



AHRC KNOWLEDGE TRANSFER SCHEMES

KNOWLEDGE CATALYST

"To exploit fully the new knowledge and learning that is generated in Higher Education Institutions (HEIs), it has to be applied to areas of life where it can make a difference"

AHRC's definition of knowledge transfer

Introduction

1. Our vision is to be recognised as the premier innovative supporter of knowledge transfer in the arts and humanities. The Arts and Humanities Research Council (AHRC) has sponsored Knowledge Transfer Partnerships (KTPs) since October 2005 and this is an important part of our provision for knowledge transfer in the arts and humanities. We also wish to support smaller organisations for which the Knowledge Transfer Partnerships programme may not be accessible because of the length of partnerships it supports. It is to serve this sector that the Knowledge Catalyst scheme has been developed.
2. It is intended that the scheme will serve organisations that would not necessarily participate in formal knowledge transfer schemes but which would still benefit from accessing the knowledge and expertise in UK universities. This scheme is intended to open these opportunities in an accessible way and may result in organisations participating in further programmes or KTPs in future. At the same time, the scheme aims to promote the expertise held within the arts and humanities research base and use it effectively within a wide variety of organisations.

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KNOWLEDGE CATALYST

Terminology

- **Research base:** The expertise and knowledge held by university departments as leaders in their field. It does not necessarily refer to specific pieces of research.
- **Partnership:** the collaboration between the University Partner and the Enterprise Partner
- **Enterprise Partner:** refers to the organisation which is the focus of the project. The Enterprise Partner can be a commercial organisation, not-for-profit, charitable body or public sector body.
- **University partner:** the Higher Education Institution (HEI) providing academic input to the project
- **Academic:** refers to the named individual employed by the university partner who is providing academic input to the project.
- **Employee:** the recent graduate employed by the university to work on the project.

See the **Glossary** for further details and guidelines about each role.

Aims of the scheme

3. The Knowledge Catalyst scheme has two aims:
 - To exploit the research base in the arts and humanities for commercial and/or cultural gain; and
 - To make such activities accessible to organisations for whom the Department of Trade and Industry's KTP scheme is not appropriate.

How does the Knowledge Catalyst scheme work?

4. University Partners and Enterprise Partners liaise to develop a project which will utilise the university's research base to significantly develop the operations of the Enterprise Partner. The project will be delivered by employing a recent graduate (the Employee) to manage the work of the project, supported by a specified Academic from the University Partner. The Academic will be a researcher in a relevant field and will use their skills and expertise to contribute to the project (usually on a 0.1FTE basis). In most circumstances the Employee will be based within the premises of the Enterprise Partner, although alternative arrangements may also be supported. The Partnership then applies for funding to contribute to the costs of participating in the agreed project. Once approval has been gained, the partnership begins to prepare for taking part in the project. Preparations will include tasks such as recruiting a suitably qualified graduate and agreeing issues relating to intellectual property.

Who can apply?

5. Each partnership must comprise of one Enterprise Partner and one University Partner. Successful partnerships will be required to appoint a recent graduate (normally to have graduated within the last three years) to work on the project.
6. The scheme is intended to complement the AHRC's sponsorship of Knowledge Transfer Partnerships and is not intended to support projects which would usually be supported through its sponsorship of the KTP scheme.

Eligible Enterprise Partners

7. The Enterprise Partner may be based within any non-academic field, and may be a commercial enterprise, a not-for-profit organisation, a charity or public body. Enterprise Partners must be based within the UK.
8. The scheme is aimed at micro and small enterprises and Enterprise Partners should not usually have more than 50 employees at the time of applying. Larger organisations may be more suited to applying to the Knowledge Transfer Partnerships scheme which supports projects of greater duration. Larger organisations which can demonstrate why the KTP scheme is not accessible to them may apply to the Knowledge Catalyst scheme.
9. Trade associations and other organisations representing a range of organisations may apply, for a project which significantly contributes to their own organisation and/or the service that they offer their sector. At present the scheme cannot support a single partnership with more than one Enterprise Partner.
10. Partnerships involving an Enterprise Partner which does not have suitable premises for an Employee to work from may propose alternative working arrangements – for instance, by providing the Employee with working accommodation within the university.

Eligible University partners

11. The University Partner must be a UK Higher Education Institution directly funded by HEFCE, DEL, HEFCW or SFC, or an organisation recognised by the AHRC as an Academic Analogue. Further Education colleges are not eligible. The Academic must be based within and employed by the University Partner and have proven research interests in the arts or humanities that are relevant to the identified project.

