

## General Financial Guidance for Research Staff

When you find a funder or a scheme that you would like to apply for you need to let the Finance office know by e-mailing [research-grants@cl.cam.ac.uk](mailto:research-grants@cl.cam.ac.uk) or visit GE05. You will need to know and have to hand the funder, the scheme, the guidance for applicants and when the deadline is and if there are any collaborating partners (other University Departments or External). You should also request any University Teaching Officer (UTO) and Head of Department (HoD) permissions (if in doubt ask the Finance Office). This should be notified to the Finance Office at least 3 weeks before the sponsor deadline. **PLEASE READ THE SCHEME NOTES BEFORE CONTACTING US.**

### Who can apply and for what

#### Senior Research Associates (SRAs)

Funder - Projects	PI	Co-I	Researcher Co-I	UTO Support Needed	HOD approval
EPSRC	No	No	Yes	Yes	
DARPA	No	Yes	N/A	Yes	
Industry	Yes	N/A	N/A	Yes	
<b>Funder - Fellowships</b>	Yes	N/A	N/A		Yes

#### Research Associates (RAs)

Funder - Projects	PI	Co-I	Researcher Co-I	UTO Support Needed	HOD Approval
EPSRC	No	No*	Yes	Yes	
Industry	No	N/A	N/A		
<b>Funder - Fellowships</b>	Yes	N/A	N/A	Yes	Yes

## Definitions

#### Principal Investigator (PI)

A PI is an established member of staff who would be the lead researcher on a research grant. PIs are UTOs – individuals holding an established office of teaching and/or research in the University, e.g. Lecturer, Reader, Professor.

#### Co-Investigator (Co-I)

\*A Co-I would usually be an established member of staff who would assist the PI in the management and leadership of the project. RAs who hold a Royal Society or RAEng fellowship aimed at later career stages which requires approval from the Sponsor can also be co-investigators as long as the project does not end after their fellowship.

## **Researcher Co-Investigator**

This is a category that is used on EPSRC grants and it usually applies to SRAs/RAs. In order to apply as researcher co-investigators on JeS the staff member needs to show that they have made a substantial and clearly identified contribution to the development of an application and that they will be employed on the project for a significant proportion of their time (normally in excess of 50% of contracted hours), if it is funded. It is the expectation that the member of staff will be employed on the grant for the duration of the award.

## **Senior Research Associates (SRA)**

An SRA is a researcher with at least three years' experience as a postdoctoral Research Associate, or equivalent. Most SRAs have full operational responsibility for a major project or research facility and some may hold some research grants in their own right. They will have demonstrated a high level of competence and an independent standing as researchers. An SRA is a member of staff who does not have an established position and the length of time they spend at the University depends on the Research grants they are paid from. SRAs cannot be PIs on Research Council grants as their salaried position does not extend beyond the grant that they are paid from. However if an SRA has a Fellowship please check with the Finance Office first to see if you can apply.

SRAs can apply for specific European Research Council (ERC) grants, with UTO and HoD permission, but please check eligibility on the website. The SRA will also need to be employed for the duration of the award.

The promotion criteria from RA to SRA can be found on the departmental webpages<sup>1</sup>.

## **Sources of funding**

### **1. UK Research and Innovation (UKRI) grants**

UKRI consists of EPSRC, BBSRC, MRC, ESRC, NERC, AHRC, STFC, Innovate UK and Research England. These funding bodies release calls throughout the year offering grants to fund fellowships, collaborative projects and other large scale projects. Please refer to the following website for information about particular funding calls. <https://www.ukri.org/>

## **JeS System Registration**

If you would like to apply for a research grant with funding from UKRI you will need to register with JeS. (<https://je-s.rcuk.ac.uk/Jes2WebLoginSite/login.aspx>) Your registration will be submitted to the Research Council and then the Research Operations Office (ROO) will contact the department to confirm that they are aware of your request, please let the Finance Office know if you are applying for a JeS account and why, this will save time in approving your request.

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<sup>1</sup> <http://www.cl.cam.ac.uk/local/personnel/promotiontosra.html>

## 2. Charities and Trusts

The Royal Society and Leverhulme Trust offer funding for RA's and SRA's. There are fellowships, travel grants and collaborative projects. Please refer to the sponsor's website for more information about eligibility for the various calls. (<https://royalsociety.org/>), (<https://www.leverhulme.ac.uk/>). Be aware there are limits on most Charity funding for stipends and any shortfall would need to be found by your UTO before applying.

## 3. UK Government Departments

There are various opportunities to apply for funding from the UK Government. The department has applied for funding in the past from the Home Office and the Department of Education. If you do become aware of any opportunities please let the Finance Office know and send the web link to the scheme as soon as possible because these grants often have special conditions.

