

Quick Reference

Please note that there are process changes to this call, and you must read this full Call document for guidance before submitting your proposal

Prosperity Partnerships: EPSRC, Business and Universities – Third Call

Call type: Invitation for proposals

Closing date: 28 February 2019

Funding Available: £20 million is available to fund between four and eight partnerships.

How to apply: This is the second stage of this funding opportunity. The Full proposal submission stage is only open to successful applicants invited following Expression of Interest stage.

At the full proposal stage, bids will be submitted by the lead university partner via the Je-S system.

Assessment Process: Invited full proposals will undergo peer review, followed by a prioritisation panel. Those selected from this panel will be invited to an interview panel, resulting in a rank ordered list.

Key Dates:

Activity	Date
Deadline for EOI submissions	16:00 19 October 2018 (Now closed)
EOI assessment panel	15 November 2018
Invitation to submit full proposal	w/c 19 November 2018
Feedback teleconferences	w/c 3 December 2018
Deadline for Full Proposals	28 February 2019
Full proposal prioritisation panel	Early June 2019
Full proposal interview panel	w/c 15 July or w/c 22 July
Full proposals decision	July 2019

Additional information: A business may be the lead partner on only one bid, but can be a contributor to other bids. A university may be involved in more than one bid.

At the full proposal stage, bids will be submitted by the lead university partner via the Je-S system. The business partners will be included as Project Partners at this stage.

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Prosperity Partnerships: EPSRC, Business and Universities – Third Call

Call type: Invitation for proposals

Closing date: 16:00 28 February 2019

Related themes: All themes

Contents of this call document

- Summary
- Background
- Funding Available
- Equality, Diversity and Inclusion
- Equipment
- Doctoral Students
- Eligibility
- How to apply to the full proposal stage
- Submitting an application
- Guidance on 'Writing an Application'
- Assessment process
- Assessment Criteria
- Guidance for Reviewers
- Moving Forward
- Key Dates
- Contacts
- Change Log
- Appendix 1 studentship costs
- Attachment Checklist

Summary

EPSRC wishes to support existing, strategic, research-based partnerships between business and universities by providing an opportunity for co-investment in large-scale, long term, user-inspired basic research programmes at TRL 1-3. These must address EPSRC's Prosperity Outcomes Framework (expressed at the level of the Ambitions within the Outcomes Framework):

<https://epsrc.ukri.org/about/plans/deliveryplan/prosperityoutcomes/>

The strategies of the universities and businesses involved should also be addressed. All Prosperity Partnerships must be able to generate value in some form for the UK, for instance we anticipate that businesses will have an active research base and R&D presence in the UK.

Up to £20 million is available to support between four and eight programmes.

Consortia may be formed of multiple businesses and universities, but an existing, demonstrable strategic relationship must be in place between the lead business and lead university partner. EPSRC would also encourage the involvement of SMEs and supply chain companies, where appropriate to the Prosperity Partnership application; as either Project Partners on the application, or as the lead business partner.

Co-creation of the research programme is essential and EPSRC expects programmes funded through this call to drive forward shared research challenges, demonstrate impact beyond the partners in addition to benefits to the business (es) involved and contribute positively to the overall strategic partnership framework which exists between the parties.

It should be clear that the business and academic researchers are making a distinct intellectual contribution to the partnership. Experience from the first two rounds shows that it is possible for applicants to achieve this through a variety of models. Where an individual is discharging responsibilities within both a business and university (for example, as a consequence of being involved in university spin-outs) clarity on separation of duties and managing conflicts of interest is essential.

As a co-investment opportunity, this call requires the business and university partners to commit substantial cash contributions to the programme, by matching the financial investment made in each award by EPSRC.

The call process will be in three stages, with an initial expression of interest stage led by the main business partner.

EOIs have been shortlisted by EPSRC, according to the criteria set later in this call document. Consortia which are successful at the EOI stage have been invited to submit full proposals, these will be assessed by postal peer review and a prioritisation panel, followed by an invitation to an interview panel.

Following the EOI shortlisting panel, EPSRC will organise individual teleconferences the week commencing 3 December 2018 with the applicant teams invited to submit full proposals, in order to discuss feedback, and provide guidance on full proposal submission.

EPSRC encourages cross-disciplinary research and recognises that many Prosperity Partnerships will be inherently cross-disciplinary, but primarily the balance of research should be in EPSRC interest.

For a description of the EPSRC Balancing Capability strategy please see: <https://epsrc.ukri.org/research/ourportfolio/balancing-capability/>

Background

EPSRC has a strong track record of working closely with universities and business to develop high-quality funding programmes which deliver world-leading academic research whilst also delivering impact to business and the wider economy, through a variety of different routes. We recognise that businesses are increasingly developing strategic partnerships with key universities where they have shared research challenges and complementary capabilities. This call is aimed at co-investing in such partnerships, capitalising on the existing

relationships to drive forward excellent research with impact which addresses areas of national (and international) importance.

Prosperity Partnerships form one approach within EPSRC's suite of activities to link business investment with our portfolio and provides an exciting opportunity for businesses and universities to co-invest alongside EPSRC.

