



Arts & Humanities
Research Council

**Guidance notes for completing and
submitting the Knowledge Catalyst
scheme
application form**

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This guide is specifically to help when you are completing the application form and Case for Support. You should also read the Knowledge Catalyst Scheme Guide.

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Introduction

- 1 These notes are intended for applicants who wish to submit a Knowledge Catalyst application. It is not currently possible to submit an application electronically through the Je-S system (<http://je-s.rcuk.ac.uk>).
- 2 Application forms are available from the AHRC's website (www.ahrc.ac.uk), and can be downloaded and completed on screen. Hard copies of the form, together with the accompanying guidance, are available in limited numbers from the AHRC office. The Knowledge Catalyst Guide may be downloaded from the website or is available as a printed guide.
- 3 Whilst University Partners and Enterprise Partners will need to liaise closely to plan the proposed project the application form will usually be prepared primarily by the University Partner. The Letter of Support should be provided by the Enterprise Partner. The Case for Support forms the heart of the application and should therefore be drafted by both partners with close consultation. These notes are therefore suitable for both the University Partner and the Enterprise Partner.
- 4 Before completing the application form you should read the Knowledge Catalyst Guide to ensure that all partners concerned meet all of the eligibility criteria. You should also read the guidance below to assist you in submitting your application and to ensure that consideration of your application is not jeopardised through the absence of essential information.

Please note that incomplete applications, including those without the Case for Support or Letter of Support, or applications that do not adhere to the published guidance for the scheme will not be accepted and will be returned to you.

- 5 Completed application forms should be typed, not hand-written. You should download the application form from our website and type directly onto it, retaining as far as possible the existing format.
- 6 You must submit a Case for Support along with the application form. The Case for Support is a significant part of the application and guiding about preparing it is below.

Completing the application form

There is no closing date for the Knowledge Catalyst scheme and the application may be submitted at any time. The first part of the application form provides a brief overview of the proposed project. The project should be more fully described within the Case for Support.

University Partner

Please enter the name of the organisation at which the grant would be held if your application is successful. Currently, only Higher Education Institutions funded by HEFCE, DEL, SFC or HEFCW are eligible to hold AHRC grants. Please also enter the department at which the Academic is based; it would be helpful if you could limit the department to one which your institution has requested appears on Je-S. Your research grant administration department, or equivalent, should be able to confirm which departmental unit you should use.

Title of Project

Please provide a short title for your project (it should not exceed 150 characters). We will use this title in our published lists of awards and it therefore needs to be meaningful to a non-specialist audience.

Start Date and Duration

Please enter the date, month and year of the start and end of the project. Then enter the duration of the project, ensuring that the duration is between three and fifteen months. Holiday entitlement should be factored into the project duration.

Recruitment of a suitable Employee can take place before the project formally begins and should therefore not be included as part of the formal project.

Academic

Please enter your title, forename(s), surname and date of birth here. Please also enter your contact details and current post. It is only necessary to enter a postal address if you wish correspondence to be sent to a different address to that of your department.

Enterprise Partner details

Please enter the name of the Enterprise Partner Organisation and the postal address, telephone number and website address (if available). You should also enter the name of the contact at the Enterprise Partner. This person should be someone authorised to commit the Enterprise Partner to participating in the project, and should not necessarily be the person who will oversee the Employee on the day-to-day work of the project.

Further details about the Enterprise Partner

This section asks for details about the Enterprise Partner. You should tick as many categories as apply. If the Enterprise Partner has more than 50 employees you should indicate why the application has been submitted to the Knowledge Catalyst scheme. The scheme is aimed at organisations with 50 employees or less, but organisations with a higher number of employees can apply if they can demonstrate why the project could not be submitted to the Knowledge Transfer Partnerships (KTP) scheme.

Project Objectives

Both the Enterprise Partner and University Partner will need to agree the objectives and outcomes.

You should describe the context of the project, the strategic challenge that would be addressed by the project, how the research base would contribute to the project and what the expected outcomes of the project would be. The text box can be extended as necessary but you should keep this section concise and the text box should not exceed more than half a page. Further detail about activities and timetable of the project can be included in the Case for Support.

Web summary of Project

Please provide a summary of the project which can be used to describe the project publicly. You should include details of the research base and what the project will help the Enterprise partner to achieve. If you are successful, we will use the summary in our publicity.

