Applying for Knowledge Exchange (KE) Funding

Knowledge Exchange – Pipeline Support Process

Stage 1 – Proposal

PI contacts KE Delivery Team to discuss potential KE activity and support requirements.

If appropriate the KE Delivery Team will work with the PI to complete an Expression of Interest (EOI) form.

KE Delivery Team will assess EOIs and decide which will move on to the next stage for support.

Stage 2 – Account Setup

On receipt of an approved EOI the KE Delivery Team will send the PI and departmental administrator a **conditional** offer of financial support, pending submission of appropriate documentation which depending on the nature of the project could include:

- Fully signed account set up form (incl. Standard Terms & Conditions)
- Signed bespoke agreement
- An approved project costing
- A Partner Letter of Support
- A State Aid declaration
- Due Diligence Form
- Schedule of spend
- Price below fEC form

Account Confirmation

Once all documentation is in place the information is passed for authorisation to:

- Contracts Team (if appropriate)
- Pricing Team (*who will authorise up to 10% above the conditional offer*)
- Finance Team

Once authorisation is processed, a financial account will be setup and a formal Offer Letter, with account code details, will be sent to the PI.

Stage 3 – Monitoring & Reporting

The KE Delivery Team will remain in contact with the PI to monitor and report on the ongoing activity, project outcomes, impact etc.

Guidance Notes

This process involves partnerships with people and organisations beyond our walls; these partnerships are not one way, and the insights that we gain from our partners stimulate and enrich the research we do, fuelling innovation and keeping our researchers in touch with the real questions and challenges faced by modern society. Knowledge Exchange (KE) is more than a funding mechanism. It is a key priority and strategic need for our University, and we place it at the heart of our activities.

The University has formalised its commitment to Impact, Innovation and Knowledge Exchange (IIKE) in this IIKE Strategy, which has four key objectives:

1. To create and maintain deeper partnerships with external organisations
2. To make the most of our Intellectual Property
3. To engage with our City region
4. To embed Impact, Innovation and Knowledge Exchange within our organisation.

The purpose of the KE Project Funding is to facilitate engagement and Knowledge Exchange with external partners and is not intended to use or lead to the generation by either party of significant intellectual property or involve sharing valuable confidential information. The KE Delivery Team recommend that if there is likely to be any confidential information shared, a NDA is put in place via the Contracts Team. If you anticipate any significant intellectual property maybe generated, then this should be discussed with your KE representative in advance of submitting an application.

Faculty KE Contacts

Faculty	Name	Email	Telephone
Arts & Humanities	Arts & Humanities Knowledge Exchange	ahke@sheffield.ac.uk	222 9714
Engineering	Erica Williams	e.williams@sheffield.ac.uk	222 9727
Science	Science KE Team	scienceKE@sheffield.ac.uk	222 5078

Social Sciences	Social Sciences KE Team	esrc-iaa@sheffield.ac.uk	TBC
Medicine, Dentistry & Health	Sue Smith	sue.smith@sheffield.ac.uk	222 8723

Expression of Interest (EOI)

This may differ between faculties as each faculty has its own objectives and requires its own specific information but the original template will require a summary of the proposed activity (see below).

EOI Assessment

The KE Delivery Teams meet to discuss all proposed KE activity and decide which projects should be considered for KE support.

These teams consist of KE representatives from the faculties and from the Partnerships & Regional Engagement Team and they are in place to respond flexibly and rapidly to requests for support in order to seize opportunities as they arise. The KE Delivery Teams will assess any proposal against the following criteria:

- Does this project fit with the broad objectives of the faculty/university?
- Are there SMART objectives for the project? (SMART: specific, measurable, achievable, realistic and time-bound)?
- Is there a clear understanding of the potential benefits of participation for both partners?
- Impact: Is there a clear understanding of the potential impact that could result from this project and are there realistic and appropriate plans in place to deliver it?
- Does the project represent good value for money and are the resources applied for appropriate and justified?
- Is there a good explanation of the added value that the project will bring?
- Are there clear follow-on plans?
- If applicable, has the partner seen the Standard Terms & Conditions?