For more information about EPSRC's portfolio and strategies, see our website: <https://epsrc.ukri.org/research/ourportfolio/>

Funding available

Up to £20 million is available to support between four and eight programmes. There is a requirement that applicants will match the funded value of the grant (80% of the full economic cost) with a cash contribution (see below for worked example). This matched contribution must be in the form of an auditable transfer of funds from the business partners to the academic partners and/or salary costs of business partner employees working full time (for a reasonable period of the project) and making contributions to the research effort or project management and/or new activities funded by a partner University. Examples of cash contributions include:

Fully funded individuals working full time on the programme (e.g. PhD students and research associates) with an emphasis on co-location of researchers;

New equipment purchased for use on the programme; equipment provided by a business partner at a reduced cost is not eligible;

Worked example: A five-year grant costing £0.5 million per annum (pa) would cost a total of £2.5 million. The total funded value of this grant would be 80% of FEC, or £2 million. This value would have to be matched by the business and university partners over the duration of the grant, so approximately £400,000 pa auditable cash transfer for five years. The total value of the whole programme would be a minimum of £4.5 million, excluding in-kind contributions.

Please note, as an exception to this, student fees and stipends on research grants and some support costs related directly to the training of the student are not funded under the same FEC arrangements as for research staff, so these need to be costed appropriately and taken into account for total matching of grant funding by the business partner.

EPSRC requires student fees and stipends, and the items of student support training costs, such as Travel & Subsistence, Conference costs and Consumables to be costed appropriately for the EOI application. (Indirect and Estate costs are not applicable to studentships)

In this case, with a five-year grant costing a total of £2.5 million, (including total associated studentship costs of £500,000), the total funded value of this grant would be 80% of £2 million = £1.6 million, plus £0.5 million associated student costs = £2.1 million. The total funded cost per year would be £420,000; and this would be the approximate auditable cash transfer by the business partner per year for five years.

Please see the table below for some examples of eligible and ineligible matching cash contributions. EPSRC has reflected on prior experience and discussions with partners, and believe this will be a useful resource.

Examples of eligible and ineligible matching cash contributions

Business eligible and ineligible matching cash contributions	
Eligible	Not eligible
Fully funded PhD students	EPSRC ICASE studentships (top-up funding)
Fully funded university research associates	
Salary costs of company researchers or project managers (full time or majority of time on the project)	Salary costs of the Business PI and other senior business staff.
New equipment purchase Equipment produced by the business, but only at the cost of manufacture.	Equipment provided by the business at a reduced price.
Business cash donation	
No UKRI, public or government funds can be used as part of the matched business contribution	
University eligible and ineligible matching cash contributions	
Eligible	Not eligible
Fully funded PhD students	EPSRC funded DTP, ICASE or CDT students
Fully funded university research associates (new posts) Part or fully funded technician time.	Academic PI and CoI time
New equipment purchase	Equipment requested from EPSRC with a 50% cash contribution from the university. Donated equipment.
New university cash contributions.	20% FEC funding contribution to the EPSRC grant
No UKRI funds can be used as part of the matched university contribution	

Equality, Diversity and Inclusion

The long term strength of the UK research base depends on harnessing all the available talent and the Research Councils have together developed the ambitious UK Research and Innovation Equality, Diversity and Inclusion Action Plan: <https://www.ukri.org/files/legacy/skills/action-plan-edi-2016/>

In line with the UK Research and Innovation Diversity Principles, EPSRC expects that equality and diversity is embedded at all levels and in all aspects of research practice. We are committed to supporting the research community in the diverse ways a research career can be built with our investments. This includes career breaks, support for people with caring responsibilities, flexible working and alternative working patterns. With this in mind, we welcome applications from academics who job share, have a part-time contract, need flexible working arrangements or those currently committed to other longer, large existing grants. Please see our Equality and Diversity webpages at <https://epsrc.ukri.org/funding/equalitydiversity/> for further information.

Equipment

Where possible, researchers are asked to make use of existing facilities and equipment, including those hosted at other universities.

If equipment is needed as part of the research proposal, applicants must follow EPSRC's rules for requesting equipment over £10,000 in value.

Individual items of equipment between £10,000 and £400,000 can be included on proposals for this call if the equipment is essential to the proposed research and if no appropriate alternative provision can be accessed but research organisations will be expected to make a contribution to the cost. Given that capital provision has been reduced by about 50%, contributions of this order of 50% of the full cost of the equipment will be expected.

Additional justification of the requirement for individual items of equipment between £10,000 and £400,000, and details of the proposed contribution to the cost of the equipment must be provided in the justification of resources. For any items or combined assets with a value above £138,000 (including VAT) a two-page Equipment Business Case must also be included in the full proposal documentation.

Items of equipment for instrument development will not need to be co-funded by another partner or go through the strategic equipment process. Equipment for instrument development should be integral to a research proposal. Items of equipment for instrument development will be funded at 100% full economic costing (fEC), although EPSRC reserves the right to request institutional contributions in exceptional circumstances. A proposal will be classed as instrument development where it is wholly or mainly focused on creating a novel instrument that will either enable research capability not available using any existing instrument, or will substantially improve research capability beyond what currently exists, in a way that opens up significant new scientific opportunities.