Outcomes for the Enterprise Partner

This section should focus specifically on the expected benefits for the Enterprise Partner, and the potential developments for the Enterprise partner building on the completed project. Again, the text box can be extended as necessary but you should keep this section concise and the text box should not exceed more than half a page.

Project Outcomes for the Academic

You should identify the expected output(s) of your involvement with the project. More than one output can be indicated. If you indicate an output of type Other, please specify what this is in the box provided. The scheme does not directly fund research.

You can provide further detail about the expected outcomes for the Academic as part of the Case for Support. Expected outcomes for the Employee should also be covered under the Case for Support.

Ethical Information

Please indicate whether there are any ethical implications arising from the proposed activities. For example, does it require activities where the safety of project participants might be in jeopardy? Could the project result in damage to the natural environment? If there are ethical implications, you should give brief details of what they are and how you intend to address them.

Intellectual Property Agreement Information

You should indicate whether an IP agreement has been made between the University Partner and Enterprise Partner. If not, you should indicate whether an IP agreement will be made before the project begins (in this case, we will require confirmation that the agreement has been made before funding is released). If, unusually, both Partners agree that an IP agreement is not relevant to the project in question, the reasons for this should be outlined here.

Resources required for the project (financial details)

Introduction to the Finance section

Only eligible costs should appear in the financial tables. Ineligible costs will be the responsibility of the Enterprise Partner (or University Partner) and will not be supported through the award. In each table the information should be entered in the following format:

- the total full economic cost of all items requested under the fund heading;
- the AHRC contribution to the full economic cost, calculated based on the percentage AHRC contribution to each fund heading;
- AHRC will contribute 60% of all of the eligible costs.
- Where the project duration is more than 12 months, you should also divide the costs into the year in which they will fall.

Detailed guidance on table appears below, and information about each fund heading appears below under Costs Breakdown.

Further information on Full Economic Cost (FEC) headings

Further information on fund headings under FEC is available in the AHRC's Research Funding Guide.

Table: Summary of Resources required for the project

The first table is a summary which should be completed once you have entered the breakdown of costs (calculated on an FEC basis) into the table that follow it.

AHRC will provide 60% of the Full Economic Cost of successful projects. The column "AHRC contribution" should contain the total costs requested from AHRC. The final column should specify the proportion of costs contributed by AHRC (60% in this scheme). The Enterprise Partner must contribute the difference between the total FEC cost and the total contributed by the AHRC award.

Table: Related Proposals

If your proposal is related to one or more proposals previously submitted to the AHRC, please provide the reference number(s) of the previous proposal(s) and for each state whether this is a resubmission, related project or new project. If you are unsure of the reference number to enter, please contact us.

Costs Breakdown

Table: Staff – Directly Incurred Posts

- Directly Incurred staff posts are those which are evidenced by a contract or other auditable records.
- Directly incurred staff costs will usually consist of the costs of the Employee's salary (at 1.0FTE).
- The Employee starting salary and grade should be determined in line with the duties of the role. The AHRC has not specified an exact grade or salary level but reminds applicants that feasibility and value for money form part of the assessment criteria. You should justify the Employee salary level in the Case for Support.

Costs Breakdown (continued)

Table: Staff – Directly Allocated Posts

- Directly allocated staff posts are those which are based on estimates of time for staff with an existing contract. It is not necessary to have a specific contract or to complete timesheets.
- Directly allocated staff costs will usually consist of the supporting Academic's salary (usually at 0.1FTE), although it is permissible for the Academic staff costs to be entered as directly incurred (the same eligibility criteria applies). The Academic role can be divided between more than one individual: in these circumstances each individual should be identified.

Table: Travel and subsistence costs

- Travel and subsistence costs of the part of the Employee and/or Academic may be claimed where these are intrinsic to the Project. Travel costs between the Employee's or Academic's home to the usual place of work are not eligible.
- Please identify the purpose and destination for 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. Subsistence rates, both UK and overseas, should be those applicable within the University Partner for staff travel and subsistence.

Table: Other Directly Incurred costs

A small amount of support is available for recruitment costs and equipment. Where equipment is claimed this should be demonstrably essential for the project and should not be related to implementing any recommendations that arise through the project. There is a limit of £3,000 per piece of equipment.