## 4. Applying for EC/ERC funding

The Funding from the European Commission comes under the H2020 Programme. This consists of four main types of grants: ERC, Multi-beneficiary projects, Marie Curies and European Innovation Council. Each of these types of grants have many different possibilities depending on the experience and project area. You should consult the H2020 website for further information. <https://ec.europa.eu/programmes/horizon2020/>

SRA's can apply for ERC and other EC grants. ERC grants are similar to UKRI fellowships, please check the eligibility on the website you will also require UTO and HoD permission.

## 5. Applying for US Funding

Another source of funding that the department applies for is from America. Applications are usually submitted to DARPA or other Federal agencies. The department would apply as a subcontractor, meaning that a US company/institution would be the main award holder and we would receive the funds through them. American applications are very time consuming and complicated so please alert the finance office as soon as you hear about a funding opportunity.

There are some 'invitation only' grants which would need to be brought to the attention of the Finance Office as soon as possible.

**Please note that these are general guidelines and you must liaise with the Finance Office to check your eligibility for any research grant/fellowship.**

## Deadlines

If you are thinking about applying for funding then let the Finance Office know as early as possible and not less than 3 full weeks before the deadline. From the 1 October 2018 the Research Operations Office (ROO) require 5 working days to submit applications, once the Department has approved for submission.

**The Department requires at least three weeks' notice if a costing is needed for a Research proposal.**

## Proposal Financials

### 1. X5 Costing

This is the costing tool that the University of Cambridge uses to determine the cost and price of a grant proposal. The X5 will be done by the Finance Office and will need to go through departmental approval before being submitted to the ROO who require **5 working days before the deadline**.

### 2. Full Economic Costing (fEC)

fEC was introduced in September 2005 to ensure that universities were monitoring the true cost of their research and where possible, recover that cost.

### 3. New funders

If you are applying to a funder that has not been used by the University before, then a new funder form will need to be completed by the finance office and then passed on to ROO to be added to X5. This can take from a few days to a week or more so you should include this in your timescale. If it is an international funder then it could take longer.

### 4. Directly incurred Costs

Directly Incurred costs are costs that are explicitly identifiable arising from the conduct of the research. These are usually staff, other costs/consumables, equipment and travel.

**Staff costs:** These are costs for Research Assistants (Grade 5), Research Associates (Grade 7) and Senior Research Associates (Grade 9). These costs include pension contributions, national insurance and any annual increments that might be due.

**Students/UROP:** Generally PhD students should not be part of a budget on Research Grants. Please talk to the finance office for further details if you need to budget for a student.

**Interns:** Cannot be applied for on UKRI grants and are problematic on EU grants if these are integral to the research please speak to the Finance Office. Interns would be paid through the Temporary Employment Service (TES).

**Travel:** These are funds that allow the researcher to participate in conferences and meetings at home and overseas. You should always over-budget on travel. Please check Conference websites for Conference Registration, flight, accommodation, local travel and subsistence which must be in-line with University Travel and Subsistence Policy <https://www.finance.admin.cam.ac.uk/finance-staff/accounts-payable/expense-claims/subsistence-rates> using a Raven Password.

**Other costs/Consumables:** Again, it is best to over-budget rather than under-budget. This category includes Professional Development which is non-negotiable and costs £500 per annum per staff member and any other items under £10,000. For further information about this please speak to the Finance Office.

**Equipment costs:** For proposals to EPSRC and other UK Research Councils. If a piece of equipment costs between £10,000 and £135,668 (inc vat – more than this requires a formal tender process) then the School of Technology will need to fund half of the equipment cost. Please speak with the Finance

Office if you plan on purchasing a piece of equipment as there are specific procedures that must be adhered to.

## 5. Overheads

These are essential costs that are needed to do the project. They are also known as indirect and estate costs. Some funders that don't pay fEC may have a fixed overhead rate. HoD approval should be sought if funding is being applied for that does not include fEC.

**Indirect Costs:** These are costs that are a necessary part of the costs of undertaking a project. These costs include Finance, Human Resources, Legal, Library Facilities, Registry, Research Operations Office and the University Information Services.

**Estate costs:** These are costs shared by other activities and projects, based on estimates, and do not represent actual costs on a project-by-project basis, for instance 10% of electricity, 5% of cleaning etc. They cannot be easily identified for one particular project.

**PI Time:** The Department requires that you put 20% of the PI's time on a grant. If less than this is required then you need to get permission from the Head of Department and if under 10% would need justification from HoD.

## 6. Other Directly Allocated Costs

This costing type is mainly used by the Research Councils and the following categories are used:

**Computer Officer/ Pooled Labour:** In the department, these are the people who assist with any technical/network issues that you may incur over the duration of the grant. When applying to Research Councils, e.g. EPSRC then 10% of a Computer Officer's time should be included in your estimation. This will be done by the finance office when the X5 is produced.

