are not permitted to request funds for publication costs; these are funded by UKRI by means of a block grant to eligible research organisations. Applicants based at business host organisations may request funds for publication costs so long as these are sufficiently justified.

If applicable, NHS costs must be entered as directly incurred other costs

3.1.11.5. Research and workshop facilities/existing equipment/capital

This section should identify any funds charged to the project to access shared research facilities and equipment. Items entered under this heading will require their use, but not the associated cost, to be justified in the justification of resources (see section 3.2.5).

If using NERC HPC facilities, a cost for the use is not necessary. For use of ARCHER and NEXCS please provide an estimate of resource need and a brief justification for the use in the Justification of Resources section.

3.1.11.6. Animal costs

If applicable, the costs associated with the purchase, breeding and maintenance of each species of animal used must be entered in this section. The detail regarding animal costs is provided in Annex 3.

3.1.11.7. Academic estates and indirect costs

Academic estates and indirect costs will be calculated by the host organisation and the agreed rates can be obtained from their finance department or research office. The costs should be entered as single annual figures (£ total pa for the project) and do not need to be justified in the justification of resources.

Those organisations which have not developed their own rates should use the default rates which can be found at:
https://www.ukri.org/about-us/policies-and-standards/funding-assurance-programme/

Estate costs may include building and premises costs, basic services and utilities, lease/rent rates, insurance, cleaning/porters/security/safety costs, staff facilities, and any clerical staff and equipment maintenance not already included as either a directly incurred or directly allocated cost.

Indirect costs are non-specific costs charged across all projects based on estimates that are not otherwise included as directly allocated costs. They may include general office and basic laboratory consumables, library services/learning resources, typing/secretarial support, finance, personnel, public relations and departmental services, central and distributed computing and the cost of capital employed (including redundancy). The costs of ethics reviews and infrastructure technicians can be included under this heading. Any staff costs that fall under this category do not need to be tapered and should be calculated on the FTE basis and not based on the % contribution to salary.

Estates and indirect costs at additional organisation

If the Fellow plans to spend time during their Fellowship at another UK/ overseas academic or business organisation, estates and indirect costs will continue to be payable to the lead organisation if this period is less than six months (per absence).

For a period of six months or more, indirect costs will continue to be paid to the lead organisation. Estates costs will not be payable to the lead organisation for the period of the Fellow's placement, however a contribution to the second centre's costs may be requested as described below, and the total figure for estates costs requested must be adjusted accordingly.

UKRI will not make direct payments to the second centre, either in the UK or overseas; this must be arranged through the lead organisation.

If the Fellow plans to spend six months or more at a second UK organisation, the lead organisation should request estates costs on behalf of the second centre for the duration of the Fellow's training period there at the second centre's agreed rates for estate costs.

If the Fellow plans to spend six months or more at an overseas organisation a contribution to the centre's estates and indirect costs may only be requested as directly incurred other costs if the research is being undertaken in a developing country. These costs can be requested at 100%. The estates and indirect costs associated with overseas locally employed research staff in developing countries may also be requested as other directly incurred costs at 100%.

3.1.11.8. Overhead costs in business

As described in the Innovate UK finance form guidance the 20% overhead option allows businesses to claim 20% of labour costs as overhead. This includes both direct and indirect overhead.

Alternatively, the business host organisation can complete calculations and templates for claiming direct and indirect overheads. Any value claimed under this method will need to be reviewed by the finance team if your application is successful, prior to any funds being awarded.

Full overhead recovery/full absorption costing is not eligible. Please note that once the overhead is calculated and approved it cannot be exceeded at any time throughout the project life.

3.1.11.9. Project Partners

Details of any collaborating researchers or organisations (other than the lead organisation) that will make specific contributions to the project are known as Project Partners and must be listed in this section. A Project Partner is a collaborating organisation who will have an integral role in the proposed research and / or innovation. This may include in-kind or cash contributions such as expertise, staff time, use of facilities, etc..

Project Partners cannot receive funding directly from the grant; the only exception to this is where a Project Partner is providing services or equipment that will go through a formal procurement process audited by the host organisation. The Project Partner cannot receive any other funds from the grant, such as travel and subsistence.

The organisations may be from the UK or overseas, and the contributions may be financial or in-kind. In-kind contributions may include staff time, access to equipment, sites or facilities, or the provision of data, software or materials. The financial value of the contribution must be included on the Je-S form.

Each Project Partner is required to provide a letter of support which must be on headed paper, dated and signed by an authorised representative of the organisation, and must:

- Confirm the organisation's commitment to the proposed project
- Detail the nature of the collaboration and identify the relevance and possible benefits of the proposed work to the Project Partner
- Confirm the value of the Project Partner's contribution, if it is an in-kind contribution the value must be quantified (this may be an estimate)

Any Fellowship involving, from the outset, collaboration with one or more non-academic or business partners will require a collaboration agreement to be received by UKRI prior to release of funding – applicants may wish to consider using the Lambert agreement template or, if the project involves clinical research, the mICRA template agreement. Where the Project Partner (whether an individual or organisation) is responsible for recruitment of people as research participants and/or providing human tissue, then list them as a Project Partner on the proposal form and enter a nominal sum of £1 for the value of the contribution. Details must be included in the Case for Support and a letter of support must be attached to the application which includes the following information:

- That the Project Partner has agreed to recruit the participants/provide tissue
- That what is being supplied is suitable for the research being undertaken
- That the quantity of tissue (where relevant) being supplied is suitable, but not excessive for achieving meaningful results
- Applicants wishing to spend time with an overseas business must clearly demonstrate that this is acceptable to their host organisation and that it will not enhance the overseas business's ability to compete with equivalent UK businesses either during or after completion of the Fellowship.

