



**Engineering and
Physical Sciences
Research Council**

Quick Reference

Please note that there are notable process changes to this call and you must read the full document for guidance before submitting your proposal. Templates at the end of this document.

Prosperity Partnerships: EPSRC, Business and Universities – Fourth call

Call type: Invitation for outlines

Closing date: 16:00 on 20 February 2020

Related themes: All themes

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

How to apply: Outline Interview Stage followed by Full Proposal Stage.

Assessment Process: Outline Interview Stage will consist of two substages, an EPSRC Internal Panel and a non-expert Panel Interview. Successful candidates will be invited Full Proposal Stage.

The primary balance of research should build on EPSRC remit (at least 50%). The inclusion of other UKRI disciplines may be included if they clearly strengthen the research programme. For more information about EPSRC's portfolio and strategies, see our website: <https://epsrc.ukri.org/research/ourportfolio/>

Glossary:

Business Lead: The primary business partner in the partnership. Other business can collaborate in the partnership as project partners but the majority of the matching contribution is expected from the Business Lead, see section 'Matching cash contribution'.

Academic Lead: The primary academic partner in the partnership. If the project is successful the grant will be awarded to this Lead Academic partner, and they will manage the funding and project on behalf of all academic partners. A university may lead in more than one bid, and bids may be comprised of more than one university.

Matching contribution: Minimum figure (against the 80%fEC awarded by EPSRC) that has to be matched with commercially generated revenue by the Business Lead with eligible cash contributions. See more details in the section 'Matching contribution'.

Cash contribution: Contributions that will count against the matching contribution. A definitive list of cash contributions can be found in the section 'Definitive list of cash contributions'. The Business Lead has to contribute to the partnership with a minimum of 80% of EPSRC funding with other partners contributing the rest of the matching funding as a minimum.

In kind: Any contribution from business, academic or other project partners not included in the definitive list of eligible matching cash contributions.

Total project value: Includes fEC, matching contributions and cash contributions top up, to be used in the Outline budget document only.

Overall value of the project: Total value of the programme includes fEC, matching contribution, cash contribution top up and in kind contributions, to be used in the Outline budget document only.

Key Dates*:

Activity	Date
Inform EPSRC of intent to submit	4 February 2020
Outline submissions deadline	16:00 20 February 2020
EPSRC Internal Panel	w/c 24 February 2020
EPSRC feedback and Panel Interview invitation	w/c 2 March 2020
Non-expert Panel Interview	w/c 30 March 2020
Invitation Full Proposal	w/c 6 April 2020
Full proposal submission deadline	16:00 18 June 2020
Full proposal prioritisation panel	August 2020
Full proposals decision	August 2020
Successful projects starting	October 2020 onwards

*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.

Additional information: Projects must be led by the Business Lead partner but the Outline submission has to be submitted by the Academic Lead partner through JeS.

Contacts:

- Je-S Helpdesk
(Je-S related queries)
Tel 01793 444164
Opening Hours Monday to Thursday 8.30am - 5.00pm and
Fridays 8.30am - 4.30 pm (Excluding Bank Holidays and Other Holidays)
- Ana Martinez, Strategic Relationships Manager
(Process and Strategy enquiries)
ana.martinezubeda@epsrc.ukri.org - Tel: 01793 444351
- Daniel Smith, Joint Head of Business Relationships
(Strategy enquiries)
daniel.smith@epsrc.ukri.org



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Summary

Prosperity partnerships are business-led research partnerships between leading UK based businesses and their long term strategic university partners. There is up to £20M available for this fourth round call to support between four and eight programmes. EPSRC are seeking to fund world class business-led research partnerships in low technology readiness programmes that will deliver economic, social and cultural prosperity for the UK.

This call will be in two main stages, an initial Outline Interview Stage followed by Full Proposal Stage. This is a change to previous rounds and serves to assess, early on in the process, the strength of the partnership and the joint vision that builds on a business-led research challenge.

Prosperity Partnerships support existing, strategic, research-based partnerships between business and universities. They are an opportunity for co-investment in large-scale, long term, user-inspired basic research programmes at TRL 1-3. These partnerships must clearly address EPSRC's delivery plan priority framework and, in particular, those aligned with delivering economic and social prosperity for the UK (<https://epsrc.ukri.org/about/plans/dp2019/>).

Prosperity Partnerships must build on the strategies of the business(es) and universities involved, and clearly articulate how the partnership will enable these to be delivered. All Prosperity Partnerships must 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, or clear plans to grow this in-line with the Prosperity Partnership.