Please note that equipment that is donated and academic discounts on equipment will be classed as in-kind contributions and will not count towards the

total cash contribution in this call. High performance computing equipment is excluded from this call.

For more information on equipment funding and guidance on how to prepare an Equipment Business Case, please see:

<https://epsrc.ukri.org/research/ourportfolio/themes/researchinfrastructure/subthemes/equipment/>

Doctoral Students

Funds for doctoral studentships may be applied for as part of the resources requested from EPSRC for this call for proposals, however they must not be on the critical pathways of success for the body of work. Inclusion of doctoral students presents an exciting opportunity to place students in industrially relevant environments, draw together vibrant and balanced teams which combine doctoral and post-doctoral research and build leadership for the future in key areas of the economy.

Doctoral studentships must add value to the proposed research outlined in bids to this call, whilst providing a clear opportunity for a distinct and independent course of enquiry for the student. Therefore, the research grant should still be viable without the studentship and should have distinctive objectives that are not reliant upon the studentship(s)

Doctoral students supported through Prosperity Partnerships must be embedded within a high quality research team, and be provided with the opportunity to develop their substantive research skills as well as with broader professional development opportunities.

EPSRC would also have the expectation that other doctoral students aligned with a Prosperity Partnership, but funded from other sources, for example directly by the business partner; would have the same training conditions and opportunities as those students funded by EPSRC.

EPSRC would expect studentships for this call to be four years in length and the length of the studentship(s) must not exceed the length of the grant they are associated with.

Where doctoral studentships are requested, EPSRC would also expect to see requests for post-doctoral research associates; the studentship(s) should not be the only research staffing resource on the application. Careful consideration should be given to the overall staff resource on the Prosperity Partnership and the balance between the different types of staff resource available.

Studentship costings

EPSRC would expect the UKRI minimum stipend and indicative fees to be met; enhanced stipends are permitted where this has been justified in the application.

<https://www.ukri.org/skills/funding-for-research-training/> - Student fees and stipends on research grants and some support costs related directly to the training of the student are funded by EPSRC. These support costs include such items Travel & Subsistence, Conference costs and Consumables. (Indirect and Estate costs are not applicable to studentships).

See Appendix for detailed guidance on student costings

Eligibility

Only invited bids from the EoI stage may submit to this call.

At the EOI stage, bids were led by the main business partner.

At the full proposal stage, bids will be submitted by the lead university partner via the Je-S system. The business partners will be included as Project Partners at this stage.

For information on the eligibility of organisations and individuals to receive EPSRC funding, see the EPSRC Funding Guide:

<https://epsrc.ukri.org/funding/applicationprocess/fundingguide/>

As this call is a targeted funding opportunity provided by EPSRC, higher education institutions, and some research council institutes and independent research organisations are eligible to apply. A list of eligible organisations to apply to EPSRC is provided at: <https://www.ukri.org/funding/how-to-apply/eligibility/>

UKRI and EPSRC standard eligibility requirements are applicable for students for this call.

How to apply to the full proposal stage

Submitting an application

You should prepare and submit your proposal using the Research Councils' Joint electronic Submission (Je-S) System (<https://je-s.rcuk.ac.uk/>).

When adding a new proposal, you should select:

- Council 'EPSRC'
- Document type 'Standard Proposal'
- Scheme 'Standard'
- On the Project Details page you should select the 'Prosperity Partnerships 3' call.

Note that clicking 'submit document' on your proposal form in Je-S initially submits the proposal to your host organisation's administration, not to EPSRC. Please allow sufficient time for your organisation's submission process between submitting your proposal to them and the call closing date. **EPSRC must receive your application by 16:00 on 28 February 2019**

Guidance on the types of support that may be sought and advice on the completion of the research proposal forms are given on the EPSRC website (<https://epsrc.ukri.org/funding/applicationprocess/>) which should be consulted when preparing all proposals.

Guidance on writing an application

The full proposal must include the following documents; further details of these are provided below.

- **Case for Support** (a maximum of 12 pages plus technical annexes (**as one document**) comprised of:
 - A vision and ambition paragraph at the start of this section. Up to half a page.
 - Up to two A4 sides for a track record.
 - Up to eight A4 sides describing proposed research and its context.
 - Two A4 sides detailing the Management and Strategic Governance arrangements.
 - Technical Annex of up to two pages per major research challenge.
 - The case for support components must be attached, **all as a single document**, using the 'Case for Support' attachment type in Je-S.
- **Justification of resources** (maximum four pages)
- **Work plan** (maximum two pages)
- **Pathways to Impact** (maximum two pages)
- **Attachments**
 - CVs for key personnel (both business and academic investigators) and named research staff – maximum two pages each
 - Project partner letters of support - for all named project partners and no page limit
 - Institutional letters of support – no page limit.
 - Equipment Quotes - where applicable with no page limit
 - Technical assessment for the use of a major facility - where applicable and no page limit.
 - Cover Letter – optional attachment, no page limit, not seen by Peer Review or Panel Members

For advice on writing proposals see:

<https://epsrc.ukri.org/funding/applicationprocess/preparing/>

2.1 Case for Support

The case for support must be a single document uploaded to the Joint electronic Submission (Je-S) system which includes the following sections in this order

Vision and Ambition (up to half a page)

Overall vision for the Prosperity Partnership research programme

Track record (up two pages)

To demonstrate the current standing of the main researchers, both Business and Academic and why they represent the right team to take this prosperity partnership forward. Track record must demonstrate a strong history of collaboration between the primary business partners and academic partners. Funding history of existing grants and contracts can be used to support this (not restricted to EPSRC funded activity). Researchers should demonstrate their research track record in the appropriate field and should include reference to international standing. Evidence provided should be recent (within the last three years). The principal investigators (Business and Academic) should also demonstrate their leadership qualities and a track record of managing large research programmes of similar complexity.