3.1.11.10. Classifications

The classification sub-sections must be completed to indicate whether the project will involve:

- Human biological samples
- Stem cells
- Beneficiary countries

Keywords - Applicants are also asked to describe their fields of activity. This section must be used to detail which funding organisation(s) would be best placed to identify the reviewers/assessors for the proposed research/innovation: AHRC, BBSRC, EPSRC, ESRC, MRC, NERC, STFC and / or IUK. Applicants should enter the relevant abbreviations and not the full funder name(s).

3.1.11.11. Ethical information

The Ethical Information sub-sections must be completed to give details of any human participation, animal research, animal species, genetic and biological risk, implications and ethical committee approvals required.

If applicable, within the 'Animal research' section, applicants must detail any procedures categorised as moderate or severe (in accordance with the maximum prospective severity rating in the Home Office licence under which the work will be carried out) in order that the assessment of the proposal can balance the importance of the potential scientific advancement to the welfare of the animals.

If applicable, within the 'Animal species' section, scientific reasons for the use of animals and an explanation of why there are no realistic alternatives must be given, with an explanation of how the choice of species complies with ASPA (see Annex 3).

3.1.11.12. Nominated Reviewers

Please nominate up to three independent reviewers in this section. Please note we may decide not to approach any of the applicant's nominated reviewers.

- Nominated reviewers must be experts in the research/innovation field and/or be able to provide an expert view on the value and benefits of the proposal.
- Investigators shall not provide reviewers from their own organisation, or from current or proposed project co-funders, or where any possible conflict of interest may arise.
- International reviewers can be included.

If a nominated reviewer isn't on the database, applicants should select 'Add New Person'.

Please note UKRI will consider possible conflicts of interest when selecting experts to review a proposal. Reviewers are asked to identify any possible conflicts of interest before they begin reviewing a proposal and to decline to review a proposal if there are any. UKRI will treat any such disclosures appropriately and fairly.

The covering letter can be used to name conflicted experts that you request not to be used as reviewers. If detailing conflicted experts, the following information must be provided in the covering letter:

- The name of the person not to approach
- The organisation(s) they are based at
- A clear reason why the person would not be able to provide an unbiased and evidence-based review

The decision on whether or not to honour a request to exclude a reviewer lies with UKRI following consideration of the justification provided. Requests submitted without a justification will not be considered.

3.2. Attachments

3.2.1. CV

The applicant, Co-Investigator (if applicable) and any named researchers/innovators and visiting researchers/innovators must submit a CV. Applicants should use the available FLF CV template. No other CVs should be submitted. **CVs may be a maximum of two sides of A4**.

The CV should outline employment history. It should state the applicant's current organisation and salary and include details of any career breaks, specifying the duration of any breaks in months. A summary should be given of formal training and qualifications, including any training and qualification being undertaken at the time of submission, and any prizes and memberships of professional bodies should be noted.

3.2.2. List of Publications

This document should be adapted so that it includes sector relevant outputs so may be more focussed on patents / new products / processes etc. The applicant, Co-Investigator (if applicable) and any named researchers/innovators and visiting researchers/innovators must include a separate 'List of Publications' attachment to detail recent and most significant publications / achievements, which should be a **maximum of 1 side of A4**. Applicants will be invited to submit an updated publication list ahead of interviews if successful at the shortlisting stage.

UKRI welcomes the inclusion of preprints in publication lists.

Please note that as part of UKRI's commitment to the San Francisco Declaration on Research Assessment, reviewers are advised not to use journal-based metrics, such as Journal Impact Factors, as a surrogate measure of the quality of individual research articles, to assess an individual's research / innovation contributions.

3.2.3. Workplan

The project should be illustrated with a simple diagrammatic workplan, e.g. a PERT or Gantt chart. This should be a standalone document and it cannot be used to extend the case for support. The full duration of the project (e.g. 4 or 7 year if 4+3 model, pro-rata for part-time applicants), project-specific timelines and milestones should be clearly and accurately shown. The workplan should not exceed **1 side of A4**.

3.2.4. Case for Support

Applicants must describe their plans for the Fellowship over the full seven years, (unless seeking a shorter period), providing detailed plans for the first four years and broader plans for the second period. Applicants should note the available assessment criteria.

- **Research and Innovation Excellence:** provide evidence for the quality of the research/ innovation, novelty and feasibility of the proposed project. Describe the aims and objectives of the proposed research or innovation. Give details of the general methodological approaches and appropriateness and rigour of the approach you will use. Enough detail must be given to demonstrate why the research / innovation will be competitive in its field.
- Highlight plans which are particularly novel or unique.
- Explain how new techniques or particularly difficult or risky studies will be tackled, and outline alternative approaches should these fail, i.e. consider objectively the feasibility of the approaches proposed.
- Identify where access to facilities or resources will be required.
- Give sufficient detail to demonstrate the benefit to the project.
- If applicable, describe all human studies and animal experiments. See Annex 3 for further guidance of the information that must be provided if the proposal involves animal use.
- **Applicant and Development:** describe how the Fellow's career trajectory aligns with the objectives of the FLF scheme, provide evidence that the Fellow can communicate clearly and has the potential to inspire and lead others, develop new relationships and influence across multiple disciplines and sectors. Detail a clear and resourced plan to support the development of the Fellow and their team, in terms of both the delivery of the project and broader professional / development opportunities. This must include identification of appropriate training, access to facilities and support. A clear plan for obtaining external guidance, mentoring and support for the Fellow from appropriate independent advisors must be described. Include details of any planned activities to maximise collaboration, partnership and knowledge exchange within and beyond the length of the Fellowship.
- **Career Intentions:** describe how the added value of a UKRI FLF award (e.g. the scale, flexibility and duration offered) will have a demonstrable impact on the career trajectory of the Fellow, outlining short- and long-term career intentions, and how the FLF will enable a career boost for the Fellow.
- **Impact and Strategic Relevance:** this section should explain how the proposed research / innovation and its potential impact contributes to, or helps maintain the health of other research disciplines, or contributes to addressing key UK societal challenges, or current or future UK economic success and / or enables future development of key emerging business, relative to other, similar research in the field. Provide evidence for the potential of the Fellowship to establish or maintain a unique, world-leading research activity and describe how the research / innovation demonstrates relevance to national, UKRI, Innovate UK and Council led strategy.