Due Diligence

In response to new terms and conditions introduced by UK Research and Innovation (UKRI) and other funders, driven in part by the new Global Challenges Research Fund (GCRF) schemes, the university has developed a Due Diligence and Risk Management Framework for overseas collaborations. The framework seeks to assess the financial and reputational risk of partnering with overseas institutions, particularly when funding is to be transferred to the partner institution.

To allow us to undertake some quick checks on prospective partners on your behalf please complete the Research Services online Due Diligence form.

Project Costing

All projects must have an approved and authorised fEC project costing before any funding award will be confirmed.

Please use the Costing & Awards Tool available through myResearch to cost your project.

Kindly note that the Pricing Team will be unable to approve your costing until they have received notification that your application has been approved for funding, along with all necessary paperwork via the KE Team. Your costing will stay at Pending until this time.

When costing your project please enter the following:

Project Type - Knowledge Exchange
Investigators - Please include Christine Hill at 0%
Funder - University of Sheffield
Funder Programme - Knowledge Exchange - with cash partner OR Knowledge Exchange - with no cash partner

Please select the relevant programme based on whether you are receiving a cash contribution to your project from a commercial partner. Please note, these are temporary details; the funder and programme will be updated accordingly by the Pricing Team when they approve your costing.

Second Funder (Optional) - If applicable, please add any additional organisations that are providing a cash contribution to the project.

Adding a Partner - please follow the guidance on the Costing Tool in the Collaborators / Partners page when selecting the type of Partner, depending on how they are involved in your project.

Organisations providing in-kind funding should be added as a Partner - In-Kind on the Collaborators / Partners page. Please note that if they are providing an in-kind contribution as well as a cash contribution, they should be added to both the Funder and Partner pages.

Eligible Costs Include:

- Directly Incurred – Staff costs can include researcher, technician or clerical/administrative positions.
- Directly Incurred – Non-staff costs can include laboratory costs, consumables, travel to related meetings, events etc., small pieces of equipment and expenses incurred during the project.
- The total value of a single piece of equipment must not exceed £10k.
- Internal trade/facility charges can be costed in to the project if necessary to the project scope.

Ineligible Costs Include:

- Directly Allocated – Staff costs can include the academic time and pool technician.
- Directly Allocated – infrastructure, fEC costs, overheads and estates costs.
- Indirect Costs
- Expenditure for activity taking place outside of the project dates

Price Below fEC Form

The KE element of an award cannot be used to pay for any fEC costs, so the fEC costs (overheads/investigator time etc.) will need to be covered by the cash contribution from the partner, where applicable. If a costing can't cover the full fEC overheads (or the PI has requested a reduction in the fEC price), then the usual price below fEC process will need to be followed and signed off by the faculty. The Price Below fEC Form is sent out by the Pricing Team on receipt of account setup document. The Head of Department will need to sign the form to confirm approval.

Letter of Support

The partner is expected to provide a letter of support which highlights their commitment to the project and includes the following information:

- Why are they a partner on the project?
- What do they hope to get out of the collaboration?
- What will they contribute toward the project, including any cash and/or in-kind contributions (which can include staff time, access to equipment in your organization, provision of data, software or materials)? **Please note that a £ figure will need to be provided.**

Terms & Conditions

For any application that does not exceed more than **£25k** of KE Funding and does not have a cash contribution from a partner, a signed agreement will not be necessary. The PI on the project will be responsible for identifying need for such things as an NDA, MTA, a Subcontract agreement etc which can be put in place via the Research Services Contracts Team. If you anticipate any significant intellectual property may be generated, then this should be discussed with your KE representative in advance of submitting an application.

If there is a cash contribution from the partner or a staff placement, terms and conditions for the project may be required. The University of Sheffield has a set of Standard T&Cs (see below) which you will need to send to the partner for signature.

State Aid Declaration

Some projects will require the partner to complete a State Aid De Minimis Declaration form (see below).