The proposed research and its context (up to eight pages)

Under the following headings

- Background
- Research objectives
- Research programme and methodology
- Added value of a Prosperity Partnership
- National Importance
<https://epsrc.ukri.org/funding/applicationprocess/preparing/includingnationalimportance/>
- Relevance to business and academic beneficiaries
- Plans for Studentship training – both EPSRC and partner funded
- Plans for Equality, Diversity and Inclusion -
<https://epsrc.ukri.org/funding/equalitydiversity/>
- Given the nature of the Prosperity Partnership programme, significant evidence should be provided that details the business, academic, UK economic and societal benefits that will be derived from the proposed programme of work.

Management and Governance arrangements (Two pages)

This must be a maximum of two pages and must be under the following headings.

- Alignment to the governance arrangements of the existing partnership
- Day-to-day management strategy
- Details of external and independent advice, and the structures in place to provide this advice

- Monitoring and risk management strategy, which should include how this will be used to reassess the direction of the research programme
- Strategy for using the flexibility of the resources, including staff mobility (both staff and finance)
- Resources and plans for the project management aspect of the programme
- Approach to expanding the partnership (where relevant)

Successful applicants will be expected to hold annual independent steering board meetings with external expert advice, and include EPSRC representation on their steering board.

Technical Annex

Subsequent pages form the technical support annex. This provides additional information on the research specifically for the expert reviewers. The annex is made of up to two pages per major research challenge identified in the main proposal. The format of the technical annex within this page limit is up to the applicants to decide.

2.2 Justification of Resources

The Justification of Resources section should be a maximum of four pages and must be under the headings listed below.

You will be aware of the requirement that applicants will match the funded value of the grant (80% of the full economic cost) with a cash contribution. This matching contribution must be in the form of an auditable transfer of funds from the business partners to the academic partners and/or salary costs of business partner employees working full time (for a reasonable period of the project) and making contributions to the research effort or project management and/or new activities funded by a partner University. Examples of cash contributions include:

Fully funded individuals working full time on the programme (e.g. PhD students and research associates) with an emphasis on co-location of researchers.

Please see Appendix 1 for indicative costings for studentships funded by EPSRC, and how to apply for them via Je-S.

New equipment purchased for use on the programme; equipment provided by a business partner at a reduced cost is not eligible.

The Justification of resources should clearly outline the following:

University Offer. An explanation of the direct 'cash' and in-kind contributions made to the proposed programme by the universities involved in the programme, this must articulate how the provided resources will be used to add benefit. These should be confirmed by a detailed letter of support from each institution. Note that the contribution of 20% of FEC was taken into account in designing this funding mechanism, the offer detailed must be in addition to the 20%. Academic university researcher and investigator time, unless wholly covered by the university, should not be detailed here. Similarly, allocation of

EPSRC funds received through other sources (for example DTP studentships) to the proposed programme does not count towards the University Offer.

Business Offer. An explanation of the direct 'cash' and in-kind contributions made by the businesses involved in the programme, this must articulate how the provided resources will be used to add benefit. These should be confirmed by a detailed project partner letter of support from each business involved in the programme. This section should include detailed information of the time the Business investigators (including the Business Principal Investigator) will spend on the programme including costings. Allocation of EPSRC funds received through other sources (for example ICASE studentships) to the proposed programme does not count towards the Business Offer.

Resources Requested from EPSRC. This section should account for and justify the resources requested from EPSRC including the percentage of academic time dedicated to managing the project and the time the academic principal and co-investigators will dedicate to the project. Describe the role of each of the co-investigators.

2.3 Work Plan

There is no expectation that a Gantt chart for the whole duration of the programme will be provided. Rather, EPSRC expects a comprehensive plan for roughly 50% of the total duration of the programme to be included along with reference to the management strategy indicating appropriate milestones for when important decisions on the direction of the research will be taken as the programme progresses.

2.4 Pathways to Impact

This section should explain what actions will be taken to ensure the potential beneficiaries of the proposed research have the opportunity to benefit. Plans for Responsible Research and Innovation activities should be detailed here. More details on what should be included in this document, and what resources may be sought to support impact activities, can be found on both the UKRI Pathways to Impact web pages <https://www.ukri.org/innovation/excellence-with-impact/pathways-to-impact/> and the EPSRC Pathways to Impact web pages <https://epsrc.ukri.org/funding/applicationprocess/preparing/impactguidance/>

The Pathways to Impact document will be considered at the prioritisation panel in June 2019, in the light of the reviewer's comments. This panel may ask for a re-write to be submitted for consideration at the following interview panel (if the proposal is taken forward to that stage)

Further information on Responsible research and Innovation can be found on the following EPSRC page: <https://epsrc.ukri.org/research/framework/>

2.5 Attachments

Only documents under the headings below are permitted; any other attachments submitted will not be shown to the panel unless by prior agreement with EPSRC.