- **Research and Innovation Environment:** justification must be provided of the choice of host organisation and why this is the best place for the Fellow to undertake the Fellowship. Clear evidence must be provided of the suitability of the proposed environment for supporting the Fellow and maximising their development and the quality and impact of the research / innovation. Commitment from the host organisation to realising the potential of the Fellow and establishing them as a research / innovation leader must be clearly described.
- **Co-Investigator(s):** Co-Investigators are only permitted where they clearly bring complementary and different skills to the project. For each Co-Investigator included, clearly define and justify their limited role in the project.
- **Intellectual property:** it is expected that new intellectual property (IP) will be generated during Fellowships. All participants in the scheme and their Host Organisations are required to give due regard to the appropriate protection of any arising IP and to describe effective routes to exploitation which have the potential to achieve maximum benefit for the UK economy and wider society.
- **Key references**: key references must be included within the Case for Support within the specified page limit and may not be uploaded as a separate list of publications attachment. Citations must be in 11-point Arial font and include sufficient information for reviewers to easily locate the articles listed (e.g. First author name et al, Title, Journal. Year, Volume, Pages) but there is no house style which needs to be followed. The page limit for the Case for Support is **8 sides of A4**, inclusive of diagrams and references.

3.2.5. Justification of Resources

Guidance on writing a good Justification of Resources (JoR) is available on the [Je-S Help page.]()

The role of the JoR is to aid reviewers when assessing proposals so that they can make an informed judgement on whether the resources requested are appropriate for the research proposed and whether the proposal demonstrates value for money. All items requested in the proposal need to be justified in the JoR. **The JoR must be no more than two sides of A4.**

The JoR is a free text document. We recommend that you match the costs to the proposal headings below (where appropriate) so that you do not miss any costings from the Je-S or business costing form or any justifications for the items requested. Items not appropriately justified will not be funded and will be removed by UKRI prior to awards being made.

Cost to the proposal	Justification needed	Questions to consider in the justification
Staff – directly incurred posts	Justify why a researcher/innovator, visiting researcher/innovator and/or technician is needed for the proposed work and why the proposed time input is appropriate.	Does the identified work warrant employing the staff requested? Why has the level of resource requested for staff been asked for?
Staff – directly allocated posts	Justify the time that the Co-Investigator will spend on the grant.	What work packages does the Co-Investigator need to be involved with? What specific skills are they bringing to the project that would otherwise not be present within the project?
Travel and subsistence	Give a full breakdown of the costs in the Je-S form. For example, how many people are travelling, where they are going and why.	If you are planning to visit people to discuss your research/innovation, you must explain why those are the right people to talk to and how they can contribute to you meeting your objectives. If you plan to attend

Cost to the proposal	Justification needed	Questions to consider in the justification
		conferences, you must comment on the advantages of conference attendance. Give an indication of the number you want to attend during the Fellowship and the type you want to go to, e.g. national / international / general / subject-specific/ Travel costs incurred when using facilities should be included where necessary.
Other directly incurred costs	Give a description of what has been requested and why.	Justify the need for an item requested. Explain what the item will be needed for and also justify the cost. Applicants should consider their training needs as part of their application. The costs for meeting these training needs should be included in the grant and Fellows should ensure that stated training activities are undertaken. Where appropriate it is expected that Fellows attend a suitable research / innovation leadership and management course and they should plan to attend this at an early stage of their Fellowship. Mentoring is a key career development tool, in addition to the mentoring that should be provided by the host organisation, funds can be requested to support justified costs associated with any external mentors an applicant may have arranged as part of their Fellowship application. We expect that the host organisation will provide computers and laptops for the Fellow and Co-Investigators and other research staff on continuing contracts. You must provide a breakdown of any costs which are incurred for bulk items.
Directly incurred equipment	Why is the item needed?	Why can the item not be used / borrowed from elsewhere?

Cost to the proposal	Justification needed	Questions to consider in the justification
Impact	Justify any resources requested to support the impact plan. For example: - Staff time, travel and subsistence - Consultancy fees.	Full justification (what it is and why you need it) of each item requested. Please note: patent costs and other IP costs are not eligible Estate and indirect costs must not be requested for Technology Transfer Officers (TTOs). These are project-specific resources.
Other directly allocated costs	Justify the need for resources.	Explain what these are and why you need to use them. In some cases, such as internal facilities and shared costs, the basis of costing does not need to be justified.
Estates, indirect and overhead costs	Business and overseas host organisations must justify – see sections 3.1.11.7 and 3.1.11.8. Does not need to be justified for UK-based academic hosts.	Must not be included for technicians, research support staff, or staff employed at Research Council funded units / institutes. For Businesses who will be claiming overhead costs, there should be full details of what these are, the methodology for calculating them and a full justification of what these will include. See 3.1.11.8 above.
Research facilities	Justify time only.	Explain what you are using the facility for and why you need to use this particular facility
Pooled technicians	For example, workshop or laboratory technicians, usually not named.	We would expect these costs to be included in the estates/indirect/overhead costs. Where the technicians used are of a specialist nature and not included in the estates / indirect costs, they must be fully justified in the JoR as to why they are required and why the costs are not included in the estates / indirect costs.
Infrastructure technicians	For example, health and safety officer at university. Cost must be displayed separately to estate and indirect costs in other directly allocated costs box.	Where the post is to fulfil a legal requirement, then the post does not need to be justified.

