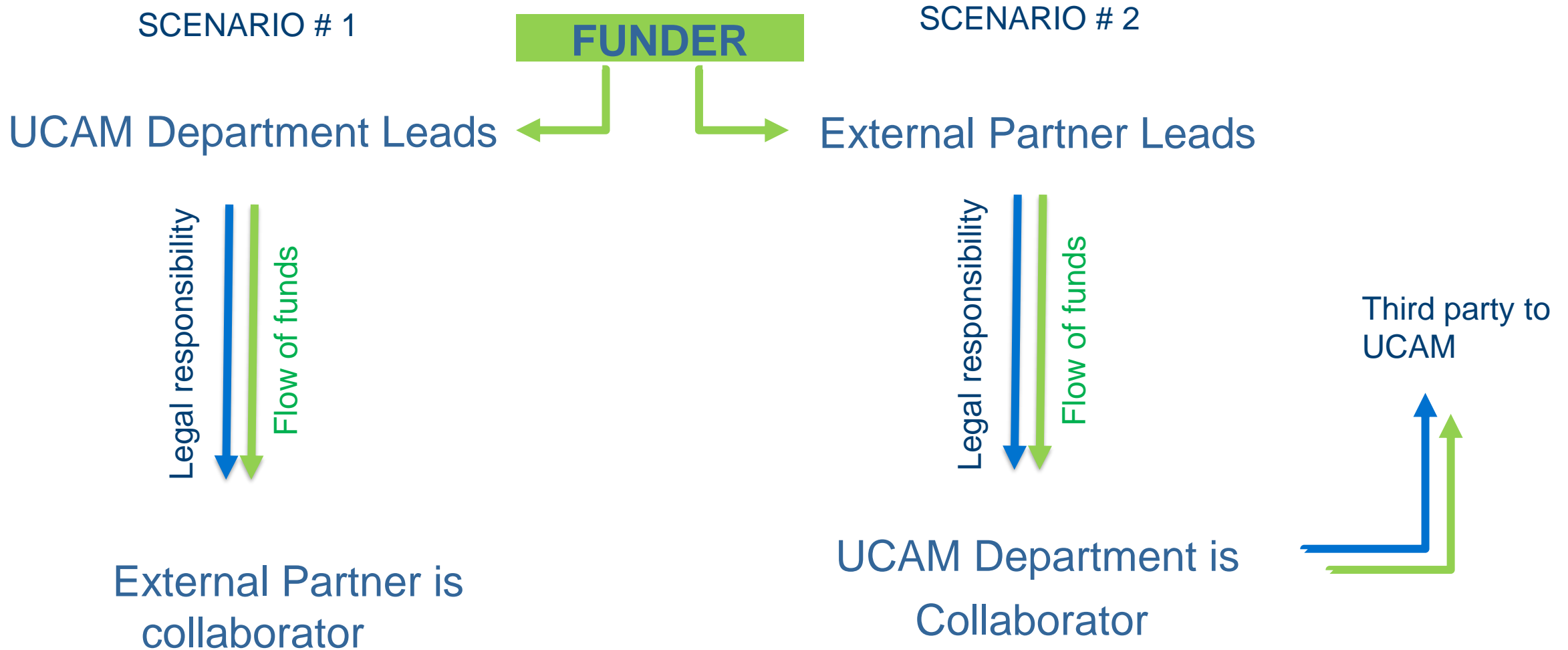


External Collaborators on University of Cambridge Grants

Lunchtime Forum, May 21st 2021

Two Main Types of External Collaboration



Submission Deadlines

SCENARIO # 1

UCAM Department Leads



External is Collaborator

Full Checks: **always** submit to ROO 7 working days prior to funder deadline, regardless of full economic cost (fEC)