Project Partner Letters of support. Business and academic letters of support are required from all named partners unless they are only providing steering board members. These will be checked against the Justification of Resources document – no page limit.

Institutional letters of support. These should be provided by the lead and partner universities. These should outline the University commitment to the programme and the long term strategy of working with the strategic partner - no page limit.

CVs. Should be provided for key personnel (both business and academic PI and CoIs) where appropriate, and provided for named research staff (PDRAs, Researcher Co-Is). EPSRC do not expect a CV for all Co-Is or business representatives, only key personnel - maximum of two pages each.

Equipment. Quotations should be attached for items above the OJEU limit as appropriate. Three verbal quotes are required for equipment £25k to OJEU limit, to be detailed in the justification of resources. University contributions to equipment do count as part of a university contribution and should be detailed in the appropriate section of the justification of resources document and the institution's letter of support – no page limit.

Please refer to EPSRC's equipment webpages for information on what can and can't be applied for. <https://epsrc.ukri.org/research/facilities/equipment/>

It is essential that any plans you have to include an item at or above the OJEU threshold has been discussed with EPSRC prior to submission of the full proposal.

Technical assessment. Technical assessment for the use of a major facility, such as ARCHER. <https://epsrc.ukri.org/research/facilities/> - no page limit.

2.6 Facility access

To apply for facility access, such as ARCHER, please see <https://epsrc.ukri.org/research/facilities/hpc/access/apply/>

Applicants should use the Ethical Information section on the Je-S form to demonstrate to peer reviewers that they have fully considered any ethical issues concerning the material they intend to use, the nature and choice, current public perceptions and attitudes towards the subject matter or research area. EPSRC will not fund a project if it believes that there are ethical concerns that have been overlooked or not appropriately accounted for. All relevant parts of the Ethical Information section must be completed. If the research will involve human participation or the use of animals covered by the Animals (Scientific Procedures) Act 1986 it is recommended that applicants pay particular attention to the guidance highlighted below. EPSRC reserves the right to reject applications prior to peer review if the Ethical Information sections are not completed correctly.

Further guidance on completing the Je-S form can be found at <https://je-s.rcuk.ac.uk/Handbook/pages/GuidanceonCompletingaStandardG/EthicalInformation.htm>. Other relevant guidance includes: EPSRC's policy on animal use in research (<https://www.epsrc.ukri.org/about/standards/animalresearchpolicy/>) and the Responsible Innovation Framework (<https://epsrc.ukri.org/research/framework/>).

Please note that on submission to EPSRC **all** non-PDF documents uploaded onto Je-S are converted to PDF, the use of non-standard fonts may result in errors or font conversion, which could affect the overall length of the document.

Assessment

Assessment process

Full proposals will be sent to expert peer reviewers, including at least one nominated by the applicants.

Given the high demand on the call, an expert panel will shortlist the proposals, against the published criteria, based on the peer review comments and principal investigator's response. EPSRC will invite to interview based on the recommendations of the expert panel. The interview panel will take into account evidence from the interview as well as peer review comments and principal investigator's response.

Assessment criteria

Quality of proposed research. (Primary assessment criterion)

The overall vision for the Prosperity Partnership research programme should be articulated, including the business vision, and ambitions for accelerating impact from the research.

The research vision should be ambitious, and will result in a significant step change in knowledge, understanding and technology that will have a major impact on the research base and the business.

The proposal must demonstrate that research of the highest quality will be undertaken by a team of academics and UK business collaborators; where the lead business and academic partners can show a strong track record of working together strategically.

The research programme should be ambitious, creative and innovative; addressing key shared challenge(s). It should be clearly stated why the challenges are ambitious and why academic-business collaboration is essential for success; applicants should set the proposed research in context in terms of the current state of knowledge and other work underway in the field. It should be described how the research will contribute to National and International strategies.

The application should clearly demonstrate the methodology the applicants are intending to use to attain their objectives, and describe this clearly, explaining how appropriate and feasible this is for the programme of work.

The reviewer form will ask:

Primary criterion. Please comment on the degree of research excellence of the proposal making reference to:

- 1) The novelty, relationship to the context, and timeliness;
- 2) The ambition, adventure, and transformative aspects identified;
- 3) The appropriateness of the proposed methodology.

Importance. (Secondary Major assessment criterion)

EPSRC expects all research funded through this Call to explicitly address EPSRC's published Prosperity Outcomes Framework.

<https://epsrc.ukri.org/about/plans/deliveryplan/prosperityoutcomes/>

The proposal should clearly identify how the research proposed:

Contributes to delivering one or more of the stated Ambitions within each of EPSRC's four key Prosperity Outcomes: Productive, Resilient, Connected and Healthy.

Contributes to, or helps maintain the health of other research disciplines, contributes to addressing key UK societal challenges, contributes to current or future UK economic success and / or enables future development of key emerging industry(s).