3.2.6. Pathways to Impact

This is a mandatory attachment and may be **up to two sides of A4**.

Activities which will promote potential economic, societal and environmental benefits must be described, along with specific actions that will be taken to ensure that the potential beneficiaries identified in the Impact Summary (section 3.1.6) have the opportunity to benefit from the research or innovation. This should include users and beneficiaries of the research / innovation who are outside of the applicant's community including, for instance, the public sector, private sector, civil society or the wider public in general.

When completing the attachment, please consider and address the following:

- Clear mapping of beneficiaries and target audiences. If the project involves substantial work with overseas businesses, explain here why this is a preferred route to achieving impact
- Opportunities for collaboration
- Strategies for engagement with target audiences
- Methods for communication and engagement (including analysis of appropriate outputs to meet user needs and expectations)
- Monitoring and evaluation of knowledge exchange and impact activities

In describing plans to maximise impact, applicants must consider what is achievable and expected for research / innovation of this nature. If you do not feel that your research / innovation has potential to achieve impact outside of its community, you should use the Pathways to Impact attachment to explain why this is the case. However, it is expected that applicants will have considered impact in its broadest sense in terms of addressing key UK societal challenges, or current or future UK economic success and / or enabling future development of key emerging business before coming to this conclusion.

Details of any proposed commercial exploitation plans must be presented here.

For academic hosted Fellowships, ownership and responsibility for the exploitation of intellectual property generated typically rests with the host institution. Where an academic hosted Fellow seeks funding to work with specific businesses who will gain direct benefit from the project (including but not limited to intellectual property that will be owned by or licensed to the business) EU State Aid rules will apply. Single business partners must contribute to the overall cost as if they were hosting the Fellowship (see Annex 1). Where multiple business partners are involved, applicants are encouraged to discuss this directly with UKRI.

This section may explain how the proposed research / innovation, and its potential impact, contributes to similar research in the field and/or the health of other research disciplines.

Impact can take many forms, manifest at different stages in the research / innovation process and be promoted in different ways. It may be helpful to consider impact in respect of the short term (during the term of the grant), medium term and the long term.

3.2.7. Facility Form

Should they be required as part of the research / innovation project, applicants must list national research council facilities and describe how they will be utilised as part of the proposal.

If you are planning to use one of the facilities listed in Annex 4 you must provide a technical assessment from the service provider as well as completing a facility form. You are required to contact the facility before applying to UKRI to check if your proposed research / innovation is feasible and obtain a technical assessment which needs to be attached to the application.

3.2.7.1. British Antarctic Survey Logistics Support

Applicants requiring NERC British Antarctic Survey Antarctic Logistics Support must complete a Pre-award Operational Planning Support Questionnaire (OSPQ). This is an online form. Applicants must email the Polar Funding Office (PFO) at BAS (afibas@bas.ac.uk) stating their name, institution and proposal title. The PFO will set up a new, numbered Pre-award OSPQ and send the link to the applicant along with instructions for completion. The Pre-award OSPQ must be completed three months before the full proposal submission deadline and included as an attachment at the full application stage. The Pre-award OSPQ should be submitted to the PFO ahead of the FLF Outline Proposal deadline and included as an attachment at the full application stage.

Any funding applications that request Antarctic logistic support without having received prior logistic approval will not be accepted for the FLF.

3.2.8. Technical Assessment

The technical assessment is required to detail the outline discussions that have taken place with the research facility, to ensure the facility will be available to you at the required time. Please also confirm the start and end date of use of the facility, support requirements and a brief summary of the facilities use and importance of their use for the project. Please include any other information you consider relevant.

3.2.8.1. NERC shiptime and aircraft requests

Shiptime and aircraft requests must be fully costed and entered as a directly incurred other cost in your Je-S submission. Please be aware that the costing process can take over 2 months, so any requests will need to be submitted as early as possible. If awarded, these will be notional costs which will be removed prior to award and paid directly to the facilities by NERC. Please note that permissions can be challenging for some geographical areas, and feasibility forms part of the costing process in consultation with the facilities. If you are intending to request access to NERC ships or aircraft, then you must contact NERC Head Office immediately. Contact: Fellowships@nerc.ukri.org.

3.2.9. Data Management Plan

The Data Management Plan (DMP) is a mandatory attachment and must be completed using the available FLF DMP template. The maximum length is **three sides of A4**, though for less complex research the DMP may be as little as a quarter of a page of A4. If any section is not relevant to the proposal 'not applicable' should be entered.

The DMP must demonstrate how the applicant will meet, or already meets their responsibilities for research data quality, sharing and security. It must refer to any institutional and study data policies, systems and procedures and be regularly reviewed throughout the research cycle.

We recognise publicly-funded research data as valuable, long-term resources that, where practical, must be made available for secondary research. Applicants must ensure that research data arising from UKRI-funded research to be made available to the research community in a timely and responsible manner unless there are exceptional reasons why this cannot happen. For example, if you will produce environmental science NERC relevant data, you should work with the relevant NERC Data Centre(s) to cost this as part of your submission and enter as a direct cost. Social science data should be deposited within the UK Data Service. Applicants must consider and discuss their specific requirements.

