

## **STFC Research in Industry Guidance on Completing the Research in Industry Proposal Form**

Please read these notes before completing the Research in Industry proposal form. You should also consult the [general guidance notes](#) on STFC Research in Industry and the guidance notes associated with the particular [scheme or announcement of opportunity](#) to which you are intending to respond.

Note that in most cases, prospective applicants will first be required to complete a [Pre-qualification Questionnaire](#) (PQQ). STFC will assess these and advise prospective applicants whether they meet the minimum qualifying criteria for Research in Industry funding.

The Research in Industry proposal form should be completed in English, then printed out, signed and sent to the address shown at the top of the form. You may also be asked to send in a copy by e-mail.

- [Organisation where agreement would be held](#)
- [Title of research project](#)
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### **Organisation where agreement would be held**

The Research in Industry agreement will be between STFC and the legal entity of the supplier corporation. In many companies, there is a holding company structure and the operating division is named differently from the legal entity. In other companies, the ultimate parent company is the same legal entity as the supplier. Please provide this information to help STFC to understand your corporate organisation.

**The Ultimate Parent Company** is the company where ultimate ownership or control of the legal entity resides.

**The Legal Entity** is the company which is the Supplier for the purposes of the proposed Research in Industry agreement.

**The Organisation** is the title of the operating division or company of the Supplier.

**The Division or Department** is the sub-organisation which is concerned with the supply.

See [worked examples](#) of filling in the company ownership information.

Provide full address details, including postal code.

Use **Your Reference** to help distinguish between proposals. The reference is intended to be a unique identifier for the proposal and is unrelated to the reference that STFC will give to the proposal. If your organisation does not have a system for referencing proposals, you should create your own.

Against **SME status**, indicate (yes/no) whether the organisation is a Small or Medium-sized Enterprise according to the following European Commission definition:

A company is a small or medium-sized enterprise if it has fewer than 250 employees and either:

- an annual turnover not exceeding €4M, or
- an annual balance sheet total not exceeding €7M

and conforms to the following criterion of independence:

An independent enterprise has not more than 25% of its capital or voting rights owned by one enterprise or jointly by separate enterprises which are not SMEs. For example, if a company has 40% of its capital owned jointly by large companies, it is not an independent enterprise. Holdings by venture capital companies, institutional investors and public investment corporations are ignored, unless they exercise control over the company.

### **Title of Research Project**

The title should be as informative as possible, capturing the essence of the research.

It should not exceed 150 characters and must be completed.

Only standard ASCII characters should be used. Avoid using specialist characters and symbols (eg mathematical symbols, accents) because these may not transfer successfully to other computer systems if electronic copies of the proposal form are used.

### **Start Date and Duration**

The proposed start date and duration must be entered. Ensure that the proposed start date is realistic, taking account of the time required by STFC to process the proposal (for guidance, refer to the particular scheme details or call for proposals) and that required to recruit staff. Enter the proposed duration of the agreement in months.

### **Scheme**

Enter here the name of the funding scheme or Announcement of Opportunity relevant to the proposal.

### **Principal Investigator**

The term *Investigators* refers to the senior researchers who will be leading and managing the research.

There should be **one** Principal Investigator (PI) on every proposal. The PI should be the person who takes responsibility for the intellectual leadership and management of the research carried out in the host organisation. The PI will be STFC's main contact for the proposal and any subsequent agreements and must be from the organisation with which the agreement would be made.

In the case of collaborative projects involving more than one organisation, each with its own Research in Industry agreement (industry) or grant (HEI), each agreement/grant must have a PI, one of whom (the lead PI) must take responsibility for the management of the project as a whole.

The PI must not have an overdue final report on a project previously funded by STFC. If an overdue report does exist, STFC will not consider further proposals listing that person as an applicant.

### **Co-Investigators**

The PI may be supported by any number of Co-Investigators (Co-Is), whose role is to assist the PI in the management and leadership of the project. Co-Is do not need to be from the same organisation as the PI (if not, provide an address).

### **Summary of Resources Required for Project**

Enter here, broken down by the fund headings shown, the total cost of the proposed research (do not include any contributions from third parties, such as project partners), together with the amount requested from STFC and the corresponding percentage contribution requested of STFC. This may be anything up to 100%.

Against indirect costs, enter an amount for overheads if these are not charged as part of the charge-out rate for staff time. If overheads are included in the charge-out rate for staff time, enter a zero against indirect costs.

In the summary of staff effort requested, enter the total number of staff months requested and the sub-total requested against each staff type shown.