Background

EPSRC has a strong track record of working closely with business and universities to develop high-quality funding programmes which deliver world-leading academic research whilst also delivering impact to business and the wider economy. 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. See previous examples: <https://epsrc.ukri.org/newsevents/news/prosperity-partnerships-to-address-generational-challenges-across-the-globe/>

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 distinct intellectual contributions to the partnership. Experience from previous 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 and, if funding, collaboration agreement will be requested before the grant is authorised.

As a co-investment opportunity, this call requires the business to commit substantial cash contributions to the programme, by matching the financial investment made in each award by EPSRC. University partners and additional project partners can top up this cash contribution. See section 'Matching contribution' for more details.

EPSRC encourages cross-disciplinary research and recognises that many Prosperity Partnerships will be inherently so. EPSRC has supported a number of Prosperity Partnerships to date that build on a cross-disciplinary nature.

The primary balance of research should build on EPSRC remit (at least 50%). The inclusion of other UKRI disciplines may be included if they clearly strengthen the research programme. For more information about EPSRC's portfolio and strategies, see our website: <https://epsrc.ukri.org/research/ourportfolio/> and for a description of the EPSRC delivery plan priorities and in particular, those aligned with delivering economic and social prosperity for the UK please see: <https://epsrc.ukri.org/about/plans/dp2019/>

Funding available

Up to £20 million is available to support between four and eight programmes. As a requirement in this call, the Business Lead has to commit substantial cash contributions to the programme, matching the financial investment made by EPSRC. See appendices I and II for case examples and the sections 'Matching Contribution' and 'Definitive list of eligible cash contributions' for more details.

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 (except business PI salaries that are not eligible) 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.

Eligibility

Academic Organisations

Research Organisations can act as Academic Lead if they are eligible to receive research council funding:

Eligibility of organisations to receive EPSRC funding, see the EPSRC Funding Guide: <https://epsrc.ukri.org/funding/applicationprocess/fundingguide/eligibility>

Eligibility of Research Council Institutes and Independent Research Organisation please check section 'before applying' in the following link: <https://www.ukri.org/funding/how-to-apply/eligibility/>

The call is open to fully registered organisations. Register an organisation can take up to six weeks. Find more information by contacting Je-S Helpdesk (see 'Contacts' section) or <https://je-s.rcuk.ac.uk/JeS2WebLoginSite/Login.aspx>

Business Organisations

Businesses can act as the Business Lead if they:

- Are a UK based business or have UK based research activity;
- Are a business in the private sector driven by profit, or from an organisation with a commercial arm which generates independent revenue; and
- Are in a position to contribute to the UK national prosperity through increasing their investment in R&D activities and subsequent product development in the UK.

Business or organisations funded by Government as their baseline revenue are not eligible as Business Lead.

At the Outline Interview Stage, bids must be led by the Business Lead partner although the submission of the documentation will be undertaken through JeS by the Academic Lead partner.

Businesses may only lead on one bid, but may be a contributor to other bids as project partner. A university may be involved in more than one bid either as lead or as a partner. At the full proposal stage, bids will be submitted by the lead university partner via the Je-S system.

Primary Investigators

This scheme has a Business Principle Investigator (PI) and an Academic PI. In JeS, the PI will be notified as the Academic one, but all assessment stages will consider both PIs. Eligibility of individuals to receive EPSRC funding, see the EPSRC Funding Guide:

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

The suitability of both the Business and Academic PIs to lead the prosperity partnership will be assessed during the outline stage.

Process summary

The Outline Interview Stage will consist of two sub-stages: an EPSRC Internal panel and a non-expert panel interview.

Outline applications will be first shortlisted by an EPSRC internal panel, according to the criteria set out later in this call document. Feedback teleconferences will be organised the w/c 2 March with the project teams shortlisted for the panel interview stage. Application documentation may be updated based on EPSRC sift panel feedback only.

The panel interview will be comprised of non-experts from both business and academia who have significant experience of delivering successful business-academia partnerships. Proposals will be assessed and ranked according to the assessment criteria set out in this document.

EPSRC will invite projects to submit a full proposal based on the recommendation from the non-expert interview panel. Full proposals will be assessed by postal peer review and ranked in a by an expert prioritisation panel. Full details for this second stage will be provided for invited proposals.

Key dates can be found at the beginning of this document.

Matching contribution

EPSRC is building on experience from the last three rounds of the Prosperity Partnership call to strengthen the expectations and guidance to business.

EPSRC funding is at 80% full economic costs (fEC), with exceptions for equipment (50% fEC) and studentship costs (100% fEC). In this call, the funding provided by EPSRC must be matched by the Business Lead and project partner's contributions with eligible cash contributions as a minimum.

A definitive list of cash contributions can be found in the 'Definitive list of eligible cash contributions' section. Any contribution from business or other project partners not included in the cash contribution list will count as 'in kind'.

Single business bid - the total of the matching contributions should be provided by the Business Lead as a minimum.