Meets national strategic needs by establishing or maintaining a unique, world leading research activity (including areas of niche capability).

Fits with and complements other UK research already funded in the area or related areas, including the relationship to the EPSRC portfolio, and our stated strategy set out in 'Our portfolio'.

The reviewer form will ask:

Comment on the national importance of the research. How the research:

- 1) Contributes to, or helps maintain the health of other disciplines contributes to addressing key UK societal challenges and/or contributes to future UK economic success and development of emerging industry(s);
- 2) Meets national needs by establishing/maintaining a unique world leading activity;
- 3) Complements other UK research funded in the area, including any relationship to the EPSRC portfolio.

Proposal Assessment: Added value. (Secondary Major assessment criterion)

The proposal must demonstrate the need for EPSRC Prosperity Partnership investment. In other words the advantages and benefits of supporting a coherent programme of research activities, co-created by business and academia, must be clearly articulated. It must discuss the value of the longer term funding, what access to this funding will achieve that otherwise could not be achieved, and how the flexibility of both staff and other resources will be exploited to accelerate impact.

Studentship training assessment is included in this section (for both EPSRC and partner funded students).

How will applicants ensure that the doctoral student(s) have a high quality training and academic research experience and can ensure that they can meet the descriptor for the award of a doctoral degree <http://www.qaa.ac.uk/quality-code/the-revised-uk-quality-code>

In addition, how has it been demonstrated that the doctoral studentships add value to the proposed research, whilst providing a clear opportunity for a distinct and independent course of enquiry for the students. The doctoral studentships must not be on the critical path for research grant delivery.

The reviewer form will ask:

Please comment on the extent to which this proposal meets each of the criteria laid out in the call document not already covered by your previous answers.

Applicant. (Secondary assessment criterion)

Effective leadership is essential to drive the programmes forward, and ensure all members of the team are focused on the overall vision. Strong leadership is required from both the Business and Academic partners and therefore an Academic and Business Principal Investigator must be named. Applicants must reference their leadership skills when setting out the proposal.

The reviewer form will ask:

Please comment on the applicants' ability to deliver the proposed project making reference to:

- 1) Appropriateness of the track record of the applicant(s);
- 2) Balance of skills of the project team, including academic partners.

Resources and Management (Secondary assessment criterion)

The proposal must demonstrate that there is a clear management plan, which will ensure that resources, including human resources, are deployed in the most effective way to deliver high quality research outcomes and impact that have the potential to induce a step-change in the knowledge and capabilities of the business partners.

It is expected that the deliverables and milestones will be routinely reviewed to ensure that the most exciting and promising lines of research are pursued and that sufficient resources are assigned to ensure the project is professionally managed. It is expected that project governance arrangements should sit within the wider governance framework for the strategic collaboration between the lead university and business partners so that separate, but aligned activities can be managed coherently delivering the best value for money. Where relevant, applicants should explain how they will extend partnership arrangements to include other companies and universities. Given the nature of these research programmes a work plan covering at least 50% of the requested programme time is required.

Plans to improve equality, diversity and inclusion will be assessed in this assessment criteria.

The reviewer form will ask:

Please comment on the effectiveness of the proposed planning and management and on whether the requested resources are appropriate and have been fully justified. Please comment explicitly on the viability of the arrangements described to access equipment needed for this project, and particularly on any university or third party contribution.

Impact. (Secondary assessment criterion)

The proposal must demonstrate that a strategy is in place to ensure maximum impact of the research is realised, this includes both the academic and business pathways. (This should include the plans for Responsible Research and Innovation.) Details of this strategy should be contained in the Pathways to Impact document.

The reviewer form will ask:

Please comment on the pathway to impact identified for this work particularly:

- 1) How complete and realistic are the impacts identified for this work;
- 2) The effectiveness of the activities identified to help realise these impacts, including the resources requested for this purpose;
- 3) The relevance and appropriateness of any beneficiaries or collaborators.

Feedback

Written feedback will be provided to all applicants whose proposals progress to the interview stage.

Collaboration and Intellectual Property Agreements.

Given that strategic partnership arrangements will exist between partners, EPSRC expects that collaboration agreements and arrangements for the management of intellectual property (IP) will be in place ahead of the submission of a full proposal. EPSRC will not specify terms for collaboration agreements or IP arrangements but expects any agreements to recognise the significant amount of public funding being invested in the programme. Applicants may wish to consult the Lambert Toolkit; <https://www.gov.uk/guidance/university-and-business-collaboration-agreements-lambert-toolkit> for guidance on this topic.

Guidance for reviewers

Thank you for agreeing to review a Prosperity Partnership grant proposal. Please bear in mind that given the nature of this Call and the significant volume of proposal materials, you may need to allow up to five hours to make your assessment.

If you have any questions about the process or your review, please do not hesitate to get in touch with your EPSRC contact or Zoe Brown (zoe.brown@epsrc.ukri.org).

Reviewer Form (This call uses the standard grant reviewer form)

Reviews are to be based around a series of assessment criteria. There are five core criteria: research quality; national importance; pathways to impact; applicant ability; resources and management, as well as added value which will appear on the reviewer form as 'proposal assessment' which is a criterion specific to this call.