## **Other support**

Enter details of any support sought or received from any **other** external source for this or related research in the past 3 years. Complete all fields for support either received or pending a decision. The start date and end date need not be entered, though, for proposals that were unsuccessful.

## **Related proposals**

- a. If the proposal is related to one or more previously submitted to STFC, enter the **STFC reference number** and against **How Related?** indicate whether it is a continuation of previous support, a follow-up to an outline proposal (not a PQQ) or a re-submission of a previously unsuccessful proposal.
- b. A joint proposal is one in which two or more organisations are collaborating in a joint project and are separately seeking funding from STFC. In these cases, each organisation should submit separate proposal forms accompanied by a common case for support. A Lead Organisation should be identified for the purpose of submitting a joint proposal and this should be entered on the form, together with the total number of proposals submitted and a common reference number (this is the reference number used by the applicants, not the reference number that will be allocated by STFC).

## **Objectives**

The objectives of the proposed project should be listed in order of priority and should be those that the Investigators would wish STFC to use as the basis for evaluation of work upon completion of any agreement awarded.

This field must be completed using:

- No more than 4000 characters.
- Only standard ASCII characters.
- No specialist characters and symbols (eg mathematical symbols, accents) because these may not transfer successfully to computer systems.

## **Summary**

STFC has a responsibility to promote the public awareness and understanding of its research areas. The purpose of this summary is to help publicise STFC's research programme to:

- Opinion-formers and policy makers
- The general public
- The wider research community

Provide a plain English summary of the proposed work, explaining:

- The context of the research
- Its aims and objectives

- Its potential applications and benefits

This summary should be written in a style that could be publicised to a general audience. In the event of funds subsequently being provided, STFC may use this summary for general publicity purposes and as a basis for answering enquiries from the media and others about the purpose of the research.

The field must be completed using:

- No more than 4000 characters
- Only standard ASCII characters
- No specialist characters and symbols (eg mathematical symbols, accents) because these may not transfer successfully to computer systems.

### **Beneficiaries**

Beneficiaries are those who are likely to be interested in or to benefit from the proposed research.

List likely beneficiaries from the research and give details of how the results of the proposed research would be disseminated. Please state whether the research is likely to lead to patentable or otherwise commercially exploitable results. Wherever possible, the beneficiaries should consist of a wider group of people than those in the investigators' own organisation(s) or in the immediate professional circle carrying out similar research. Specific beneficiaries might be:

- Researchers in other disciplines
- Academic institutions
- Other companies, public sector bodies and others who may use the results to their advantage
- Policy makers

### **Staff**

Under this heading, include the costs **or** charge-out rates of staff whose time will be directly charged to the project in an auditable and verifiable way. Staff time that cannot be charged to the project in this way should be included in overheads, either as part of the charge-out rate for direct staff time or as part of a separate Indirect Costs line. It is expected that all staff making a significant contribution to the project will be listed as a direct staff cost.

The costs of staff employed on a casual basis to work on the project (for example, sandwich course students, vacation workers etc) may be claimed as a direct cost under the Other Costs heading.

Under **Role** (which refers to their role in the project), indicate whether the post holder is a PI, Co-I, researcher, technician or other (and enter posts in this order). The Other Staff category can include secretarial and administrative staff.

Under **Name/Post Identifier**, enter either the name (title, initials, surname) of each staff post or a post identifier (such as “senior engineer”).

**Under Annual Staff, either:**

1. under **Cost Rate**, enter:

- The average annual *cost of employment* of the post holder over the course of the project, including salary, expected increments, additional allowances and employers' liability for superannuation and national insurance, but excluding anticipated pay awards/inflation;

or

2. under **Charge-out Rate**, enter:

- The annual *charge-out rate* for the post holder, including the *cost of employment* plus overheads/profit margins

Use one of these charging methods for all staff posts requested (not a mixture of the two).

Under **Start Date**, enter the planned start date for each post holder, which must not be earlier than the proposed start date for the project as a whole.

Under **Period On Project**, indicate the number of months the post holder will work on the project – that is, the amount of elapsed time between the start date for the post and its end date – and then the **percentage of full-time working** that they will spend on the project.

Under **total cost of each staff post** enter the amount derived from the annual cost rate/charge rate, the period on project and percentage of full time working; so someone working half-time on the project for 6 months would have a quarter of their annual cost rate/charge-rate charged to the project.

See [worked example](#).

### **Travel and Subsistence**

A proposal may include funds for travel and subsistence for use by staff assigned to the project where these are required by the nature of the work. Identify the purpose and destination of each journey for which funds are sought.