KE projects are part funded from public funds and therefore must comply with EU State Aid regulation which exists to ensure public funds are not used to distort competition. Increasingly partners on KE projects require ownership of the Intellectual Property created from the project (arising IP) which creates State Aid.

Wherever the partner would be in receipt of some of the KE funding themselves (e.g. if they are providing a service and the PI uses some of the KE funding to pay for that service in part or in full) then that creates State Aid.

Where the project partner must own arising IP, they will be asked to make a State Aid De Minimis Declaration.

Where the partner must own arising IP and is unable to make a declaration, other State Aid exemptions will need to be considered. This may require advice from external legal firms.

With that in mind, the first step is to format the project in such a way as to avoid the KE funding being classed as State Aid. This means we need to steer away from just allowing the project partner to own any arising IP, as State Aid is avoided when the University owns the IP and is able to widely disseminate the results of the project (as per the Standard Terms & Conditions).

For further information on State Aid is available at:
https://www.sheffield.ac.uk/rs/contract/research

Confirmation of Funding

Please be aware:

- Financial support will not be confirmed until all relevant paperwork is in place.
- Account setup can be a lengthy process dependant on communication with the partner and submission of relevant paperwork.
- To confirm funding a member of the appropriate Finance Team will set up an account for the project and send the PI a formal Offer Letter.
- Projects cannot start until the PI has received the formal Offer Letter.

Standard Expression of Interest for KE Support

Name	
Department	
Email & Tel No	
Date	
Project Title	
Faculty KE Contact	
Salesforce Reference	

What do you want to do?
What KE support do you need?
Why is this important to the University (income and impact)?
Who are the internal and external stakeholders and why will they want to engage?
What are your plans for follow-on activity? What will success look like?
Have any elements of this project received previous internal KE funding? *If this activity is accelerating the impact of previously funded research, please provide details of the relevant funding council (ESPRC/BBSRC etc).*
Will you be working with an external partner(s) on your project?
Yes/No
How will your partner(s) contribute to this project?
Cash contribution: **In-kind contribution (facilities/equipment/people etc):**
Has your partner(s) seen the Standard KE Terms & Conditions?

Is your partner(s) based overseas? If so, please state which country.
Will you be travelling to a country with negative FCO advice?
Please provide details of the anticipated start and end dates if known.

Please return this form to your appropriate KE contact:

Faculty	Name	Email	Telephone
Arts & Humanities	Arts & Humanities Knowledge Exchange	ahke@sheffield.ac.uk	222 9714
Engineering	Erica Williams	e.williams@sheffield.ac.uk	222 9727
Science	Science KE Team	scienceKE@sheffield.ac.uk	222 5078
Social Sciences	Social Sciences KE Team	esrc-iaa@sheffield.ac.uk	TBC
Medicine, Dentistry & Health	Sue Smith	sue.smith@sheffield.ac.uk	222 8723

Account Setup Form (With Partner)

Knowledge Exchange Account Setup with partner	
1. Applicant details	
Primary investigator: Title/ Position	
Primary investigator: Name	
Department:	
Research Sector:	
Phone number:	
Email:	
2. Application details	
Project Title	
Activity: (poc, crd,, event, workshop, etc.)	
Approved costing reference	
Award request:	
Proposed start date: *Please be mindful there are a number of steps which need to be completed before a live account can be setup*	
Proposed end date:	
Faculty KE contact:	
Departmental administrator	
COD/ICE number (if applicable)	
Can this project be classed as translational research?	Yes/No

3. Project Summary

4. TUOS Signatures	
I confirm that I wish to apply for a KE funding award. I confirm that the information presented in the application is accurate to the best of my knowledge and I agree to participate in the ongoing monitoring and capture of outcomes.	
Signature of Principal Investigator:	
Date:	
I support this application.	
Signature of KE Contact:	
Print name:	
Date:	

5. Project Partner details	
Organisation full registered name:	
Organisation type: *e.g. Commercial organisation, charity, government, SME*	
Organisation registered address:	

Partner location: (if different from registered address)	
Contact name and position:	
Telephone (inc STD code):	
Email:	
UK based partner?	Yes/No

6. Project Partner Letter of Support

The Project Partner Letter of Support is part of the award application, with that in mind please provide the following information:

- Why you are the partner on the project
- What you hope to get out of the collaboration
- What tasks you will perform as part of the project proposal
- What you will contribute toward the project, including any cash and/or in-kind contributions (which can include staff time, access to equipment in your organization, provision of data, software or materials).