**Research Facilities:** These can be major or small and are put on the X5 as directly allocated costs. In the department there is the Cambridge Experimental Use Machines Facility (Caelum).

## 7. Writing the JoR

A Justification of Resources (JoR) is required for all applications to the Research Councils. The JoR is where all of the costs in the proposal need to be justified. What staff? Why? What travel? Where? Why? What consumables? Why? If a JoR is not completed clearly and accurately then the proposal may be returned by the Research Council. See the following link from the EPSRC website <https://epsrc.ukri.org/funding/applicationprocess/preparing/writing/jor/>.

## 8. Letters of Support from Head of Department

If you need a Letter of Support from the Head of Department, notify the HoD PA/Finance Office as soon as possible. These letters are generally needed for Fellowship applications and specific Research Council calls. For any letter of support that needs to be from the VC or PVC then notify the Finance Office immediately as the request needs to be submitted 15 working days before the sponsor's deadline.

## 9. Collaborating with other departments

If you are planning to collaborate with other departments across the University and this department is the lead then the X5 costing will need to be started by the Finance Office, and the collaborating

departments will be asked to add their costs to that X5. If the department is not the lead then the Finance Office need to wait to be asked to add the department's figures. Therefore it is the PI/researcher's responsibility to inform the Finance Office of any proposals involving other departments.

## **10. Collaborating with other institutions**

If you are collaborating with other institutions/partners these institutions will need to be added to X5 if they are not already there. The ROO add new external partners and this is done through filling out a form, which the Finance Office will do. However, we may need assistance with some of the questions. We require the partner costs, to add to our X5, in similar format. If we are not leading and we are collaborating with another partner then we would only do a costing for the Cambridge costs but also do need a copy of the collaborators costs and application.

## **11. Industrial funding**

Many companies provide sponsorship for research projects, either wholly, or as a contribution to a proposal submitted to another funder. This contribution can either be financial, or in-kind – where the company contribute staff time, access to facilities, host staff visits and internships, sit on project advisory boards etc. If you are talking to a company that is interested in directly funding research, please talk to the Finance Office before providing the company with any figures or other financial information.

### **Donations**

A company may approach you offering a donation to the department. Any donation that is over £100,000 needs to be set up as a Research Grant and will need intervention by CUDAR and the Vice Chancellor. You should be aware that the University policy on donations is that there is a 30% indirect cost contribution on any staff costs allocated to these funds. Please speak to the Finance Office as soon as possible about any donations and we will advise you accordingly. These funds would be held by the UTO.

### **Intellectual Property and Tech Transfer**

The University's IP Policy assigns copyright to the creator<sup>2</sup>. This explicitly includes software copyright allowing academics to choose open source as a path for dissemination. However, the University's policy is overridden by any agreements that academics (essentially the PI on each project) make with research sponsors. Increasingly, contracts proposed by commercial sponsors are including software copyright within their definition of intellectual property, therefore, laying claim to such copyright. Agreeing to such terms will compromise open source projects. You should be vigilant in looking at such agreements to make sure that you are not entering them without due consideration. The Department has dedicated contracts specialists within ROO to help with negotiating any such agreements – please contact the Finance Office for more information.

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<sup>2</sup> <https://www.enterprise.cam.ac.uk/wp-content/uploads/2015/04/ip-policy-in-practice-guidance-note-25may10.pdf>

## Abbreviations and Acronyms

### Funders:

AHRC – Arts and Humanities Research Council  
ATI – Alan Turing Institute  
BBSRC - Biotechnology and Biological Sciences Research Council  
DARPA - Defence Advanced Research Projects Agency, USA  
DfE – Department for Education  
EC – European Commission  
EPSRC - Engineering and Physical Sciences Research Council  
ERC – European Research Council  
ESRC - Economic and Social Research Council  
MRC – Medical Research Council  
NERC - Natural Environment Research Council  
NIH – National Institute of Health. USA  
STFC- Science and Technology Facilities Council  
RAEng - Royal Academy of Engineering  
RCUK – Research Councils United Kingdom (now UKRI)  
UKRI – United Kingdom Research and Innovation

### Costing terminology:

X5 – University Costing Tool  
CO – Computer Officer  
Co-I - Co-Investigator  
CUFS – Cambridge University Finance System  
DA – Directly Allocated  
DI – Directly Incurred  
fEC – Full Economic Costing  
FTE – Full Time Equivalent  
HoD – Head of Department  
JeS - Joint electronic Submissions system  
PI – Principal Investigator  
SRA – Senior Research Associate  
RA –Research Associate  
RASst – Research Assistant  
ROO – Research Operations Office  
RSO – Research Strategy Office  
SRF – Small Research Facility  
MRF – Major Research Facility  
UROB – Undergraduate Research Opportunities Programme