Multi-partners bid - the combined contributions from the business partners must match the EPSRC funding, with a minimum of 80% of this coming from the lead business partner. Additional business project partners can complete the remaining matching contribution. The Business Lead can contribute with the total of the matching contributions and additional project partners contributions top it up.

Cash contributions from all partners can exceed the matching contribution, with the restriction of the Business Lead contributing at least 80% matching contribution (on multi-partner bids).

Two illustrative examples are included in appendix I and II respectively.

PLEASE NOTE:

- Academic partner's cash contribution (including the Academic Lead) do not contribute to the matching figure requirements.
- No UKRI or other Government money, as part of baseline funding or otherwise, may be used as part of the matching contribution.
- EPSRC does not mandate a specific audit format for the business contributions to a project, however, a record must be produced and provided if requested. This must be able to demonstrate a continuous auditable cash transfer, or staff time-record, by the business partner per year in each year of the programme.
- As an exception, student fees, stipends and some support costs related directly to the training of the student are not funded under the same fEC arrangements as for research staff on research grants. Student fees and stipends are covered 100% fEC, 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 Outline application. Indirect and Estate costs are not applicable to studentships.

Definitive list of eligible cash contributions

The following is the definitive list of eligible cash contributions, these are in addition to providing an auditable cash transfer to the academic organisation(s).

- Researchers' Salaries:

All or part of the pro-rata, gross salary cost associated with researchers employed by universities (including Co-Is). The gross salaries of researchers employed by the business may also be claimed as long as they are working at least 50% of their time on the project*.

- Postdoctoral Research Associates' Salary:

All or part of the gross salary cost associated with research associates employed by universities to work exclusively on the prosperity partnership. Research Associates can also be employed directly by the businesses in the partnership and claim the gross salary as a cash contribution as long as they are exclusively committed to working on the prosperity partnership*.

- Professional Project Managers' Salary

Pro-rata gross salary cost of a professional project manager are an eligible cash contribution provided that they work at least 50% of their time on the prosperity partnership*.

- Technicians' Salary:

Pro-rata gross salary cost of technicians are an eligible cash contribution provided that they work at least 50% of their time on the prosperity partnership*.

- New software licences needed for the project and their maintenance cost for the duration of the grant. Software licences or intellectual property (IP) owned by the business which are already accessible by the partners will apply at marginal cost, not at market rate.
- Genuine new equipment purchases, please see section 'Equipment'. The equipment should be dedicated to the objectives of the prosperity partnership and their utilisation should be critical to deliver the activity. The access doesn't have to be restricted to the project members but EPSRC expect at least 50% of the time to be dedicated to the prosperity partnership project. All equipment should be appropriately justified.
- Equipment produced by the business but only at the cost of manufacture, not market rate.
- Access to specific equipment/facilities critical to achieve the outcomes of the project. If the facility is based at the University or Business Lead, the contribution will be at the internal rate, not market rate.
- Facilities refurbishment can be an eligible university cash contribution if the upgrade will increase the capability of the facilities. This contribution must be justified in addition to any estate costs already factored in.
- Business cash donation which will be provided to the partner universities, for the universities to manage in line with the project objectives.
- Top-up of stipends EPSRC funded doctoral students.
- Extra training for EPSRC funded doctoral students to align with a business cohort of students.
- Fully funded doctoral students (fees, stipends and top ups) with up to a maximum of 20% of the matching contribution.

* EPSRC expects all their time to be on projects within prosperity partnership. Exceptions where lower time is devoted to the project will need justification in terms of multidisciplinary and responsibilities distribution. The appropriateness of the time devoted to the project will be assessed in the Panel Interview and Peer Review (at the Full Proposal Stage). Gross salary can be claimed as matched funding (that is including indirect costs such as Pension, National Insurance, taxes etc.), but not business overheads or profits. The salary of a single member of staff (researcher, PDRA, doctoral student or project manager) can be covered in partnership by the Business Lead and EPSRC funds in a ratio that best suits the project.

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 the 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 focussed 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, however they must not be on the critical pathways for success. 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 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.

Please note, as an exception, 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 (students fees and stipends are covered 100%fEC), so these need to be costed appropriately and taken into account for total matching of grant funding by the business partner.

Studentship costings

We would expect the UKRI minimum stipend and indicative fee to be met, but we would fund enhanced stipends where this is 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).

How to apply

Checklist prior to applying

Before applying or contacting EPSRC, the Business and Academic Leads should consider the following checklist:

1. The business and university partner(s) have a demonstrable long standing research-based relationship.
2. There are clear plans to evolve this relationship via user-inspired shared research challenges.
3. Both partners are committed to the co-creation of a jointly delivered large scale research programme at TRL 1 – 3.
4. The business and university partners are able to commit to leveraging EPSRC funding for the Prosperity Partnership with a matching cash

contribution (a definitive list of eligible cash contributions are set out in the 'Definitive list of eligible cash contributions' section earlier in this call document). Is satisfied that no UKRI, public or government funding will be used as leverage and be able to clearly demonstrate an auditable transfer during the grant duration.