7. Project Partner Contribution to Project

I confirm that I wish to apply for an KE funding award.

I confirm that the information provided is accurate to the best of my knowledge and I agree to participate in the ongoing monitoring and capture of outcomes.

In-kind contribution from Project Partner (*calculated using in kind calculator*)	£
Cash funding provided by Project Partner	£

If cash funding is provided and the Project Partner's address for invoices is different to the Project Partner's registered address, please provide an invoicing address:

Terms and Conditions: Should the application for KE Funding be successful the following Terms and Conditions need to be agreed before the funds will be released:

- The KE fund at The University of Sheffield has awarded funding to the project detailed in section 2 herein (the "Project") to the Principal Investigator at The University of Sheffield. The Project involves commitment and collaboration from the Project Partner as detailed in this application. Each of The University of Sheffield and the Project Partner is hereafter referred to as a "Party" and together the "Parties".
- The funding will be administered by The University of Sheffield and any costs incurred by the Project Partner will be borne by the Project Partner. The Project will run from the start date to the end date as stated in section 2 herein, contingent on the Project starting as described in the proposal. Any revision to these dates will be advised in writing by The University of Sheffield.
- In consideration of The University of Sheffield undertaking the Project, the Project Partner agrees to make the contribution outlined in section 7 herein. Where this is a cash contribution, the Project Partner agrees to make the contribution within thirty (30) days of the date of the relevant invoice. The KE Fund will provide the funding specified in section 2 herein.
- The Project Partner shall perform the tasks envisaged in the Project proposal as submitted in section 6 – Letter of Support, or as may be agreed between the Parties.
- All intellectual property and know how generated in the course of the Project ("Arising IP") shall belong to The University of Sheffield. The University of Sheffield hereby grants to the Project Partner an option to take a licence to any Arising IP ("Option"). The Option shall be exercisable within six (6) months of the end of the Project (as advised in the offer letter) or any subsequent agreed extension period (as advised in writing by The University of Sheffield). Should the Project Partner exercise the Option, the Parties shall negotiate in good faith a licence which shall include a fair and reasonable royalty rate to be paid by the Project Partner to The University of Sheffield, taking into account the respective financial, intellectual and technical contributions of the Parties.
- All intellectual property and know-how belonging to either Party before the Project start date ("Background IP") shall remain the property of such Party. Nothing in this Agreement shall be construed to grant any right, title, property or license in such Background IP.
- For the avoidance of doubt, the University of Sheffield reserves the right to publish material in any form which is based on results arising from the Project. Where such publication is based upon information disclosed by Project Partner and has been clearly identified as commercial and in confidence, then Project Partner's prior agreement will be sought.
- In carrying out the Project, the Parties may disclose information to each other that is confidential in nature ("Confidential Information"). The disclosing Party shall ensure that the other Party is made aware, either verbally or in writing, when the information shared should be considered Confidential Information and the receiving Party agrees to keep such Confidential Information confidential, treating it as they would their own Confidential Information and at all times with at least a reasonable level of care.
- If any benefit to the Project Partner arising from this Project is considered to be unlawful state aid by any of the European Commission, the European Court of Justice or any national court and an order for its repayment is made, the Project Partner will make the relevant repayments within fifteen (15) days of demand together with any such interest as shall be applicable.