Table: Other Directly Allocated Costs

Directly allocated costs are the costs of resources used by a project that are shared by other activities. They are charged to projects on the basis of estimates rather than actual costs and do not represent actual costs on a project-by-project basis.

Table: Estates and Indirect costs

- Estates costs may include building and premises costs, basic services and utilities, and any clerical staff and equipment maintenance or operational costs not already included under other cost headings. The Academic's estates costs should be included in the same proportion as the time allocated by the Academic to the project: usually 0.1FTE or 10%. Estates costs should not be included for the Employee unless the Employee will be fully or partially based at the University.
- Indirect costs include non-specific costs charged across all projects based on estimates that are not otherwise included as Directly Allocated costs. They include the costs of the University Partner's central administration such as personnel, finance, library and some departmental services.
- Indirect costs in relation to the Academic should be provided here (again usually at 0.1FTE). Indirect costs in relation to the Employee are an eligible cost, given the costs incurred by the University by providing central services. The University is not asked to calculate these costs but may apply for up to 50% of the average indirect costs of a full-time employee and not more than £20,000 per year (pro-rata based on the length of project) for the Employee's indirect costs.

Confirmation of commitment

You must sign and date the form. By doing so you are agreeing that your application meets all of the eligibility criteria of the Knowledge Catalyst Scheme and that, if successful, you will be bound by the terms and conditions of the award. You must also obtain a relevant institutional signature from someone with the appropriate authority to commit the institution to the terms and conditions of the award, for example the Head of the Research or Finance Office. Their position at the institution must be stated. We will notify this person if your application is successful, so please ensure that the full name and institutional address, together with the official institutional stamp, are provided.

You must return the original of the application form with these signatures: if you send a copy, this could delay the processing of your application. You must also send the Letter of Support and the Case for Support. See below for further guidance on submitting your application.

AHRC will use the personal information provided on the application form for the purpose of processing your grant application and monitoring any grant that is awarded. Further details may be found in Appendix 6 of the Research Funding Guide.

Appendix 1: Classification of Research Proposal

This section of the form will be used to assist in the selection of the most appropriate assessors for your application and it is therefore important that you complete it carefully.

There are three parts to the classification:

Part 1: Subjects

Part 1 is a two-page list of subject areas. You must select at least one and may select up to three of the available options to describe the subject area of your research interests relevant to this project.

To select a subject, click in the box to the right of it and a list of numbers from 1–3 will appear. You should click on a number (the first subject you select should be numbered 1, the second 2, and the third 3), which will then appear by the selected descriptor. If you are completing the form by hand, please write 1, 2 or 3 in the box by the subject area(s) you wish to select. You do not need to select subjects in order of priority/relevance.

If you select a subject from the group titled Other, please select at least one other subject.

If your research interests are in the creative and performing arts, please indicate at the bottom of the second page if your approach will be practice-led.

Part 2: Time and Place

This section will not be applicable to all proposals. If it is appropriate to describe the area of your research interests in terms of time period or geographical area, please complete this section.

There are three tables in this section, headed Subject 1, Subject 2 and Subject 3. The data recorded in each should correspond to the subjects assigned and numbered above, e.g. in the table headed Subject 1 you should select those time and place descriptors that relate to the subject you assigned a 1 above.

If you have selected a subject under the group titled History, you must select at least one time period that further categorises your proposal in this area.

Part 3: Keywords

This allows you to supply us with up to six key words that further describe the subject area of your research interests relevant to this proposal. These are intended to provide additional information and you do not need to repeat any of the terms that you have selected elsewhere on the form.

Attachments

Letter of Support

The application must be accompanied by a Letter of Support from the Enterprise Partner. This should state that the Enterprise Partner agrees to participate in the project as outlined in the application and will meet the remainder of the project costs not funded by the AHRC as outlined in the application and detail the Enterprise Partner's motivations for participating in the project. The Letter of Support should be signed by a senior representative of the Enterprise Partner, who has authority to the commit the Enterprise Partner to the project.

Case for Support

Your application form must be accompanied by a Case for Support. The Case for Support is the heart of the application and should provide the main detail about your proposed project. It is very important that this includes the information described below and that you format the document as requested. For the Knowledge Catalyst scheme, your Case for Support should not exceed 3000 words and you should use a font size of 12.