5. The Business Lead partner is a business in the private sector driven by profit; or from an organisation with a commercial arm which generates independent revenue, and is in a position to contribute to the nation's prosperity through increasing their investment in R&D activities and subsequent product development in the UK.
6. The topic of the research programme is mainly in the EPSRC's remit.

If the partners consider that they meet the requirements in this checklist, the lead business partner should e-mail EPSRC at: user.engagement@epsrc.ukri.org to notify us of their intent to submit an Outline by 4 February 2020.

Please include in this email details about the Business Lead, the Academic Lead and the sector of your proposal. Then submit an application to EPSRC using the forms embedded on this document as appendices by 16:00 on 20 February 2020.

The Outline must be a co-creation between the business and university partners. Please use the templates provided in this document in Appendix III and IV. There is no template for the CV or Cover Letter.

The Business Lead contact also has the option to discuss their interest in submitting an application with EPSRC who will advise on the suitability of the application, but this is not mandatory.

Submitting an outline application

You should prepare and submit your Outline 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 'Outline Proposal'
- Scheme 'EPSRC Outline'
- On the Project Details page you should select the 'Prosperity Partnership Round Four Outline' 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 20 February.

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 outline application

Four type of documents should be submitted for the Outline Interview application Stage through JeS: Outline document, Outline budget, Primary investigators' CVs and Cover letter.

Documents must be within the length limitation. Projects longer than the permitted length will not be invited to Interview.

1. Outline document

The document must be structured using Appendix III. The length of each section can be tailored by the project leaders but the final document can be up to six pages. When submitting through JeS, select 'Case for support' as the attachment type. Guidelines to fill the Outline document:

Existing partners' relationship.

The lead Business and University should provide clear evidence of working together in a strategic manner (for example a history of substantial collaborations covering multiple projects over several years) as well as evidence of intent to work together strategically in the future beyond the potential prosperity partnership. This section must clearly outline the outputs and outcomes achieved to date within the existing partnership.

Vision and Ambition, and National Importance.

A clear vision for the prosperity partnership and a brief description of the proposed programme of work and collaboration. This should also outline the expected outcomes and impacts that will arise, include the business benefits, demonstrating alignment to national (and international) priorities including the EPSRC's delivery plan priority framework and in particular, those aligned with delivering economic and social prosperity for the UK (<https://epsrc.ukri.org/about/plans/dp2019/>).

The research programme should be positioned at TRL 1 -3.

The work packages need to be at the appropriate level of detail for the assessment by a non-expert panel.

Additionality and added value.

An explanation of how the proposed work will benefit from being a coherent programme co-created by industry and academia and how longer term funding and support from business, academia and EPSRC will be exploited to deliver demonstrable impact. The proposal should clearly articulate how business and university leverage on EPSRC funding will deliver additionality.

This part should also outline how the prosperity partnership will enable the existing relationship between academia and business to advance and

deliver. In particular, why this wouldn't be achievable under the existing relationship?

Applicants' leadership and team track records. Management and Governance.

Details of the proposed Business and Academic teams and why together they represent the best team to address the proposed prosperity partnership. This should include details of relevant expertise, the process by which the team was selected, and details of how the team has the skills to address the prosperity partnership objectives. Details of previously managed major programmes, jointly delivered between business and academia, should be given.

This section must include management and governance arrangements which are appropriate to the scale of the investment, its fit within the existing strategic framework between the partners and ensure delivery of the stated outcomes and impacts. Provide evidences of ways of working together and division of responsibilities.

Impact (benefits realisation plan)

Details on how the programme of work will be structured to ensure that the identified outcomes and impacts will be delivered (both within the project timescales and beyond). This should focus on economic impacts, as well as social and cultural impacts where relevant, and how they will be achieved, including plans for research translation.

Plans for Responsible Research and Innovation.

Studentship Training

This section must include how applicants will ensure that all doctoral student(s) associated to the grant, not only those funded by EPSRC, 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 https://www.qaa.ac.uk/docs/qaa/about-us/qaa-viewpoint-doctoral-students.pdf?sfvrsn=123df681_4

It should include details on the approach to training and the added value of including studentships as part of the prosperity partnership.

2. Outline budget

This document must be structured using the Appendix IV template and can be up to one page. Specific details of matching contributions may not be available at this stage therefore a 10% variation, addition to a shift in the breakdown across headings, is accepted in the total of the project value from the Outline Interview Stage and the Full Proposal Stage. All contributions will be validated again at Full Proposal Stage.