8. Project Partner Signatures Please complete this section to indicate acceptance of the Terms and Conditions.	
Option 1: Acceptance of Terms and Conditions	
I have read and agree to the Terms and Conditions detailed herein.	
Signed by an authorised representative on behalf of the Project Partner:	
Print name:	
Print position:	
Date:	
9. Return	
One signed electronic/hard copy to the Principal Investigator at the University of Sheffield.	
For office use only	
Account Type	
Approach	
Evidence	

State Aid De Minimis Declaration

Name of company/organisation	
Registered address of the organisation	
Organisation company number (if applicable)	

Name/reference of project	

I declare that the comprehensive amount of De Minimis state aid received by the organisation over the last three fiscal years (this being the current fiscal year and the previous two fiscal years) is:			
Year	**Year**	**Year**	**Total**
€	€	€	€
Signed			
Name			
Position in organisation			
Date			

Please return completed forms to the Pricing & Contracts Team at the above address or via email:

ri-contracts@sheffield.ac.uk

State Aid De Minimis Information

The European Commission's State Aid Regulation is in place to ensure competitors operate on an equal basis and public funding does not create an advantage to one or more organisations. You are being offered State Aid assistance but under the regulation you are able to receive authorised aid via De Minimis, which enables an organisation to receive up to €200,000 of State Aid in a three fiscal year period.

To confirm that you are able to receive this assistance you must declare the full amount of State Aid, in any format, you have already received over the last three fiscal years. You must declare whether or not it was De Minimis aid. All aid received whether De Minimis aid or exempted aid, must now be declared. Please be explicit in your explanation of what the aid you received has been used for.

The following is not a comprehensive list of the possible forms of aid. However it should give an indication of the most common forms of aid, which you may have been given over the past three years. Potentially any assistance from a public body might be an aid. Should you have any doubts on this matter, please contact the body from which the assistance was received:

- Grants from public bodies
- Loans from public bodies at favourable rates
- Loan guarantees from public bodies
- Differential tax benefits
- Grants from an investment trust (including charities) which may themselves have received the funds from a public body
- Grants from a part publicly funded venture capital fund
- Publicly administered funds, even if the funds were originally not public such as the national lottery
- Waiving or deferral of fees or interest normally due to a public body such as the waiving or deferral of rent or waiver of interest normally due on late payment of taxation or other costs to a public body
- Monopoly licences or guarantees of market share
- Advertising via a public channel such as a tourist board or state owned television
- Consultancy advice provided either free or at a reduced rate
- Training provided either free or at a reduced rate
- Aid for investment in environmental projects
- Provision of a free or reduced rate feasibility study for research and development or other assistance with research and development
- Purchase of public land or property at a less than market rate
- Benefiting from the provision of infrastructure where your organisation was pre-identified as a beneficiary

These types of aid may have been provided under De Minimis (as De Minimis aid) or under another State Aid regulation. If you are in any doubt whether aid received was De Minimis aid or about its value, check with the organisation, which provided it. If they are unable to say or there is any uncertainty, assume that it was De Minimis aid unless its value exceeded €200,000 in which case it cannot have been.

Any De Minimis state aid awarded to you under this project will have to be declared if you apply for any other public funding.

Where an organisation is part of a group the €200,000 limit applies to the group as a whole for public sector support within the United Kingdom. Therefore, if you are a member of a group, please complete the declaration for all the group entities.

Please note de minimis cannot be applied to the following activities:

- Undertakings active in the fishery and aquaculture sectors;
- Undertakings active in the primary production of agricultural products;
- Undertakings active in the processing and marketing of agricultural products (i) when the amount of aid is fixed on the basis of the price or quantity of such products purchased from primary producers or put on the market by the undertakings concerned; (ii) when the aid is conditional on being partly or entirely passed on to primary producers;
- Export-related activities towards third countries or Member States (namely aid directly linked to the quantities exported, to the establishment and operation of a distribution network or to other current expenditure linked to the export activity). Note: it does apply to the costs of participating in trade fairs or studies or consultancy services needed for the launch of a new or existing product on a new market.
- Aid contingent upon the use of domestic over imported goods;
- Undertakings active in the coal sector;
- Aid for the acquisition of road freight transport vehicles granted to undertakings performing road freight transport for hire or reward;
- Undertakings in difficulty;
- Undertakings in the road transport sector where de minimis exceeds €100,000 over three years