Reviewers are asked to use the assessment criteria definitions on page 15 of this document when completing their review.

Information about the EPSRC peer review process and guidance for reviewers can be found at: <https://epsrc.ukri.org/funding/assessmentprocess/review/>

Background Information on the Prosperity Partnerships (Third) Call

Through the Prosperity Partnerships Call, EPSRC intends to support existing, strategic, research-based partnerships between businesses and universities. EPSRC are offering opportunities for co- investment in large-scale collaborative research programmes. These programmes should involve a world- leading team of academic and business partners who have a strong track-record of working together, and should address EPSRC's Prosperity Outcomes Framework and the long-term strategies of the businesses and universities involved. The commitment to shared goals should be reflected by substantial cash contributions (with a requirement that applicants will match the funded value of the grant, 80% FEC). £20 million is available to support between four and eight programmes.

A key aim of the Prosperity Partnerships Call is engaging business in the co-creation of longer, larger grants and in so doing, helping business unlock the transformative potential of investing in discovery science and engineering. This call forms one part of our suite of approaches to business engagement and we expect that the opportunity for securing significant EPSRC investment will drive increased business engagement in EPSRC's portfolio. We expect that these Partnerships will create enhanced and accelerated impact such as growth in business turnover, job creation, increased exports and environmental and social benefits, as well as leveraging EPSRC resources by attracting significant investment from business and universities.

The lead business for each Prosperity Partnership first submitted a 4-page Expression of Interest created in collaboration with the university partner(s). An internal panel was held which produced a list of all EOIs that fitted the scope of the call. Applications that were successful at the EOI stage were invited to submit full proposals.

Points to consider

As you are reviewing a proposal submitted in response to a published Call, we ask you to read this Call Document and make your assessment of the proposal within the context of the aims, objectives and specific assessment criteria for the Call. There are a number of points we ask you to take into particular consideration as you make your assessment:

Applicants have been asked to explicitly demonstrate and quantify the benefits of the programme to the business. Whilst they must be able to clearly explain the need for public funding, please do not make an assumption that the importance of the programme to the business precludes a need for them to seek additional funding beyond their own.

As a key aim of these programmes is to drive the generation of enhanced impact to the businesses involved and they require considerable business investment, in some cases the work planned may extend into higher Technology Readiness Levels TRLs (4+). This is appropriate as long as the bulk of the work remains in the standard EPSRC remit space (TRL 1-3), focusing on discovery science in engineering or physical sciences. The delivery of demonstrable impact - to the research base and to business - is key to these programmes. Activities which are integral to achieving impact with the named partners may therefore be more

readily situated in the Case for Support, with wider or more general impact sitting in the Pathways to Impact statement as normal.

It was specified in the Call Document that applicant businesses should have a UK research base and all proposals should highlight how the programme will benefit the UK. However, for applications where the business(es) involved include multinational corporations, we accept that some aspects of the research may also result in exploitation and benefits felt beyond the UK.

Whilst all bids must have a lead business and lead academic partner with an established strategic relationship, beyond this we have not stipulated the make-up of partnerships. There is likely to be a range of configurations, from a single business with a number of established university partners, to a single established relationship between the lead organisations with a variety of new partners brought in. Whatever the chosen structure, the proposal should demonstrate a clear plan for how the interactions will be managed.

Proposals will come from a broad range of disciplines and will reflect the perspective of the business sector(s) they represent. Inherent sector-specific traits, in particular in relation to their appetite for risk, should be taken into account when considering the level of ambition described in the programme.

Funds for doctoral studentships may be applied for as part of the resources requested from EPSRC. Applicants must demonstrate how they will ensure that the doctoral students(s) will have a high quality training and academic research experience and can ensure that they can meet the descriptor for the award of a doctoral degree.

<http://www.qaa.ac.uk/quality-code/the-revised-uk-quality-code>

Additionally, the applicants should clearly state how the doctoral studentships add value to the proposed research, whilst providing a clear opportunity for a distinct and independent course of enquiry for the student. The doctoral studentship must not be on the critical path for research grant delivery.

Key Characteristics

With these points in mind, successful Prosperity Partnerships should show a number of key characteristics:

Clear evidence of having been co-created by both the lead academic and lead business partners.

Involve business and academic partners with a strong track record of working together strategically, and with teams demonstrating complementary business and academic expertise.

Tackle shared challenges between the business and academic partners.

Explicitly address EPSRC's published Prosperity Outcomes Framework - we would encourage reviewers to familiarise themselves with this Framework <https://epsrc.ukri.org/about/plans/deliveryplan/prosperityoutcomes/> the strongest proposals will clearly address one or more of the Ambitions within the Outcome(s).

Have a major impact on both the research base (in terms of significantly advancing the field of study) and the business, with benefits to the business including skills, business growth, improvements in efficiency, new processes or products, and cost savings.

Intend to use the long-term funding flexibly to ensure resources are deployed in a way that will effectively induce a step-change in the knowledge and capabilities of the businesses partners.