- All journeys should be costed by the most suitable and economical means and should be at current prices with no allowance for inflation.
- All journeys should be fully justified in the Case for Support.
- Subsistence rates, both UK and overseas, should be those applicable within the host organisation for staff travel and subsistence.
- Where there are multiple journeys to the same destination for the same purpose please annotate as, eg, London–Paris x 2.

- Costs for attendance at conferences may be included, where such attendance will be of direct benefit to the research. Conferences should, as far as possible, be individually identified in the proposal.

### **Other costs**

List any other direct costs with a brief description of each type of item (or group of items) and its cost. State current costs with no allowance for inflation.

Items should be specified as far as possible in the Case for Support and justified in terms of their requirement for the research proposed.

Examples of items that may be included under this heading are:

- Consumables – please specify
- Publication costs – where incurred during the period of the agreement (otherwise they should be covered by indirect costs).
- Specialist publications (not expected in institutional libraries)
- Consultancy fees
- Computing – include recurrent costs of computing dedicated to each project only, eg software licences. Do not include any costs associated with the use of the host organisation’s central computing facilities.
- Equipment – only items costing less than £3k (including VAT).
- Equipment-related items (excluding depreciation) if not included as part of indirect costs:
  - Maintenance (external contracts/agreements)
  - Relocation
  - Rental/access charges (specify equipment or service being used and basis of charging).
- Recruitment and advertising costs for staff directly employed on the project
- Purchase/hire/running costs of vehicles if necessary for the project
- Casual labour
- Subcontractor costs

### **Equipment**

Use this heading to request items of equipment dedicated to the project and costing £3k or more: include capital costs plus any maintenance and other related costs (but not depreciation) that are not included in indirect costs. Items costing less than £3k should be requested under Other Costs.

For example:

- Computers
- Laboratory/workshop equipment
- Major equipment spares and software
- Installation costs and costs of major essential modifications necessary to house equipment (eg clean rooms or extension or air conditioning)

All entries must be justified in the Case for Support.

All fields must be completed for each entry.

All costings should be at current prices, inclusive of VAT, with no allowance for inflation.

The description should contain a brief summary of the item or group of items so that they may easily be cross-referenced with the Case for Support.

If VAT and/or Import Duty does not apply, a value of zero should be entered in this field – the host organisation should clarify the position on duty with the relevant authority before submitting the proposal.

### **Facilities**

Enter here any proposed usage of national facilities.

Applicants wishing to use a facility that STFC owns, manages, or for which it is the UK Agent must ensure their requirements for access to the facility can be met by contacting the specific facility co-ordinator before submitting their proposal.

### **Project Partners**

Details should be given of project partners and their contributions. A project partner is defined as an organisation providing specific contributions (either direct or indirect) to the research project. Non-contributing beneficiaries do not count as project partners. Project partner contributions are additional to the full economic cost of the proposal submitted to STFC.

Attach a letter to the proposal from each partner to:

- Confirm its support for the research
- Confirm the contributions to be made
- Outline the possible benefits to the partner organisation

If the proposal is part of a joint proposal, only provide details of project partners if your organisation is the lead organisation.

**Name of partner organisation:** If the organisation is a wholly owned subsidiary, enter the parent company.

**Division/Department:** enter if applicable.

**Address Details:** enter address details.

**Title or Forenames of Contact:** Enter the title and forenames (maximum of 3) of the person acting as the primary contact for the partner organisation.

**Surname of Contact:** Enter the surname of the primary contact.

**Contact's Address:** Enter details only if the primary contact's address is different from that given previously for the partner organisation. Full contact details must be given, including at least one of telephone or e-mail (STFC prefers to correspond by e-mail whenever possible).

**Direct contribution to the project:** Provide a brief description and the value of each of the direct contributions to be made by the project partner. These may consist of cash or other resources which are specifically to be used directly in the pursuit of the research, including, for example:

- Costs of any staff to be seconded to the work
- Materials and equipment donated to the project

**Indirect contribution to project:** provide a description and, if appropriate, a value for each contribution to the project to be expended indirectly – for example:

- The costs to the collaborating body of providing staff time in project liaison, management and evaluation
- Costs related to the use of facilities or equipment on the project partner's own premises

Against **total contribution from all project partners**, insert the total value of contributions.

### **Declaration**

This must be signed by someone in a position to confirm that the organisation will accept the terms and conditions applied by STFC and that the organisation has not entered into any obligations that may conflict with these terms and conditions. This would normally be the Finance Director or equivalent.