3.2.9.1. Level of risk

Where the research / innovation involves human participants, their data or tissues or where the team holds identifiable data about these participants, the level of risk regarding data management is much higher. In these instances, the DMP should be more detailed and must include information on how these risks will be managed.

3.2.9.2. Cost of data sharing and preparing data for archiving

Where applicable, you must include the costs related to data sharing and preparation for data archiving in the resources section of the proposal form. This may include people, equipment, infrastructure and tools to manage, store, analyse and provide access to data.

Where the costs of managing legacy data and sharing are substantial, the proposal must differentiate the resources and funding for the following activities:

- Collecting, processing and 'cleaning' new data
- Own research on newly-acquired and legacy data
- Ongoing data curation and preservation
- Providing access and data sharing

3.2.10. Head of Department's Supporting Statement

This is a mandatory attachment and must be from the Pro Vice-Chancellor and Head of the Department or Senior Business Representative from the organisation that will host the Fellow. The statement must summarise:

- The applicant's suitability for a FLF
- The suitability of the project for the training and career development of the candidate
- Why the department is appropriate for the work proposed, including the long-term commitments the department will make to mentor and support the Fellow
- The effective and transparent arrangements that lead to the applicant being selected for the FLF
- Confirmation of the commitment to the salary of the Fellow and, for academic applicants, in line with organisational employment policies and practices, a commitment to providing an open-ended UK based independent research or innovation position to be taken up during or upon the completion of the Fellowship
- Confirmation of the commitment to 50% of any Equipment costs requested in the application

3.2.11. Mentor's Statement

If formal mentoring relationships and associated costs have been identified, a supporting statement from each mentor should be included. The mentors supporting statement should include details of the named mentor and the specified commitment made to mentoring support. It should be no more than 2 sides of A4.

3.2.12. Letters of Support

All letters of support must be dated, signed and on headed paper, and **a maximum of two sides of A4**. The following types of letters of support may be submitted:

- **Additional organisation's supporting statement:** A supporting statement from the business partner or additional organisation's Head of Department should be included if an additional organisation is involved in hosting the Fellowship.
- **Project Partners supporting statements:** Project Partners must provide a letter of support as detailed in section 3.1.11.9 of this guidance.

- **Collaborators** must provide letters of support confirming their role in the project, any deliverables that are planned, detailing the specific contributions (e.g. time or resources) that they are prepared to commit to the project and confirming any costs. If a partner or collaborator will be providing clinical samples for the project, the letter must confirm their willingness to provide the samples and that they have the appropriate ethical approval to cover the proposed research (see section 3.1.11.11).
- **Support for NHS costs:** Projects which will incur NHS costs must attach a letter of support from the relevant Health Trust and must also attach a completed SoECAT form. UKRI will only fund costs which fall under the 'Research Costs' heading, which will be funded at 80% FEC. The award will not include NHS support and/or treatment costs, although UKRI will take these into account when considering the value for money of the research.
- **Signed animal usage declaration:** All applications involving the use of animals overseas are required to submit a signed statement, confirming that they have utilised guidance and adhere to regulatory systems in the UK (and where appropriate, overseas). See Annex 3 for further detail about proposals involving animal use.
- **Use of rodents overseas form:** In addition to the signed statement, applications involving the use of rodents overseas must upload the form.

3.2.12.1. Proposal Cover letter

A covering letter must be included if the application is a resubmission – see section 1.6. A covering letter may also be included as part of an application where it includes specific information on conflicts of interest (See guidance for Reviewers). It should be **no more than 2 sides of A4**. The covering letter may be used to name conflicted experts that you request not to be used as reviewers. If detailing conflicted experts, the following information must be provided in the covering letter:

- The name of the person(s) not to approach
- The organisation(s) they are based at
- A clear reason why the person would not be able to provide an unbiased and evidence-based review

The decision on whether or not to honor a request to exclude a reviewer lies with UKRI following consideration of the justification provided. Requests submitted without a justification will not be considered.

The cover letter must not be used to cover anything which should be included in the Proposal Form, Case for Support or other required attachments and its contents will not improve chances of success of an application. Cover letters are made available to the Panel and UKRI but are not seen by reviewers/assessors.

4. Response to peer review comments (PI Response)

Applicants will be requested to submit a response to peer review comments (a 'PI response') once the proposal has been fully peer reviewed. The PI response should reference all peer reviewers and must be a maximum of 3 pages of A4.

The PI response should use Arial, 11-point font with a minimum of 2cm Margin around each page. If you do not wish to respond you will be able to select this option within Je-S.

Please note that, as the FLF is hosted by the MRC for system purposes, peer review forms are branded as such. Should a peer review refer to the FLF as an MRC scheme, please disregard this comment.

You will have 5 working days to respond to peer review comments, if you are unable to meet this deadline please email Fellows@ukri.org to request an extension. When you have submitted your PI response you will receive an email confirmation from Je-S.

The purpose of PI response is the same across UKRI, and MRC have provided a helpful blog post guide on how to respond to review comments.

Annex 1 – State Aid – funding for businesses

State Aid guidance: For applications hosted by business or collaborating with business

UKRI supports UK research organisations and businesses to invest in research, development and innovation. Some of the support we provide that involves a business or undertaking can be considered to be 'State Aid', which must operate under European Commission State Aid rules. This will be the case if a business is the host of the Fellowship or receives grant funding through the Fellowship and may be the case if there is significant collaboration with a business even where the host is a research organisation.

What is State Aid?
State Aid is a term used by the European Commission. It describes assistance from a public body or publicly-funded body given to organisations on a selective basis who take part in commercial activity.