What are the partnerships expected to achieve?

12. Applications must demonstrate that the project would have significant benefits for all three partners:

For the Enterprise Partner

13. The scheme is intended to deliver significant benefits to the Enterprise Partner, addressing a strategic challenge or imperative for the company and helping to underpin long-term development. Proposals must ensure that the application demonstrates the benefit(s) which the project will have either to the organisation or to the audience it serves. Knowledge Catalyst recognises the value of both direct economic benefit and indirect economic benefit: direct economic benefit might include impacts such as increased turnover, improved efficiency, identification of new markets or strategies. Indirect economic impact might include cultural outcomes, such as new exhibitions, performances or broadcast material or social impacts such as providing services which meet the needs of their users more closely. These examples are purely illustrative and are not exclusive.

For the University Partner

14. The University Partner must benefit from participating in a challenging programme of work. Such benefits might include increased material for research, the experience of implementing research into a practical environment or case study material for teaching.

For the Employee

15. The partnership must also ensure that the project is a challenging but achievable programme of work for the Employee. The role should offer opportunities to develop professionally or professionally and academically and should include the opportunity for relevant training. The Partnership may offer relevant postgraduate training where this fits within the aims and timescale of the project, although the direct costs of this will not be supported through the project.
16. Both the Enterprise Partner and University Partner make a commitment to the successful completion of the project. Full details of each partners' responsibilities can be found in the scheme Terms and Conditions.

What kind of projects can be supported?

17. Projects must utilise expertise within the arts and humanities research base. There is no limit on the destination of the knowledge but it must be based within the AHRC's [subject domain](#). The AHRC's broad definition of knowledge transfer supports a wide variety of activities and recognises the role of research in underpinning:
 - Commercial enterprise eg. to develop new markets, strategies or efficiency
 - Cultural organisations such as museums and galleries, arts and heritage sectors
 - Performances and exhibitions through which outcomes of the research are experienced
 - High-quality content for film, broadcasting and media
18. Academic research itself cannot be conducted under this scheme other than research gained through the experience of the knowledge transfer activities. This does not limit the project-based research the Enterprise Partner might undertake throughout the course of the project. The Academic involved is not required to have any previous connection with AHRC funding.
19. Projects must demonstrate additionality: a key assessment criteria will be to determine whether the project could have taken place without the funding requested.

How long can projects be?

20. Projects may last between 3 and 15 months. It is the responsibility of the Partnership to demonstrate that the time planned for the project is sufficient for the project to achieve its aims. The length of the project refers to the period of the project funded by the AHRC. It is likely that the impact of the project will continue significantly beyond the formal project finish date.
21. In circumstances where projects are delayed they may apply for an extension. Under these circumstances no further funding in respect of that particular project will be available from the AHRC.

What costs are eligible for AHRC support?

22. Typical eligible costs will include:
 - Employing the graduate;
 - "Buying out" an element of the Academic's time;
 - Indirect costs charged by the university in respect of the Academic;

- Travel and subsistence costs for the Employee and/or Academic;
- Training costs for the Employee;
- Recruitment costs relating to the Employee post;
- University overheads relating to employing the Employee;
- Resources necessary to conduct the project.

23. The following costs are not eligible and must be met in full by the Enterprise Partner:

- Additional “salary top-up” for the Employee post;
- Equipment costs greater than £3,000 (per single piece of equipment);
- Costs unrelated to the work of the project: for instance, costs arising from implementing measures as a result of the project;
- Any costs incurred before the project begins other than the Employee’s recruitment costs;
- Other direct or indirect costs incurred by the Enterprise Partner in accommodating the Employee.

24. The financial part of the proposal should be prepared using the University Partner’s Full Economic Cost (FEC) model.

25. Knowledge Catalyst does not set an exact salary or grade on which the Employee should be employed. Partnerships should agree an appropriate salary level given the responsibilities of the role, bearing in mind that both the feasibility of the project and its value for money form part of the assessment criteria. In some circumstances the Enterprise partner may wish to increase the salary level in order to attract a wider field of candidates. In these circumstances, the increased element of the salary is not an eligible cost for AHRC support.

What level of grant will be provided?

26. The AHRC will fund 60% of the eligible project and partnership costs. The Enterprise Partner must fund the remaining 40% of costs, plus any costs not eligible for AHRC support. The grant will be paid directly to the university and Enterprise Partners also must pay their proportion of the project costs directly to the university. The schedule of payments from the Enterprise Partner will be agreed with the University Partner.

