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

This form is for the use of organisations seeking eligibility to apply for funding from UKRI to one (or more) funding 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 funding. 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 UKRI 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 are in place for managing research funding so that the research institute is eligible to apply for funding from calls with open competition. Research Institutes (RI) 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 as required below.

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

Applicants should complete the following sections.

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| 1. Name of Organisation |
| 1. Mailing address |
| 1. Head of Organisation |
| 1. Name of Contact (if different from above) |
| Telephone number  E-Mail address |
| 1. Which Research Council (RC) would you wish to assess your application?   Please check the appropriate box (only one RC must be selected)  AHRC  BBSRC  EPSRC  ESRC  MRC  NERC  STFC |

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| 1. **Legal status of your organisation. Please provide a brief description of the legal status of your organisation and attach evidence to support it.**   *For example, registration with the Charity Commission* | |
|  | Evidence Provided |
| 1. Charity |  |
| (ii) Limited Company |  |
| (iii) Non-government organisation |  |
| (iv) Other |  |

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| 1. **Governance and Control** | |
|  | Response |
| * 1. Does your organisation have a governing board that is separate from its executive management?   **Please provide a link to (or provide) details of the current membership of the board.** |  |
| * 1. How is your grant management organised?   **Please provide an organogram of your grants management team/department, or, describe how grants are managed in your organisation and by which individuals or groups of individuals.** |  |
| * 1. Please provide copies of (or links to) the following policies: * Risk management * Anti-Fraud, corruption and bribery * Research Integrity * Ethics * Equality and Diversity * Data Management * Travel and Subsistence * Conflicts of Interest   *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.* |  |
| * 1. Please confirm the process for updating these policies and communicating them to staff. |  |
| * 1. 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. |  |
| * 1. 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. |  |
| * 1. 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.** |  |
| * 1. How regularly does audit review research grants administration? Does this include scrutiny of expenditure of individual research grants to ensure compliance with funder terms and conditions? |  |

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| 1. **Ability to Deliver** |
| * 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: |
| * 1. How many researchers of postdoctoral, or equivalent, level are substantively and directly employed by your organisation?   *Note: to be eligible you must employ a minimum of 10 researchers.* |
| Response: |
| * 1. For at least 10 of the researchers defined in question 3.2, 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: |
| * 1. 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. This should include information about the number of postdoctoral researchers and/or research students the staff supervised, the size and complexity of the projects, and the way in which the projects were managed and coordinated. |
| Response: |

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| 1. **Financial Stability** | |
| * 1. **RESEARCH COUNCIL INSTITUTES DO NOT NEED TO COMPLETE SECTION 4.1.**   Please provide the following information for the last 3 financial years:  **Please attach copies of last 3 years’ audited accounts.**  **Please attach a breakdown of all sources of research funding from the previous three years, including details of the funding sources and amounts.** | |  |  |  |  | | --- | --- | --- | --- | | Financial Year | Total income  £000’s | Total Research income  £000’s | % Research income vs Total Income | |  |  |  |  | |  |  |  |  | |  |  |  |  | | TOTAL |  |  |  | |
| * 1. Please provide details of the finance system used to manage research funding.   Can this system be used to produce transaction listings for individual grants? |  |
| * 1. How is expenditure on research grants monitored (by whom, how often, etc.)? |  |
| * 1. What kind of financial reports are available? To whom and how often are they issued? |  |
| * 1. What procedures are in place to prevent ineligible costs being charged to research grants? How is this monitored? |  |
| * 1. Is there any control of virement of funds between headings? Do your systems prevent unauthorised virement and hence expenditure? |  |
| * 1. 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.** |  |
| * 1. 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.** |  |
| * 1. Please confirm if you intend to use the default rate for Estates and Indirect Costs or if you intend to use your own rates?   *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.* |  |

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| 1. **Sub-contract Management** | |
| * 1. Do you sub-contract to third parties? Are these third parties ever based overseas?   *Please note that we define sub-contracting, as where any person or organisation receives grant funds awarded by UKRI from the award holding organisation.* |  |
| * 1. Under the UKRI terms and conditions, research organisations are required to undergo due 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 their ability and capability to carry out the research.   **Please provide a copy of any due diligence policy or questionnaire used by your organisation for this purpose.** |  |
| * 1. How is your relationship with any sub-contracting organisations governed?   **Please provide a copy of a collaborative agreement or memorandum of association used for this purpose.** |  |
| * 1. How do you monitor the progress sub-contractors are making on the project and that their expenditure is in line with project objectives? |  |

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| 1. **Public Engagement** |  |
| Please provide details concerning what your organisation has done (and plans to do) to maximise the wider impact and value of its research to the benefit of the UK (and wider) economy and society.  *New research institutes should include details of their public engagement strategy if they have not yet built up a track record.* |  |

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| 1. **Resubmissions** |
| If this application is a resubmission, please indicate how it differs substantially to the application previously made, including how it addresses previous areas where change was required. |
| Response: |

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| **Form completed by**: | Please email the completed form and attachments to the Grants System Support team  GrantsSystemSupport@funding.ukri.org |
| Position:  Date: |

**Checklist of Attachments**

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| **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 |  |
| Statement on Modern Slavery *(where required)* |  |
| Most recent audit report for your organisation |  |
| Latest audit report on management of grants (if not the same as above) |  |
| Last 3 year’s audited accounts |  |
| Breakdown of research funding from last 3 years |  |
| Timesheet |  |
| Published pay scales (unless link provided above) |  |
| Due diligence form/policy |  |
| Collaborative agreement/memorandum of agreement |  |