The State Aid rules are designed to regulate subsidies and stop public authorities from distorting markets. They are also designed to help public authorities make sure that public resources are being targeted to where they are most needed. The State Aid branch of the Department for Business, Energy & Industrial Strategy (BEIS) has lead responsibility within the UK for coordination and development of State Aid policy. The BEIS State Aid guidance has further information.

What does it mean in terms of funding?

The UKRI FLF scheme will fund at a level in accordance with prevailing State Aid guidance. This will be based on the type of research or innovation undertaken and the size of business or commercial entity involved in the application (see below).

For all Fellowships where State Aid is confirmed, UKRI will notify the appropriate bodies at point of award, as required by prevailing State Aid guidance. Additional financial reporting may be requested at intervals during the duration of the Fellowship.

When will State Aid apply?

Business hosts

For this purpose, a business is defined as any organisation undertaking commercial activities, which can include some charities or not-for-profile entities. In most cases, this will be an organisation eligible to apply to Innovate UK and not eligible to apply to UKRI at an fEC level, nor is a research council institute or catapult.

Where a Fellowship is hosted by a business (i.e. funds are paid directly from UKRI into a business without passing through an eligible research organisation) direct State Aid will be assumed to apply. The funding levels and any additional reporting and governance associated with the grants will apply (see section 3).

Host organisation eligible to apply for fEC (HEI/IRO/UKRI Institute) in collaboration with one or more businesses

Where the Fellowship is hosted by an academic, research or other organisation which is usually funded at fEC rates, State Aid may apply if they are collaborating with a business (under the definition of business above).

In general, State Aid will not be deemed to be a concern where:

- The business partner does not seek a pre-negotiated right to any academically generated foreground project IP
- Where a business partner is being paid full market rate for their services (i.e. a subcontractor) and IPR is not deemed a concern, is wholly owned by the academic partner
- Any IPR generated by the academic partner is fully allocated to the academic partner
- The data generated from the research can be placed in the public domain within a reasonable timeframe.

Under these circumstances, the business partner may have a right to negotiate for access (at a fair market price) to the academic party's Intellectual Property Rights but terms cannot be agreed until the project is completed.

UKRI does not deal with IP rights arising from research funded by grants for extramural research, ownership and responsibility for the exploitation of intellectual property generated through the activities of the academic party rests with the academic party's institute, who have a responsibility to ensure that value for money is sought.
State Aid is likely to apply where:

- The industry partner wishes to pre-negotiate access to or own academically generated foreground project IP
- The industry partner is the only party with a plausible path to exploit academically generated foreground project IP (e.g. development of a software tool based on a commercial platform).

Where State Aid concerns apply, UKRI can only provide a set proportion of the total project cost, with the remaining funding to be met by the partner(s). This contribution should make up an appropriate proportion of the total project cost (industry plus academic costs) calculated using the table in section three.

Fellows, Host organisations and their collaborators should assess whether they believe State Aid will be a factor before application and seek to agree draft terms prior to submission of their proposal. Host organisations should highlight in their covering letter if they believe State Aid will apply and details of partners' contributions should be included in the letters of support within the submitted application.

For all applications with business involvement, applicants will be expected to complete a Future Leaders Industry Collaboration Agreement (FLICA). These will assist in defining the relationship between the parties; allowing partners to work out and clearly specify arrangements for relative responsibilities, governance, regulatory approvals, indemnity, intellectual property rights, reporting, and access to data and samples before a project starts. These processes will also allow UKRI to define whether the arrangements the proposed collaboration arrangements are eligible under EU State-Aid regulations for UKRI funding.

The FLICA process will only be started once an application has been recommended for funding, regardless of whether an applicant has declared that State Aid will apply. It will ask applicants and their partners to set out:

- Details of the lead applicant and industrial partner
- The objectives of the collaboration
- The collaborators and their contributions
- The type of research or innovation within the proposal
- How the results of the collaboration will be disseminated

- Whether the academic applicants have a direct or indirect interest in the industrial collaborator(s) and, if so, how conflicts of interests between the parties are being managed.
- The value of the industrial party's contribution
- How IP emerging from the collaboration will be managed
- A draft 'heads of terms document' which provides a draft agreement between all parties and their proposals for provision of intellectual assets

Only one FLICA form will be required to cover all partners to the research. Each FLICA will be independently assessed to determine the suggested funding level.

Where State Aid is found to be a concern and it was previously undeclared, or where UKRI is advised that funding levels should differ than those detailed in the proposal, approval of the application will be withheld pending a revised arrangement between the collaborators, alteration of the funding levels or other changes to the satisfaction of UKRI.

Awards of funding subsequent to the FLICA process will be conditional on provision of a fully signed and legally binding collaboration agreement between partners within six months of the Fellowship award. A Collaboration Agreement must be signed by all relevant parties before the research project can commence.

State Aid: Funding levels and additional considerations

Where State Aid applies, funds will be provided at a level based on the size of business/es involved, the nature of the research or innovation within the program and the overall cost of the program. Host organisations will be provided funding for their eligible at the following rates (based on the prevailing State Aid guidance at point of publication):

Applicant Business Size	Fundamental Research	Feasibility Studies	Industrial Research	Experimental Development
Micro/Small	100%	70%	70%	45%
Medium	100%	60%	60%	35%
Large	100%	50%	50%	25%

Example:
An academic host and a single large business collaborate on proposal which covers industrial research. It is agreed that the business will own all IP arising from the project and therefore it will fall under state aid. The full costs of the program total £1M. The business would therefore be required to contribute £500k towards the project costs.

The definition of micro, small and medium-sized enterprises (SME) used by UKRI is set out in the European Commission Recommendation of 6 May 2003. A large business in this context means any enterprise which is not an SME. Where multiple companies are in collaboration, the business size of the largest partner will determine the funding rate.

