

## **APPLICATION FOR ELIGIBILITY TO APPLY TO UK RESEARCH AND INNOVATION (UKRI) FOR RESEARCH FUNDING v1**

This form is for the use of organisations seeking eligibility to apply for funding from UKRI, to one (or more) calls. Please note that eligibility to apply for UKRI funding is subject to call conditions and does not apply to Innovate UK or Research England. Therefore eligibility to apply for UKRI funding, does not automatically mean that the organisation is eligible to apply to all Research Council calls. For research organisations not categorised as UK Independent Research Organisations (IROs) or UK Research Institutes, eligibility may be limited to specific calls only, (usually those joint-funded with Dfid or another agency).

Please note for research institutes established with UKRI funding, this form is to establish what control procedures they have in place for managing research funding so that they are eligible to apply for funding from calls with open competition. Research Institutes are not required to provide details of their annual accounts, research income or their ability to deliver (Section 3) as this would have formed part of their original application and therefore been subject to peer review and an awarding panel. Where the RI is attached to a university, they may decide to adopt policies, procedures and systems used by the university rather than developing new ones. Please include details below.

Further information on eligibility is available on the UKRI web site <https://www.ukri.org/funding/how-to-apply/eligibility/>

Applicants should complete the following sections.

I. Name of Organisation
II. Mailing address
III. Head of Organisation
IV. Name of Contact (if different from above)

Telephone number
E-Mail address
<p>V. Which Research Council (RC) would you wish to assess your application? Please check the appropriate box (only one RC must be selected)</p> <p>AHRC <input type="checkbox"/>      BBSRC <input type="checkbox"/>      EPSRC <input type="checkbox"/>      ESRC <input type="checkbox"/></p> <p>MRC <input type="checkbox"/>      NERC <input type="checkbox"/>      STFC <input type="checkbox"/></p>

1. Legal status of your organisation? Please provide a brief description of the legal status of your organisation and attach evidence to support it e.g.	
	Evidence Provided
(i) Charity	
(ii) Limited Company	
(iii) Non-government organisation	
(iv) Other	

2. Governance and Control	
	Response
<p>2.1 Does your organisation have a governing board that is separate from its executive management?</p> <p>Please provide a link to (or provide) details of the current membership of the board.</p>	
<p>2.2 How is your grant management organised?</p> <p>Please provide an organogram of your grants management team/department.</p>	
<p>2.3 Please provide copies of (or links to) the following policies:</p>	

<ul style="list-style-type: none"> <li>• Risk management</li> <li>• Anti-Fraud, corruption and bribery</li> <li>• Research Integrity</li> <li>• Ethics</li> <li>• Equality and Diversity</li> <li>• Data Management</li> <li>• Travel and Subsistence</li> <li>• Conflicts of Interest</li> </ul> <p><i>Where no policy exists at present, please detail what steps will be put in place to ensure a policy is in operation before any grant becomes active.</i></p>	
<p>2.4 Please confirm the process for updating these policies and communicating them to staff.</p>	
<p>2.5 Where your turnover is more than £36m per annum, please provide a link to your statement on Modern Slavery in compliance with the UK Modern Slavery Act 2015.</p>	
<p>2.6 Have there been any formal investigations of research misconduct or fraud involving Research Funding bodies in the last three years? If yes, please state how many and whether these were upheld.</p>	
<p>2.7 Are you subject to independent internal audit?  If so, who are your internal auditors?  Please provide a copy of your most recent audit report relating to any relevant areas.</p>	
<p>2.8 How regularly does audit review research grants administration? Does this</p>	

include scrutiny of expenditure of individual research grants to ensure compliance with UKRI's terms and conditions?	
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**3. Ability to Deliver**

3.1 Describe the main objectives of your organisation's research strategy and its relevance to the remit and priorities of the research council you have specified in section v above.

