**APPLICATION FOR ELIGIBILITY TO APPLY TO UK RESEARCH AND INNOVATION (UKRI) FOR RESEARCH FUNDING v4**

This form is for the use of organisations seeking eligibility to apply for funding from UKRI to one (or more) funding opportunities.

IROs are eligible to receive funding from a Research Council in both managed and response modes unless specifically stated otherwise in the call guidance. Please note, Innovate UK and Research England have separate eligibility requirements. For the purpose of this application PSREs and Catapults are treated as IROs.

Organisations currently recognised as IROs are listed on the UKRI website at <https://www.ukri.org/funding/how-to-apply/eligibility/>

Organisations that are eligible to apply for Research Council funding may work in partnership or collaboration with any other organisation, irrespective of its eligibility status, subject to the conditions of any grant awarded.

Research organisations are required to evidence they have control procedures in place for managing research funding and to comply with [UKRI Grant Terms and Conditions](https://www.ukri.org/apply-for-funding/before-you-apply/your-responsibilities-if-you-get-funding/meeting-ukri-terms-and-conditions-for-funding/) and that they have the required capability to undertake research relevant to UKRI.

Research Institutes (RI) which were formerly part of UKRI or which receive capital investment from UKRI are not required to provide details of their annual accounts, research income or their ability to deliver (Section 3) as this would have been subject to previous assessment. 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:

[UKRI Eligibility Information](https://www.ukri.org/apply-for-funding/before-you-apply/check-if-you-are-eligible-for-research-and-innovation-funding/)

**Definitions**

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| AHRC | Arts and Humanities Research Council |
| BBSRC | Biotechnology and Biological Sciences Research Council |
| EPSRC | Engineering and Physical Sciences Research Council |
| ESRC | Economic and Social Research Councils |
| FLF | Future Leaders Fellowships |
| IRO | Independent Research Organisation |
| MRC | Medical Research Council |
| NERC | Natural Environment Research Council |
| PSRE | Public Sector Research Organisation |
| RI | Research Institute in receipt of substantial funding from UKRI |
| STFC | Science and Technology Facilities Research Council |

**PART ONE - The Organisation**

Applicants should complete the following sections.

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| 1. Name of Organisation
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| 1. Registered address
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| 1. Mailing address (if different from above)
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| 1. Is your organisation affiliated to any other organisation? (i.e. is your organisation legally part of a larger organisation or a group of larger organisations / Is your organisation connected to any other organisation in an official capacity / does your organisation share any governance structures with another organisation) If yes, please give details.
 |
| 1. Head of Organisation
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| 1. Name of Contact (if different from above)
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| Telephone numberE-Mail address |
| 1. Which Research Council (RC) would you wish to assess your application?

 Please indicate which Research Council is closest to the remit of your Research. (Tick only one box)

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| AHRC |  |
| BBSRC |  |
| EPSRC |  |
| ESRC |  |
| MRC (inc FLF IROs NC3Rs) |  |
| 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

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| 1. Limited Company
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| 1. Non-government organisation
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| 1. PSRE
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| 1. Other
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| 1. Size of Organisation
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| Number of FTE Employees  |  |
| Number of Researchers with Doctoral qualification (or equivalent) employed by the organisation and paid through payroll. *Please do not include contracted workers or staff loaned or seconded from other organisations.* |  |

**PART TWO – FINANCIAL STABILITY**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| 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.** |

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| --- | --- | --- | --- |
| Financial Year | Total income £000’s | Total Research income£000’s | % Research income vs Total Income |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| TOTAL |  |  |  |

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**PART THREE – GOVERNANCE AND CONTROL**

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|  | Response |
| 3.1 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. Which staff in your organisation are involved in managing research grants?

**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.** |  |
| 3.3 Please provide copies of (or links to) the following policies:* Anti-Fraud, corruption and bribery
* Bullying and Harassment
* Conflicts of Interest
* Data Management (including cyber security)
* Equality and Diversity
* Ethics
* Preventing Harm (Safeguarding) – See [UKRI Preventing Harm (Safeguarding) Policy](https://www.ukri.org/wp-content/uploads/2020/10/UKRI-050920-PreventingHarmSafeguardingInResearchAndInnovationPolicy.pdf)
* Research Integrity – See [UKRI Research Integrity](https://www.ukri.org/our-work/supporting-healthy-research-and-innovation-culture/research-integrity/)
* Risk management (both across the organisation and for individual projects)
* Travel and Subsistence

*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.* |  |
| 3.4 Please confirm the process for updating these policies and communicating them to staff. |  |
| 3.5 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. |  |
| 3.6 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. |  |
| 3.7 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.** |  |
| 3.8 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? |  |

**PART FOUR – GRANT MANAGEMENT**

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| **Financial Controls** |
| * 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. What checks are undertaken on expenditure charged to projects to ensure expenditure is eligible and complies with grant terms and conditions?
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| * 1. What kind of financial reports are available? To whom and how often are they issued?
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| * 1. UKRI Grant Terms and Conditions include rules regarding what funds can be moved between different FEC fund headings. Do your systems prevent unauthorised virement and hence expenditure?
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| * 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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| **Management of sub-contractors** |
| * 1. Do you sub-contract to third parties? Are these third parties ever based overseas?

*Please note sub-contracting is defined as funding from the award going to any organisation or person (not directly employed by the lead organisation). This includes organisations you are collaborating with.* |  |
| * 1. Under the UKRI terms and conditions, research organisations are required to undertake due diligence on third parties that funding is being sub-contracted to in a risk-based way. Please can you detail what due diligence checks your organisation carries out on sub-contractors domiciled in the UK and when sub-contractors are domiciled overseas.

**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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**PART FIVE – RESEARCH CAPABILITY/ABILITY TO DELIVER**

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| * 1. Describe the main objectives of your organisation’s research strategy and its relevance to the remit and priorities of UKRI focusing on (but not limited to) the Research Council you have specified above.
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| Response: |
| * 1. For at least 10 of the researchers, please provide details of projects they have been Principal or Co-investigator on and any experience they have in supervising students in the last 5 years. Include details of the awarding body, the funding and a brief synopsis of the research and any resulting outputs.

*This can include track records gained by staff in previous research organisations they have worked in.* |
| Response: |

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| **Wider Impact of Research** |
| 5.3 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.* |  |

**RESUBMISSIONS**

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| 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 teamGrantsSystemSupport@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 |  |
| Bullying and harassment policy |  |
| Conflicts of Interest policy |  |
| Data Management policy (inc cyber security) |  |
| Equality and Diversity policy |  |
| Ethics policy |  |
| Preventing Harm (Safeguarding) policy |  |
| Research Integrity policy |  |
| Travel and Subsistence 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 |  |