The classifications of research in this context are defined as:

Fundamental research
This means experimental or theoretical work primarily to gain new knowledge of underlying phenomena and visible facts, without any direct practical application or usage.

Feasibility studies
This means analysis and evaluation of a project's potential, aimed at supporting the process of decision making. This is achieved by uncovering its strengths, weaknesses, opportunities and

threats as well as identifying resources needed and the prospects for success. Feasibility studies will usually help businesses decide to work either individually or collaboratively with other industrial or research organisations, before conducting a subsequent larger project.

Individual competition scopes will define their own requirements for feasibility studies in terms of project size and length.

Industrial research

This means planned research or critical investigation to gain new knowledge and skills. This should be for the purpose of product development, processes or services that lead to an improvement in existing products, processes or services. It can include the creation of component parts to complex systems and may include prototypes in a laboratory or environment with simulated interfaces to existing systems, particularly for generic technology validation.

Experimental development

This means the acquiring, combining and shaping of existing scientific, technical and other relevant knowledge and skills. This would be to produce plans, arrangements and designs for your products, processes or services. This can include producing drafts, drawings, plans and other documentation as long as they are not intended for commercial use.

It can also include the development of commercially-usable prototypes and pilots. This would only be allowable if the prototype or pilot would be too expensive for demonstration purposes only. Any revenue made from it, must be deducted from the eligible costs.

Experimental production and testing of products, processes and services is also eligible provided they cannot be used, in any form, in industrial applications or commercially. Experimental development should not include routine or periodic changes to products, production lines, manufacturing processes, existing services and other operations in progress, even if such changes may represent improvements.

Projects that span more than one category of research

Sometimes projects include work packages with more than one category of research. For example, a project may include elements of industrial research and experimental development. In this case, you would need to identify:

- the main research category (this will be where more than 50% of the eligible costs will be incurred)
- which other categories the other work packages fit into
- the appropriate level of funding for the total project, for example for a large company if 80% of a project is industrial research and 20% is experimental development, the total eligible funding is 45% (80% @ 50% = 40%, and 20% @ 25% = 5%)

You should apply for grant funding equivalent to the aggregated work packages.
Decisions on funding levels will be made on a case by case basis, and where there is doubt, individual applications will be assessed independently to determine where State Aid should apply. UKRI's decision on levels of funding are final.

Annex 2 – Full Economic Costing in academic and analogous institutions

Full Economic Costing

FLF applications from applicants in an academic institution are costed on the basis of Full Economic Costs (fEC), consistent with the dual support system in Research Council eligible organisations and state aid legislation. Host organisations must agree to fund the balance of the fEC for the project from other resources.

Fellows planning to spend time at a second centre overseas may request support for 100% of the costs associated with any overseas research and staff salaries. Fellows planning to spend time in businesses should request support at the appropriate level in line with state aid requirements- se ~Annex 1.

Universities and other Higher Education Institutes (HEIs) will use Transparent Approach to Costing (TRAC) methodology to calculate fEC. Other organisations can apply for full economic costs provided the methodology they adopt has been validated by UKRI as appropriate and robust. The standard default rates should be used where Host Organisations have not developed their own rates; these are publicised here.

Annex 3 – Animal use

Use of animals

The elaboration of a compelling research or innovation case is an essential prerequisite for justifying the use of animals. Over the past few years there have been a number of important initiatives that have been aimed at raising the sometimes-inadequate standard of reporting of animal experiments in the scientific literature. The NC3Rs' ARRIVE guidelines, for example, lay out criteria that should be met in reporting animal studies in order that their results and conclusions can be appropriately evaluated by readers. These criteria address a range of issues relating to transparency and validity of experimental design, the avoidance or minimisation of bias and the adequacy of statistical aspects of the study including statistical power and appropriate statistical analysis.

In light of these initiatives UKRI has revised and updated its guidelines on what information needs to be provided to allow appropriate and thorough evaluation of the scientific strengths and weaknesses of proposals for funding involving animal use. In some cases, adherence to the principles defined in this section will require additional resources, for example, for animal identification such as 'microchipping', increased maintenance charges resulting from the randomisation procedure, or salary costs associated with obtaining statistical support. We recognise this and will support such costs where fully justified in the appropriate sections.

The NC3Rs has developed guidance for applicants when selecting contractors for animal research and the expectations of UK public funders. A presentation detailing the information that applicants should provide can be found at http://www.nc3rs.org.uk/news/choosing-contractors-animal-research.

Applicants should be aware that all applications involving the use of non-human primates, cats, dogs, pigs and equines will be referred to the NC3Rs via their Peer Review Service. In some circumstances, applications involving the use of other species may also be referred, at the discretion of UKRI. Home Office licences and ethical and welfare standards

Experiments using animals must comply with the Animals (Scientific Procedures) Act 1986 (ASPA), amended 2012 and any further embodiments. Institutions and grant holders are responsible for ensuring that all appropriate establishment, personal and project licences required under the Act have been granted by the Home Office, including gaining approval via their institution's local ethical review process. All awards are made on the absolute condition that no work that is controlled by the Act will begin until the necessary licences have been obtained.

In addition, applicants must ensure that they are following best practice in relation to animal husbandry and welfare. Where proposed work is not covered under an existing ASPA project license, applicants should make certain that their proposals are received by their local Animal Welfare and Ethical Review Body (AWERB), prior to submission and ensure that any ethical or welfare implications raised are addressed.

Replacement, reduction and refinement of animal experiments

Applicants are expected to have developed their applications in accordance with the cross-funder guidance for the use of animals in research: Responsibility in the Use of Animals in Bioscience Research and NC3Rs Guidelines: Primate Accommodation, Care and Use.