What level of financial stability must Enterprise Partners be able to demonstrate?

27. The AHRC recognises that small companies may not be able to demonstrate a significant financial history but needs to safeguard the investment made in the project by the university partner and its own public funding.

28. By applying to the Knowledge Catalyst scheme, Enterprise Partners commit to participating in the project, if successful, for the full specified duration. Enterprise Partners must be able to demonstrate that they have sufficient resources to participate in the project and to maximise the impact of the project (eg. implement new systems or recommendations as a result of the project). They must also be able to demonstrate that the organisation is expected to continue to operate throughout the duration of the project and beyond.

29. The application form asks Enterprise Partners to demonstrate these circumstances using the most up to date and relevant proofs. Such proofs will usually be the most recent annual accounts, with internal interim accounts if the annual accounts are not available or were finalised more than 9 months prior to the application submission. Enterprise Partners who are unable to provide these documents are requested to supply alternative evidence that they are able to commit sufficient resources to the project. Enterprise Partners may be subject to credit checking by both the University Partner and/or the AHRC.

When can I apply?

30. Applications can be submitted by HEIs at any time from 1 July 2006 onwards, as there are not fixed deadlines. The AHRC aims to give a decision on all applications within 20 working days of receipt. Some elements of the application process, such as developing a job description for the employee and agreeing issues relating to intellectual property, can be dealt with once funding has been confirmed. Funding will not be released until the partnership has confirmed that these matters have been resolved.

Planning your project

31. The first step is to establish the likely partner in the partnership. Potential Enterprise Partners may wish to contact a university's Knowledge Transfer office to discuss how the research base might underpin a project or universities may seek Enterprise Partners which could effectively utilise a particular area of research or knowledge.

Preparing your application

32. Detailed guidance notes are published separately. Applications are currently made on a downloadable form which must be completed in a font no smaller than size 10 and sent in hard copy to the AHRC. The University Partner should submit the final application which should be signed by a senior representative from the University Partner. The application must be accompanied by a Letter of Support, signed by a senior representative of the Enterprise Partner, and a Case for Support. We intend that the paper forms will be superseded by an electronic submission process at some point in the future; due notice of this change will be available on the AHRC website.

How are applications assessed?

33. Funding decisions will be made on the merits of individual applications rather than by comparing applications in a competitive environment. Applications will be assessed on how well they meet the following 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;

34. Applications are currently assessed in three stages:

- A member of the AHRC's peer review college will provide an assessment of the challenge offered by the project to the Academic involved.

- The application will then be assessed by a panel of experts with a mixture of relevant academic and business experience. These experts will recommend whether the application should be supported or not.
- A final grade and funding decision will be made by the panel chair.
- The application will receive one of the following grades:
 - Successful: An application to be funded. If the award offered is different to the amount requested, feedback will be provided.
 - Resubmit: A potentially fundable application which requires further work. Feedback will be provided.
 - Unsuccessful: An application which cannot be funded, either because it does not meet the eligibility or aims of the scheme. Feedback will be provided.

35. An application which receives the Resubmit grade may be resubmitted once the application has been amended. If it is not successful on the second submission, it will receive the grade Unsuccessful and will not be accepted again.

Receiving an award

36. We aim to notify both the University Partner and the Enterprise Partner of the outcome of their application within 20 working days of submission.
37. Awards will be paid to the University Partner, who will be responsible for the project budget. The Partnership must agree a payment schedule for the Enterprise Partner's contributions to be paid to the University Partner.

Managing your project

38. Successful partnerships will be responsible for ensuring that the project takes place as described and should describe their plans for project management within the application form. At the end of the project, the partnership will be required to complete an End of Award report, detailing the progress of the project and its outcomes. The University Partner is required to inform the AHRC if the project becomes delayed or if its successful completion is threatened. The scheme Terms and Conditions contain full details of the responsibilities of both partners.
39. The application should explain the arrangements to be made to supervise and support the Employee by the Enterprise Partner.

Number of awards permissible

40. There is no limit to the total number of projects that a Enterprise Partner may participate in, although they may not participate in more than two Knowledge Catalyst awards at any one time. Projects which build on the work of a previous award are permitted provided that each award constitutes a separate well-defined project.
41. There is no limit to the number of Knowledge Catalyst awards that an HEI can participate in. No more than 100% of the time of a single academic can be allocated to AHRC-funded activities.
42. Each project proposal should be a distinct project. Enterprise Partners submitting more than one application should demonstrate that they would have sufficient resources to engage in both projects and the projects should not replicate one another in any way.