When submitting through JeS, select 'Justification of Resources' as the attachment type.

3. Primary Investigators' CV

Up to one page each for the Business and Academic Lead PIs. This should convey the applicants' ability to lead a programme of this size and number of stakeholders. Please include only information relevant to the prosperity partnership.

When submitting through JeS, select 'CV' as the attachment type.

4. Cover letter

When submitting through JeS, select 'Other attachment' as the attachment type. The length permitted is up to one page and it must include:

- A confirmation statement from the Business Lead that they will be leading the project, dated and signed by a relevant representative from the business.
- Preference for a teleconference date to receive feedback after the EPSRC internal panel (a day in the week commencing 2 March) and appropriate business contact details to make the phone call arrangements (business contact person name, email address and phone number).
- Although EPSRC does not expect confidential information at this stage, project partners can highlight conflicts or information we should be aware of.

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://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.

For advice on writing proposals see:

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

Equality, Diversity and Inclusion

The long term strength of the UK research base depends on harnessing all the available talent. EPSRC expects that equality and diversity is embedded at all levels and in all aspects of research practice and funding policy. We are committed to supporting the research community, offering a range of flexible options which allow applicants to design a package that fits their research goals, career and personal circumstances. 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, or need flexible working arrangements.

Peer review is central to EPSRC funding decisions, we require expert advice and robust decision making processes for all EPSRC funding initiatives. We are committed to ensuring that fairness is fully reflected in all our funding processes by advancing policy which supports equality, diversity and inclusion. Please see

our Equality and Diversity webpages <https://epsrc.ukri.org/funding/equalitydiversity/> for further information.

Responsible Innovation

EPSRC is fully committed to develop and promote responsible innovation.

Research has the ability to not only produce understanding, knowledge and value, but also unintended consequences, questions, ethical dilemmas and, at times, unexpected social transformations. We recognise that we have a duty of care to promote approaches to responsible innovation that will initiate ongoing reflection about the potential ethical and societal implications of the research that we sponsor and to encourage our research community to do likewise.

Responsible innovation creates spaces and processes to explore innovation and its consequences in an open, inclusive and timely way, going beyond consideration of ethics, public engagement, risk and regulation. Innovation is a collective responsibility, where funders, researchers, interested and affected parties, including the public, all have an important role to play. Applicants are expected to work within the EPSRC Framework for Responsible Innovation given on the EPSRC website (<https://epsrc.ukri.org/research/framework/>).

Assessment process

The Prosperity Partnership Fourth Round call process will be in two stages, an initial Outline Interview Stage followed by Full Proposal Stage.

The Outline Interview Stage will consist of two sub-stages: an EPSRC Internal Panel and a non-expert Panel Interview. Outline applications will first be shortlisted by an EPSRC Internal Panel, according to the criteria set later in this call document. Following EPSRC Internal Panel, individual teleconferences will be organised the w/c 2 March with successful applicant teams to provide feedback. Successful teams will be invited to Interview with the opportunity to refine their documentation based on this feedback only. Unsuccessful applications will receive feedback in due course.

In the event of this call being substantially oversubscribed, so as to be unmanageable, EPSRC reserves the right to modify the assessment process.

Successful projects from the Outline Interview Stage will be invited to the Full Proposal Stage, which will assess the full proposals by Postal Peer Review and will rank them via an expert panel.

Assessment criteria for the Internal EPSRC Panel

The aim of the internal panel is to sift projects based on their fit to the ethos of prosperity partnership, are appropriate in nature, and have clear alignment to EPSRC-UKRI strategy. The internal panel members will use the submitted documents for the Outline Interview Stage (Outline document, Outline budget and CVs but not the Cover letter). Assessment criteria for the internal panel:

1. **Existing relationship:** Clear evidence of a long term research based relationship between lead Business and Academic partners with

demonstrable benefits achieved to date. Well considered plans for growing the relationship within and beyond the Prosperity Partnership. Fit to call.

2. **Vision and Ambition, and National Importance:** An appropriate vision and ambition for prosperity partnerships. Evidence that the proposed business led research programme is positioned at TRL 1 – 3. Clear evidence of how the prosperity partnership will bring benefits to the UK economy and the research base, and address national and international strategies, including those of EPSRC and the business(es) involved.
3. **Outline Budget:** Outline budget which demonstrates, and sets out, the EPSRC and appropriate business/university cash and in-kind contributions to the programme.
4. **Secondary - Studentship Training (where appropriate):** Quality of doctoral studentship training and experience, and appropriateness for alignment with the Prosperity Partnership.

Phone calls will be arranged with successful projects to provide feedback and communicate whether they are invited to the interview the week commencing 2 March. The refinement of the Outline document will be agreed during the feedback phone calls.