The Principal Investigator and each Co-investigator should also sign.

### **Nominated Referee**

Provide details of one referee whom STFC may approach for an assessment of the research proposal. If your proposal is part of a joint proposal, only provide details of the nominated referee if your organisation is the Lead Organisation.

- the nominated referee should be an expert in the research field and/or be able to provide an expert view on the value and benefits to users of the research proposal.
- Investigators should not provide referees from their own organisation or from current or proposed project partners, or where any possible conflict of interest may arise. An overseas referee may be nominated.
- Full contact details must be given for the referee, including at least one of telephone or e-mail (the STFC prefers to correspond by e-mail whenever possible).

Investigators should seek, wherever possible, to inform the referees that they have been nominated in order to check their availability and alert them to the possibility of being asked to referee the proposal.

## Completing The Research in Industry Proposal Form Filling in the Company Ownership Section

**Worked Example 1:** For a large, divisionalised company:

Ultimate parent company	Alpha Apparatus Plc		
Legal entity	Alpha Equipment (UK) Ltd	Your reference:	P0003
Organisation	Alpha Equipment		
Division or Department	R&D		
Address line 1	Alpha works	SME status:	N
Address line 2	Beta Broadway		
Address line 3			
Town/city	Gamma		
Area/County	Deltashire		
Country	UK	Postal code:	EZ12 1YY

**Worked example 2:** For an SME with no holding structure:

Ultimate parent company	Epsilon Equipment Ltd		
Legal entity	Epsilon Equipment Ltd	Your reference:	98765
Organisation	Epsilon Equipment Ltd		
Division or Department	R&D		
Address line 1	Kappa Lane	SME status:	Y
Address line 2			
Address line 3			
Town/city	Lambda		
Area/County	Mushire		
Country	UK	Postal code:	MZ1 1YY

## Completing The Research in Industry Proposal Form

### Completing the Staff Table

#### Worked Example 1: Research in Industry for Programme Technology Development using overheaded costs

In this example, two engineers are shown and overheads are calculated at 90% of staff costs. The company requests half of the costs from STFC for staff and travel, plus 100% for equipment.

a. Financial resources

Summary fund heading	Fund heading	Full Economic Cost	STFC contribution	% STFC contribution
Direct	Staff	£22,000	£11,000	50%
	Travel & Subsistence	£4,000	£2,000	50%
	Equipment	£10,000	£10,000	100%
	Other Costs	£0	£0	
	<b>Sub-total</b>	£36,000	£23,000	64%
Indirect Costs	Indirect Costs	£19,800	£9,900	50%
	<b>Total</b>	£55,800	£32,900	59%

b. Summary of staff effort requested

	Months
Investigator	
Researcher	4.8
Technician	1.2
Other	
<b>Total</b>	6.0

Role	Name /Post Identifier	Annual Staff		Start Date	EFFORT ON PROJECT		Total cost of each post (£)
		Cost rate	Charge-out rate		Period on Project (months)	% of Full Time	
Researcher	Project engineer	£40,000		1.4.06	24	20%	£16,000
Technician	principal engineer	£60,000		1.4.06	24	5%	£6,000
						Total	£22,000

## Worked Example2: Research in Industry for Programme Technology Development using charge-out rates

In this example, two engineers are shown, overheads are calculated at 90% of staff costs and so the charge-out rate equals  $1.9 \times$  staff cost. The company requests half of the costs from STFC for staff and travel, plus 100% for equipment.

a. Financial resources

Summary fund heading	Fund heading	Full Economic Cost	STFC contribution	% STFC contribution
Direct	Staff	£41,800	£20,900	50%
	Travel & Subsistence	£4,000	£2,000	50%
	Equipment	£10,000	£10,000	100%
	Other Costs	£0	£0	
	<b>Sub-total</b>	£55,800	£32,900	59%
Indirect Costs	Indirect Costs	£0	£0	
	<b>Total</b>	£55,8000	£32,900	59%

b. Summary of staff effort requested

	Months
Investigator	
Researcher	4.8
Technician	1.2
Other	
<b>Total</b>	6.0

Role	Name /Post Identifier	Annual Staff		Start Date	EFFORT ON PROJECT		Total cost of each post (£)
		Cost rate	Charge-out rate		Period on Project (months)	% of Full Time	
Researcher Technician	Project engineer principal engineer		£80,000	1.4.06	24	20%	£32,000
			£120,000	1.4.06	24	5%	£12,000
						<b>Total</b>	