Experiments using animals funded by UKRI must comply with the Animals (Scientific Procedures) Act 1986 (ASPA), amended 2012 and any further embodiments in:

- Using the simplest possible, or least sentient, species of animal appropriate
- Ensuring that distress and pain are avoided wherever possible

Employing an appropriate design and using the minimum number of animals consistent with ensuring that objectives of the proposal will be met.

Advice on opportunities and techniques for implementing these principles can be found on the NC3Rs website. This includes the Experimental Design Assistant (EDA), a free online tool from the NC3Rs to help optimise experimental design and ensure that the number of animals used is consistent with the objectives of the proposal.

Proposals involving animal use

Researchers are strongly advised to read the following section carefully before preparing a proposal to ensure all the relevant information required is included in the appropriate sections of their application. Applicants must ensure their proposal clearly sets out and justifies the following:

- Research objectives and how the knowledge generated will advance the field
- The need to use animals and lack of realistic alternatives
- Choice of species of animals to be used
- Type of animal(s), for example, strain, pathogen free, genetically modified or mutant
- Planned experimental design and its justification
- Numbers of animals and frequency of measurements/interventions to be used
- Primary outcomes to be assessed
- Planned statistical analyses

All applicants carrying out research involving the use of pigs are required to address the NC3Rs standardised pig questions within the body of the application.

Applicants proposing to use animals must complete the following section of the Je-S form:

- Animal Costs
  - Detailing the costs associated with the purchase, breeding and maintenance of each species of animal
- Animal Research
  - Detailing any procedures categorised as moderate or severe (in accordance with the maximum prospective severity rating in the Home Office licence under which the work will be carried out) in order that the assessment of the proposal can balance the importance of the potential scientific advancement to the welfare of the animals.
- Animal Species
  - Detailing scientific reasons for the use of animals and an explanation of why there are no realistic alternatives must be given, with an explanation of how the choice of species complies with ASPA.

Use of animals overseas

- If the proposal involves the use of animals overseas, applicants must submit a signed statement (uploaded as a Letter of Support to the Je-S application) from both UK and overseas partners that:
- They will adhere to all relevant national and local regulatory systems in the UK and overseas

- They will follow the guidelines laid out in the NC3Rs ‘Responsibility in the use of animals in bioscience research’ document and ensure work is carried out to UK standards
- Before initiation of the proposed work, appropriate approvals from Organisational and / or central animal ethics committees will be obtained for experimental protocols to be adopted in their projects. Successful applicants may be expected to provide copies of these permissions before funding is released.
- Details on where the animal research will take place (UK or overseas) and through which funder the resources are being sought.

If the research involves the use of rodents overseas, rather than in the UK, please also complete the ‘Additional questions on the use of rodents overseas’ form, and attach as a letter of support to the Je-S application.

Annex 4 - List of facilities for which a technical assessment and Facility Form are mandatory

- Accelerator Mass Spectrometry (AMS) Laboratory
- Airborne GeoSciences, University of Edinburgh
- Airborne Research and Survey Facility (ARSF)
- ARCHER
- Argon Isotope Facility (AIF)
- Atmospheric Measurement Facility (AMF)
- British Isles GNSS archive Facility (BIGF)
- British Ocean Sediment Core Research Facility (BOSCORF)
- Chilbolton Facility for Atmospheric and Radio Research (CFARR)
- Cosmogenic Isotope Analysis Facility (CIAF)
- Earlham Institute
- EPSRC National Service for AC-STEM
- EPSRC National Service for iii-v Technologies
- EPSRC National Service for Solid State NMR
- EPSRC National Service for X-ray Photoelectron Spectroscopy
- EPSRC national Wave Testing Service
- European Incoherent Scatter Radar Facility (EISCAT)
- Experimental Geoscience Facility
- Facility for Airborne Atmospheric Measurements (FAAM)
- Field Spectroscopy Facility
- Geophysical Equipment Facility (GEF) - (Ocean Bottom Instruments) Durham/Soton
- Geophysical Equipment Facility (GEF) - Edinburgh
- Geophysical Equipment Facility (GEF) - Leicester
- ICP-MS Facility, Kingston University
- Ion Beam Centre at University of Surrey
- Ion Microprobe Facility (IMF)
- Isotope Community Support Facility (ICSF)
- Life Sciences Mass Spectrometry Facility, Bristol
- Life Sciences Mass Spectrometry Facility, East Kilbride
- Life Sciences Mass Spectrometry Facility, Lancaster
- Luminescence Laboratory, Aberystwyth
- Mesosphere, Stratosphere And Troposphere Radar (MSTRF)
- Molecular Spectroscopy Facility (MSF)
- National Wind Tunnel Facility
- NERC Airborne Research and Survey Facility (NARF)

- NERC Biomolecular Analysis Facility (NBAF)
- NERC Earth Observation Data Acquisition and Analysis Service, Dundee (NEODAAS)
- NERC Earth Observation Data Acquisition and Analysis Service, Plymouth (NEODAAS)
- NERC Facility for Environmental Nanoscience Analysis & Characterisation (FENAC)
- NERC Facility for Scientific Diving
- NERC Isotope Geosciences Laboratory
- NERC Radiocarbon Facility (Archaeology), Oxford
- NERC Radiocarbon Facility (Environment), East Kilbride
- NEXCS High Performance Computing*
- North East Amino Acid Racemization (NEAAR)
- Open University U-Series Facility OUUSF
- Research Data Facility (RDF)
- Sorby Environmental Fluid Dynamics Laboratory
- Space Geodesy Facility