Assessment criteria for the Interview Panel

The aim of the non-expert Interview Panel is to provide a recommendation to EPSRC on what proposals should be invited to Full Proposal. They will rank proposals based on the criteria set out in this document, in particular they will evaluate the robustness of the plans, the shared vision and ambition, and the genuine and credible partnership between Business and Academic Leads. The panel will be comprised of business and academic members, who are either existing prosperity partnership grant holders or have significant experience of delivering successful business-academia partnerships.

The format is a 45 minutes interview, opened by a five minutes pitch from the interviewees setting out the existing relationship between Business and Academic Lead groups, their shared Vision and Ambition for the prosperity partnership and why it is timely, followed by questions based on the assessment criteria for the Panel.

Expected attendees include PIs (or a relevant representative) and a third member of the team at the project convenience.

The panel will have access to the material submitted, and any updated content as appropriate. Interviews will be held in London 31 March and 1 April. Venue and timing to be confirmed in due course.

Assessment criteria for this non-expert Interview Panel:

1. **Vision and Ambition:** A clear business-led vision and ambition, with a programme of work that has been developed in partnership. Evidence of **how** this vision will be achieved and **how** the partnership will contribute to national and international strategies. Coherence and relevance of the work packages in line with the vision.

2. **Additionality and added value:** Evidence of the additionality and added value of a prosperity partnership. Clear evidence of the buy-in from business partner(s) and co-creation of the proposed business-inspired fundamental research programme.
3. **Applicants' leadership and appropriateness of the team:** Appropriateness of the leadership team with evidence of joint working between business and the academic PI. Clear plans for joint leadership. Applicants are able to demonstrate how they approached the design and makeup of the team's skills and competencies in order to address the vision and ambition of the programme.
4. **Secondary - Impact:** Ability to clearly articulate how this prosperity partnership will deliver the benefits identified. Clear plans to maximise translation and impact arising from the partnership. Plans for Responsible Research and Innovation.
5. **Secondary - Management and Governance:** Appropriateness of the management and governance arrangements, commensurate with the scale of the programme.
6. **Secondary- Studentship Training (where appropriate):** Evidence of joint plans for the group of doctoral students. Quality of doctoral studentship training and experience, and appropriateness for alignment with the Prosperity Partnership.

Guidance for panel members

The panels will be run in accordance with EPSRC policy and principles which can be found in EPSRC website, with panel members having access to the call document and the documentation submitted to EPSRC ((Outline document, Outline budget and CVs but not the Cover letter). Panel members will be asked to refer to the assessment criteria definitions set previously in this document.

Guidance on Journal-based metrics

As part of our commitment to support the recommendations and principles set out by the San Francisco Declaration on Research Assessment (DORA; <https://sfdora.org/read/>), UKRI reviewers and panel members are advised not to use journal-based metrics, such as journal impact factors, as a surrogate measure of the quality of individual research articles, to assess an investigator's contributions, or to make funding decisions.

The content of a paper is more important than publication metrics, or the identity of the journal, in which it was published, especially for early-stage researchers. Reviewers and panel members are encouraged to consider the value and impact of all research outputs (including datasets, software, inventions, patents, preprints, other commercial activities, etc.) in addition to research publications. We advise our peer reviewers and panel members to consider a broad range of impact measures including qualitative indicators of research impact, such as influence on policy and practice.

Moving forward

The Panel Interview will provide a recommendation to EPSRC based on a rank ordered list in priority order. EPSRC will make a decision on what proposals to invite to full proposal based on panel outcome. If necessary, demand will be managed accordingly at this stage, with invites to full proposal potentially staggered against the available budget.

Full proposals will be submitted by the lead university via Je-S. Detailed guidance on preparing and submitting full proposals will be provided to those applicants invited to submit. Full proposals should include the following documents:

- Proposal Form
- Case for support - Track Record, Management and Governance
- Justification of resources
- Work plan
- Pathways to Impact
- CVs of key personnel where relevant
- Project partner support letters
- Institutional support letters
- Equipment documents
- Contingency for equipment (upon invitation by EPSRC only)

The assessment criteria for the Full Proposal Stage are as follows:

- Quality of proposed research
- National Importance
- Added value of this EPSRC Prosperity Partnership investment
- Overall vision and ambition
- Applicant and leadership qualities
- Resources and management
- Impact

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>) published by the Intellectual Property Office for guidance on this topic.