While you should aim to make the Case for Support as concise, specific and clear as possible, the work to be undertaken should nonetheless be fully explained, as failure to provide adequate detail on any aspects may seriously prejudice your application. You must provide sufficient evidence to enable members of the peer review college and panellists to reach a considered judgement as to the quality of your proposal, its significance, its feasibility and value for money.

If your application is a resubmission, you should also summarise the changes you have made in resubmitting the proposal (you may also provide a cover letter detailing the key changes). Please note that the peer reviewers who assess your application will not have a copy of your previous submission, so your application needs to be completed in full. Resubmitted applications may also be accompanied by a covering letter summarising the main changes.

As the Case for Support is the crux of the application it should provide full details about your proposed project. Sufficient detail should be provided so that the peer reviewers can make an assessment against the assessment criteria:

- The value or impact offered by the proposed project to both Partners and the Employee;
- The feasibility of the project given the planned timetable, resources, project management and the Enterprise Partner's financial standing.
- The value for money represented by the project

As a minimum we recommend that the Case for Support should cover the following areas:

The value or impact offered by the proposed project to both Partners and the Employee

You can demonstrate this by providing an overview of the project and giving additional detail about the benefits which will be delivered to each of the Partners. Its not necessary to repeat any information that you've already provided in the application form.

- What impact the project will have on the Enterprise Partner both in the short term and over the longer term?

- What kind of benefits will be enjoyed by the Academic as a result of taking part in the project? You can provide additional details about the project outputs and less tangible benefits. These will help to show that the project is a two-way knowledge transfer project and not something which could be achieved through a period of consultancy.
- How will the Employee benefit by taking part in the project? How is the role different to a typical short-term contract?
- What is the research expertise underpinning the project and what kind of knowledge transfer process will be used throughout the project?

The feasibility of the project given the planned timetable, resources, project management and the Enterprise Partner's financial standing.

- Project Timetable: a month by month summary of the activities to be undertaken during the project
- Intended project management arrangements: how will you ensure that the project stays on track and how will the project work on a day to day basis?
- Proposed working and supervision arrangements (including whether the working accommodation is at the Enterprise Partner's premises and who will be supervising the Employee)
- Confirmation that the Enterprise Partner has undertaken a risk assessment of the working environment or has an appropriate Health and Safety policy in place (documentation itself does not need to be included).
- Financial standing of the Enterprise Partner – eg. additional comments in relation to the Annual Accounts (or other documentation), whether the Enterprise Partner is already supported with public funds or by any other organisation in relation to the project.

The value for money represented by the project

The peer reviewers will assess the value for money offered by your application. You should also include:

- A justification of additional costs
- Explain why you have chosen the level of the Employee salary as detailed in the application form.

Other documents to include:

Academic's Summary CV and Publications list

The CV should be no more than two sides of A4 paper and in a font no smaller than size 10, and should include basic information about your education, employment history, and academic responsibilities. The publications list should cover your major publications in the last five years. It should be no more than one side of A4 paper and in a font no smaller than size 10. Brief articles, conference papers, etc. need not be included.

If you are successful, you will be required to supply the following documents, which must all be received before funding can be released:

- Confirmation that an Intellectual Property agreement is in place between both Partners
- Employee's job description and person specification
- Employee's training schedule

Submitting your application

You should ensure that all of the appropriate documents are being submitted with your application. The following should be included:

- The original application form, completed in accordance with the guidance, and signed and dated as required.
- A completed Appendix 1 (the Classification of the Research base)
- A Case for Support
- A Letter of Support
- A summary CV for the Academic
- A publications list for the Academic
- If you know the name of the Employee you wish to appoint you should include a copy of their CV.

Please note that amendments to the text of applications after submission are not accepted other than in very exceptional circumstances. You are strongly advised to retain a copy of the application for your own records.

Applications may be emailed and followed up with hard copies with the appropriate signatures. The Case for Support and Letter of Support may also be emailed in the first instance, with signed copies sent by post afterwards to:

Knowledge Transfer Team
The Arts and Humanities Research Council
Whitefriars
Lewins Mead
Bristol
BS1 2AE

Do not address posted applications to a particular member of staff as this may delay processing. Emails should be sent to Annette Hecht, Knowledge Transfer Awards Officer at a.hecht@ahrc.ac.uk. We do not accept applications by fax.