Response:

3.2 How many researchers of postdoctoral or equivalent are substantively and directly employed by your organisation?

Response:

3.3 For at least 10 of these researchers, please provide details of their peer-reviewed outputs over the last five years.  
*This can include track records gained by staff in previous research organisations they have worked in.*

Response:

3.4 Please provide a summary of the innovative research projects that staff, while employed at your organisation, have led or co-led in the previous five years, including information about the number of postdoctoral researchers and/or research students they supervised, the size and complexity of the projects.

Response:

3.5 Please provide information about the way in which your organisation has sought to maximise the wider impact and value of its research for the benefit of the UK economy and society.

Response:

**4. Financial Stability**

4.1 RESEARCH COUNCIL  
INSTITUTES DO NOT NEED TO  
COMPLETE SECTION 4.1.  
Please provide the following  
information for the last 3  
financial years:

Financial Year	Total income £k	Total Research income £k	% Research income vs Total Income
<b>TOTAL</b>			

Please attach copies of last 3 years' audited accounts

4.2 Please provide details of the  
finance system used to  
manage research funding.  
Can this be used to produce  
transaction listings for  
individual grants?

4.3 How is expenditure on  
research grants monitored?

4.4 What kind of financial reports  
are available? To whom and  
how often are they issued?

4.5 What procedures are in place  
to prevent ineligible costs  
being charged to research

<p>grants? How is this monitored?</p>	
<p>4.6 Is there any control of virement of funds between headings? Do your systems prevent unauthorised virement and hence expenditure?</p>	
<p>4.7 How do you keep track of how many staff hours are worked on research grants? Please provide a copy of a timesheet template if used for this purpose.</p>	
<p>4.8 Please provide details of how pay scales/salaries are determined. If there is a published list of pay scales, please provide a copy or a link to where this information can be found.</p>	
<p>4.9 Please confirm if you intend to use the default rate for Estates and Indirect Costs or if you intend to use your own rates?</p> <p><i>Please note, that the Default rate can only be used if your research income is less than £3m per annum. If you intend to use your own rates, please complete the FEC questionnaire supplied with this form.</i></p>	

<p><b>5. Sub-contract Management</b></p>	
<p>5.1 Which organisations do you sub-contract to?</p>	
<p>5.2 Under the UKRI terms and conditions, research organisations are required to undergo due</p>	

<p>diligence where funds are being sub-contracted to third parties in a risk-based way. Please can you detail what due diligence checks your organisation carries out on sub-contractors to assess the ability and capability to carry out the research.</p> <p>Please provide a copy of any due diligence policy or questionnaire used by your organisation for this purpose.</p>	
<p>5.3 How is your relationship with any sub-contracting organisations governed?</p> <p>Please provide a copy of a collaborative agreement or memorandum of association used for this purpose.</p>	
<p>5.4 How do you monitor the progress sub-contractors are making on the project and that their expenditure is in line with project objectives?</p>	

<p><b>6. Public Engagement</b></p>	
<p>Please provide details concerning what your organisation has done (and plan to do) to maximise the wider impact and value of its research to the benefit of the UK economy and society.</p> <p><i>New research institutes should include details of their public engagement strategy if they have not yet built up a track record.</i></p>	

<b>Form completed by:</b>	Please email the completed form and attachments to the Grants System Support Team grantssystemsupport@rcuk.ac.uk
Position:	
Date:	

**Checklist of Attachments**

Attachment	Included
Evidence of legal status of organisation	
Organogram of your grants management team/department	
Risk management policy	
Anti-Fraud, corruption and bribery policy	
Research Integrity Policy	
Ethics policy	
Equality and diversity policy	
Data Management policy	
Travel and Subsistence policy	
Conflicts of interest policy	
Most recent audit report for your organisation	
Latest audit report on management of grants (if not the latest audit report for your organisation)	
Last 3 year's audited accounts	
Timesheet	
Published pay scales (unless link provided above)	
Due diligence form/policy	
Collaborative agreement/memorandum of agreement	