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
Inform EPSRC of intent to submit	4 February 2020
Outline submissions deadline	16:00 20 February 2020
EPSRC Internal Panel	w/c 24 February 2020
EPSRC feedback and Panel Interview invitation	w/c 2 March 2020
Non-expert Panel Interview	w/c 30 March 2020
Invitation Full Proposal	w/c 6 April 2020*
Full proposal submission deadline	16:00 18 June 2020
Full proposal prioritisation panel	August 2020
Full proposals decision	August 2020
Successful projects starting	October 2020 onwards

*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

- Je-S Helpdesk (Je-S related queries)
Tel 01793 444164
Opening Hours Monday to Thursday 8.30am - 5.00pm and
Fridays 8.30am - 4.30 pm (Excluding Bank Holidays and Other Holidays)
- Ana Martinez, Strategic Relationships Manager
(Process and Strategy enquiries)
ana.martinezubeda@epsrc.ukri.org - Tel: 01793 444351
- Daniel Smith, Joint Head of Business Relationships
(Strategy enquiries)
daniel.smith@epsrc.ukri.org - Tel: 01793 444170

Change log

Name	Date	Version	Change
Ana Martinez	December 2019	Version 1	
Ana Martinez	January 2020	Version 2	Ana's email address link works now
Ana Martinez	January 2020	Version 3	Equipment and Doctoral Students sections included

Appendices (example cases, templates and JeS attachment checklist)

Appendix I: Example Case (single business)

Total grant value (100% fEC): £3.20m for a 5 year grant

EPSRC contribution (80% fEC): £2.56m for a 5 year grant

Matching Contribution from Business Partners = £2.56m

- The Business Lead should match EPSRC's contribution with eligible cash contribution (see section above). In this specific example Business Lead would have to contribute with a minimum of £2.56m.
- The Academic Lead can contribute with cash or in kind contribution however they will not count against the matching contribution but top it up.
- Governmental bodies, including national labs, can be project partners however, their contributions will not be considered as part of the matching contribution.

Total project value: £3.20m + £2.56m + cash contributions top ups.

Overall project value: £3.20m + £2.56m + cash contributions top ups + in kind contributions.

Table 1: Worked example for single business.

Single Business					
	Contributions				
fEC	£	3,200,000			
EPSRC funding	£	2,560,000			
Matching contribution	£	2,560,000			
			Nature of contributions		
Business Lead cash contribution	£	2,560,000	£	750,000	Cash donation
			£	300,000	Staff research time (not Business PI)
			£	500,000	New equipment donated to university with open access for remaining 50% of the time
			£	500,000	Project manager time.
			£	550,000	Five doctoral studentships, fees, stipends and top ups
Business Lead in kind	£	500,000	£	500,000	Staff time
Governmental or Academic Body in kind (not matching contribution)	£	400,000	£	400,000	Knowledge, expertise, access to data, facilities etc.
Total project value	£	5,760,000			
Overall project value	£	6,660,000			

Appendix II: Example Case (multi-partner)

Total grant value (100% fEC): £3.20m for a 5 year grant
 EPSRC contribution (80% fEC): £2.56m for a 5 year grant
 Matching Contribution from Business Partners = £2.56m
 Minimum Business Lead partner contribution = £2.05m

- The Business Lead should match EPSRC's contribution at a minimum of 80% of that figure with eligible cash contribution (see section above). In this specific example the Business Lead would have to contribute with a minimum of £2.05m (80% of £2.56m). The Business Lead can contribute to the total of the matching contributions.
- Other project partner contributions (excluding the Academic Lead) can cover the remaining 20% of the match requirements (£0.51m).
- The Academic Lead can contribute with cash or in kind contributions however these will not count against the matching contribution but top it up.
- Governmental bodies, including national labs, can be project partners however, their contributions will not be considered as part of the matching contribution.
- All groups can contribute with in kind, but these will not be counted towards the matching contribution.

Total project value: £3.20m + £2.56m + cash contributions top ups.
 Overall project value: £3.20m + £2.56m + cash contributions top ups + in kind contributions.

Table 2: Worked example for multiple business partners.

Multi-partners					
	Contributions				
fEC	£	3,200,000			
EPSRC funding	£	2,560,000			
Matching contribution	£	2,560,000			
			Nature of contributions		
Minimum Business Lead cash contribution	£	2,048,000	£	750,000	Cash donation
			£	300,000	Staff researcher time (not Business PI)
			£	250,000	New equipment donated to university with open access for remaining 50% of the time
			£	500,000	Project manager time
			£	250,000	Three doctoral studentships, fees, stipends and top ups
Business Lead in kind	£	500,000	£	500,000	Staff time
Other business project partners cash contribution	£	512,000	£	400,000	Cash donation
			£	120,000	Researchers time
Governmental Body in kind	£	400,000	£	400,000	Knowledge, expertise, access to data, facilities etc.
Total project value	£	5,760,000			
Overall project value	£	6,660,000			

Appendix III: Outline document template.