Further Reading:

- AHRC subject domain:
http://www.ahrc.ac.uk/about/subject_coverage/research_subject_coverage.asp
- Knowledge Transfer Partnerships: www.ktponline.co.uk
- Further information about the AHRC, its funding schemes and assessment processes can be found at www.ahrc.ac.uk
- Knowledge Catalyst Application [guidance notes](#)

Glossary

- **Academic:** refers to the named individual employed by the university partner who is providing academic input to the project.
 - ❖ The Academic must be employed by the University Partner on an academic or academic-related contract. Non-salaried staff (for instance, Emeritus or Visiting Fellows) may apply where they have a formal contract with the university.
 - ❖ There is no seniority threshold to support a Project but the Academic should be able to demonstrate relevant research standing.
 - ❖ The Academic's teaching or research interests must be closely related to the project.
 - ❖ The named individual can also be supported by others providing academic input to the same project. When additional individuals are based within different universities, arrangements for payment must be negotiated between the universities concerned.
- **Additionality:** the scheme cannot support existing activities or projects which would take place anyway.
- **Employee:** the recent graduate employed by the university to work on the project.
 - ❖ The employee should have graduated from a UK undergraduate or postgraduate course within the last three years.
 - ❖ The employee's qualification should be related to the project
 - ❖ The employee should be a British or EU National, or have a UK work permit.
 - ❖ The employee should not usually be already employed by either Partner.
- **Enterprise Partner:** refers to the organisation which is the focus of the project. The Enterprise Partner can be a commercial business, a not-for-profit, charitable body or public sector body.
 - ❖ The Enterprise Partner must be an existing organisation. Within this, there is no minimum period for which the organisation must have been operating. The scheme does not support start-up companies.
 - ❖ Publicly funded organisations must be able to show that they have sufficient privately generated income to participate in the project.
 - ❖ The Enterprise Partner must be based within the UK.
 - ❖ The Enterprise Partner should usually have less than 50 employees at the time of application.

- ❖ Universities, colleges, related departments or spin-out companies may not participate as Enterprise Partners.
- **Knowledge Transfer**
 - ❖ Our definition: To exploit fully the new knowledge and learning that is generated in HEIs, it has to be applied to areas of life where it can make a difference
- **Partnership:** the collaboration between the university partner and the Enterprise Partner.
 - ❖ The University Partner applies for funding on behalf of the partnership.
 - ❖ The Partnership does not usually constitute a legal entity.
 - ❖ There are no criteria regarding which University Partners and Enterprise Partners may work together in partnership as long as each is eligible to participate.
 - ❖ The Partnership is responsible for ensuring that the project takes place as described in the application form.
- **Project:** the programme of activities described in the application form and for which funding is sought.
 - ❖ Activities funded through an award must take place within the specific project start and finish dates.
 - ❖ Details about applying for an extension can be found in the scheme terms and conditions.
 - ❖ There is flexibility to vire monies within the budget. Details of how much flexibility is permissible can be found in the scheme terms and conditions.
 - ❖ Once an award has been made it is not possible to increase the level of funding.
- **Research base:** The expertise and knowledge held by university departments as leaders in their field.
 - ❖ The research base does not necessarily refer to specific pieces of research and research does not need to have been previously funded by the AHRC.
 - ❖ University Partners must be able to demonstrate the strength and value of the research base. This could be demonstrated by the research standing of the Academic, the RAE rating of the department or the impact of research to date or other ways in which the value of the research to the project is evident.
- **University Partner:** the higher education institution (HEI) providing academic input to the project.
 - ❖ The University Partner must be a UK Higher Education Institution (HEI) directly funded by HEFCE, DEL, HEFCW or SFC, or an organisation recognised as an Academic Analogue by the AHRC. At the time of writing, the following organisation have been recognised as Academic Analogues: The British Library, The British Museum, The National Archives, The National Maritime Museum, The National Portrait Gallery, Royal Commission on the Ancient and Historical Monuments of Scotland, Tate, The Victoria and Albert Museum.
 - ❖ The scheme is not open to Further Education Colleges.
 - ❖ Only one University Partner may participate in each partnership, regardless of how many individuals fulfil the Academic role.