The funded value of the grant (80% of the full economic cost) is matched with a **cash** contribution by the partners. We have not stipulated the breakdown between the university and business in terms of the matched funding; however, the cash contribution may serve to reflect the commitment of the partners to the programme and strategic partnership. This contribution must be in the form of:

An auditable transfer of funds (i.e. clear financial records are available) from the business partners to the academic partners;

And/or salary costs of business partner employees working full time (for a reasonable period of the project) and making contributions to the research effort or project management;

And/or new activities funded by a partner university. Note that the university contribution of 20% FEC was taken into account in designing this funding mechanism, and any offer detailed must be in addition to this 20%. Similarly, allocation of EPSRC funds received through other sources (for example DTP studentships) to the proposed programme does not count towards the University Offer.

Moving forward following the full proposal submission stage

Submissions to this call will count towards the Repeatedly Unsuccessful Applicants Policy. Further information about the policy can be found at: <https://epsrc.ukri.org/funding/howtoapply/basics/resubpol/rua/>

Key dates

Activity	Date*
Deadline for EOI submissions	16:00 19 October 2018 (Now closed)
EOI assessment panel	15 November 2018
Invitation to submit full proposal	w/c 19 November 2018
Feedback teleconferences	w/c 3 December 2018
Deadline for Full Proposals	28 February 2019
Full proposal prioritisation panel	Early June 2019
Full proposal interview panel	w/c 15 July or w/c 22 July
Full proposals decision	July 2019

*EPSRC aims to adhere to the key dates as published, however there may be exceptions where the sift, prioritisation or interview meeting may have to change due to panel member availability.

Contacts

- Zoe Brown, Strategic Relationships Manager (zoe.brown@epsrc.ukri.org) - Tel: 01793 444351
- Daniel Smith, Head of Business Relationships (daniel.smith@epsrc.ukri.org) - Tel: 01793 01793 442045
- Jan Taylor, Senior Manager Universities and Business Engagement (jan.taylor@epsrc.ukri.org) (Process and Strategy enquiries) - Tel: 01793 444327
- Je-S Helpdesk: JeSHelp@rcuk.ac.uk Phone: +44 (0) 1793 44 4164

Note that clicking 'submit document' on your proposal form in Je-S initially submits the proposal to your host organisation's administration, not to EPSRC. Please allow sufficient time for your organisation's submission process between submitting your proposal to them and the call closing date. EPSRC must receive your application by **16:00 on 28 February 2019**.

Change log

Name	Date	Version	Change
Zoe Brown	26 th November 2018	1	N/A

Appendices

Appendix 1

Studentship costs for Prosperity Partnerships

Fees and Stipends

Research Councils publish their national minimum doctoral stipend and indicative fee level on an annual basis. Details can be found on the UKRI website: <https://www.ukri.org/skills/funding-for-research-training/>

Research Councils UK Doctoral Stipend Levels and Indicative Fees for 2018

- National Minimum Doctoral Stipend for 2018/19 is £14,777
- Research Councils UK Indicative Fee Level for 2018/19 is £4,260

An uplift to this minimum stipend may be requested if there is clear justification for doing so. A top up may be achieved through using business leverage rather than requesting further RC funding.

Research Training Support Grant (RTSG):

This is a contribution towards costs incurred in training research students e.g. the provision of consumables, equipment, travel, etc. The RTSG is not intended to relieve a Research Organisation of any part of its normal expenditure.

A typical value for a student is £5000 per annum. (This follows existing Research Council costings)

How to apply on Je-S

Under "Studentship costs" there are two boxes:

Stipends – enter stipend level as one figure

Fees – enter fees amount AND Research Training Support Grant AND any other required student research support costs as one figure.

Justification of Resources

The justification of resources section of the proposal should clearly outline the costs requested for studentships, with a breakdown and justification of the appropriate costings.

Je-S attachments Check List

Standard:

Attachment Type	Maximum Page length	Mandatory/Optional	Extra Guidance
Case for Support	12 pages plus a technical annex if required.	M	Comprising: a vision and ambition paragraph; up to half an A4 side. Track record; up to two A4 sides. Proposed research and its context; up to eight A4 sides. Management and governance arrangements; two A4 sides. The technical annex comprising up to two A4 sides per major research challenge.
Pathways to Impact	Two pages	M	
Workplan	Two pages	M	
Justification for Resources	Four pages	M	

CVs	Two pages each	M	For named key personnel including both the business and academic PI and key CoIs; and visiting researchers, and researcher co-investigators.
Project Partner Letters of Support	No page limits	M	Must be included from all named project partners. Must be on headed paper, and be signed and dated within six months of the proposal submission date.
Institutional Letters of Support	No page limits	M	In exceptional circumstances a maximum of three letters can be submitted.
Equipment Quotes	No page limits	As required by EPSRC	
Equipment Business Case	Two pages each	As required by EPSRC	Required for any items or combined assets with a value above the OJEU limit.
Technical assessment	No page limit	As required by EPSRC	
Proposal Cover Letter	No page limit	Optional	The cover letter can be used to highlight any important information to EPSRC. This attachment type is not seen by reviewers or panel members.
Other attachment	No page limit	As required, at EPSRC request only	This can be used for a document that does not fit under any of the headings above. This attachment

			type is not seen by reviewers or panel members.
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