Please fill the following template to be submitted as the Outline document with a maximum length of 6 pages. Use a legible font, with a minimum font size 11 and page margins of at least 2 cm in all directions. Applications containing Outline documents exceeding the page limit, or not adhering to the specified format, will not be considered.

Business Lead:
Academic Lead:
Project Title:
Sector:
Existing partners' relationship
The lead Business and University should provide clear evidence of working together in a strategic manner (for example a history of substantial collaborations covering multiple projects over several years) as well as evidence of intent to work together strategically in the future beyond the potential prosperity partnership. This section must clearly outline the outputs and outcomes achieved to date within the existing partnership.
Vision and Ambition, and National Importance
<p>A clear vision for the prosperity partnership and a brief description of the proposed programme of work and collaboration. This should also outline the expected outcomes and impacts that will arise, include the business benefits, demonstrating alignment to national (and international) priorities including the EPSRC's delivery plan priority framework and in particular, those aligned with delivering economic and social prosperity for the UK (https://epsrc.ukri.org/about/plans/dp2019/).</p> <p>The research programme should be positioned at TRL 1 -3.</p> <p>The work packages need to be at the appropriate level of detail for the assessment by a non-expert panel.</p>
Additionality and added value
<p>An explanation of how the proposed work will benefit from being a coherent programme co-created by industry and academia and how longer term funding and support from business, academia and EPSRC will be exploited to deliver demonstrable impact. The proposal should clearly articulate how business and university leverage on EPSRC funding will deliver additionality.</p> <p>This part should also outline how the prosperity partnership will enable the existing relationship between academia and business to advance and deliver. In particular, why this wouldn't be achievable under the existing relationship?</p>

Applicants' leadership and team track records. Management and Governance
<p>Details of the proposed Business and Academic teams and why together they represent the best team to address the proposed prosperity partnership. This should include details of relevant expertise, the process by which the team was selected, and details of how the team has the skills to address the prosperity partnership objectives. Details of previously managed major programmes, jointly delivered between business and academia, should be given.</p> <p>This section must include management and governance arrangements which are appropriate to the scale of the investment, fit within the existing strategic framework between the partners and ensure delivery of the stated outcomes and impacts. Provide evidences of ways of working together and division of responsibilities.</p>
Impact (benefits realisation plan)
<p>Details on how the programme of work will be structured to ensure that the identified outcomes and impacts will be delivered (both within the project timescales and beyond). This should focus on economic impacts, as well as social and cultural impacts where relevant, and how they will be achieved, including plans for research translation.</p> <p>Plans for Responsible Research and Innovation.</p>
Studentship Training
<p>This section must include how applicants will ensure that all doctoral student(s) associated to the grant, not only those funded by EPSRC, 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 https://www.qaa.ac.uk/docs/qaa/about-us/qaa-viewpoint-doctoral-students.pdf?sfvrsn=123df681_4</p> <p>It should include details on the approach to training and the added value of including studentships as part of the prosperity partnership.</p>

Appendix IV: Outline costs template.

Consist of a draft budget for the programme of work; this must be within 10% of the final budget if approved for full proposal submission and cover both the EPSRC and business(es)/university(ies) contributions to the programme. Breakdown variations are acceptable between stages within the overall 10% limit. Capital equipment requirements should be highlighted as part of this Outline budget. Check Glossary for clarification of the terminology.

	Institution name	Contribution	Contribution form (if available at this stage)
fEC	N/A	A	N/A
EPSRC funding	EPSRC	B (usually 80% A)	Not needed?
Business Lead cash contribution	[Business Lead name]	C 80% B as a minimum	Brief description
Other project partners cash contribution (add as many rows as you need)	[Project partner name]	D No minimum commitment. Will add (maximum 20% B) or top up matching contribution.	Same
Academic Lead cash contribution	[Academic Lead name]	E No minimum commitment. Will not count against matching contribution.	Same
Total project value	A+C+D+E		
Business Lead in kind	[Business Lead name]	F	Same
University Lead in kind contributions	[Academic Lead name]	G	Same
Other project partners (add as many rows as you need) in kind contributions	[Project partner name]	H	Same
Overall project Value	A+C+D+E+F+G+H		

Appendix V: Je-S attachments Check List

Outline documents:

Attachment Type	Maximum Page length	Mandatory/Optional	Extra Guidance
Case for Support (Outline document)	Six pages	Mandatory	Use the template provided in Appendix III
C.V.	One page each PI	Mandatory	Only for Academic and Business PIs.
Justification for Resources (Outline budget)	One page	Mandatory	Use the template provided in Appendix IV
Other attachment (Cover Letter)	One page		

Please ensure you adhere to the above attachment requirements when submitting your proposal. Any missing, over length or unnecessary attachments may result in your proposal being rejected.