SCENARIO # 2

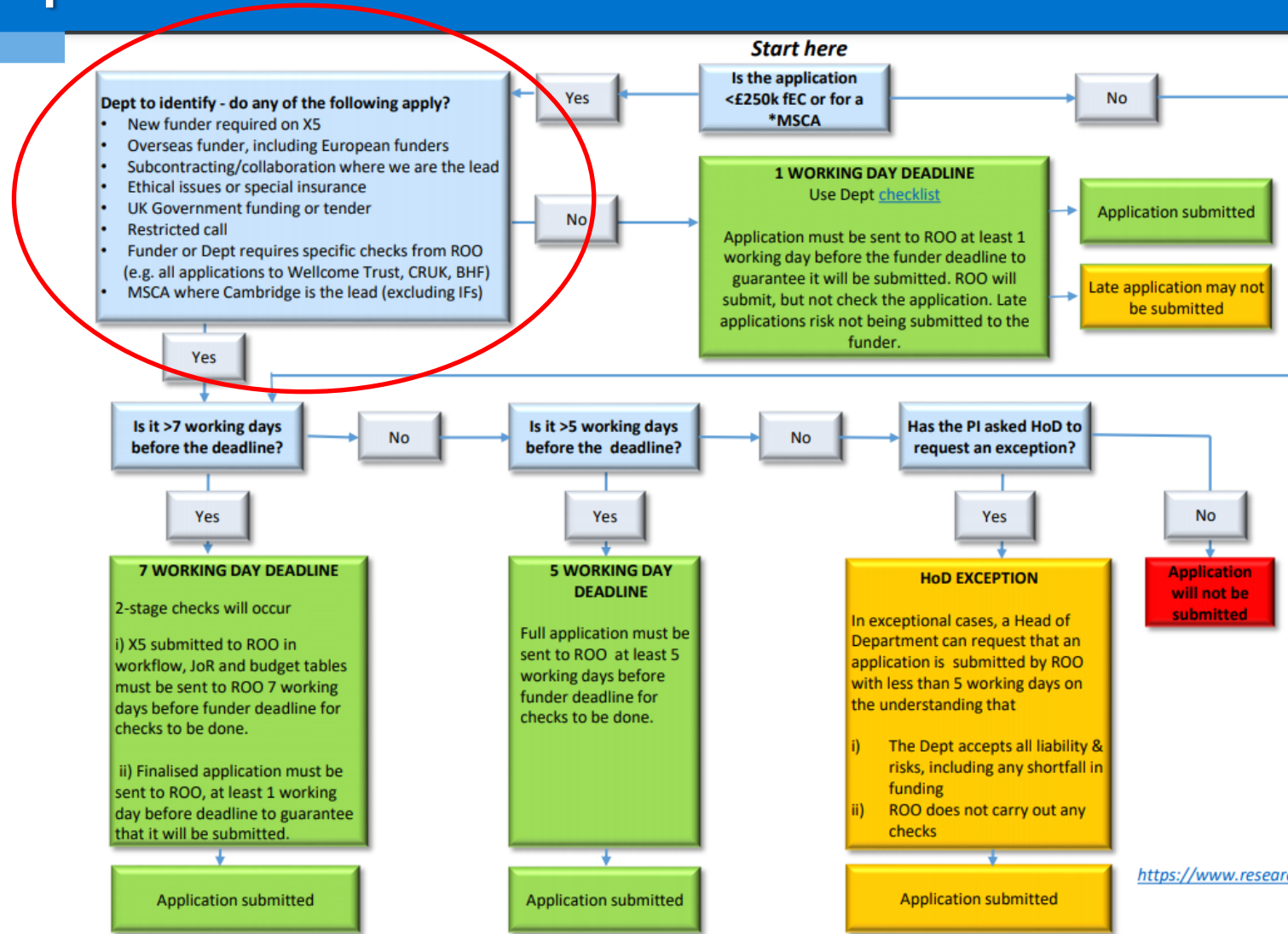
External Leads



UCAM Department is
Collaborator

Full Checks: 7 working days if either an exception applies (a collaboration where we are not the lead is not an exception) or the grant is over £250k fEC. Otherwise it is a Small Application—submit to ROO 2 working days prior to funder deadline* *always check the deadlines of the lead institution

Exceptions



Grant Application Submission Deadlines for Departments

NOTES

- *The Marie Skłodowska-Curie Actions
- Where Depts have longer lead times than ROO, these should be adhered to.
- Where Cambridge is in a collaboration and is not the lead, the application should be with ROO at least 7 or 5 working day before the partner institution deadline.
- For open calls, if a PI requests that the application is submitted for a particular panel meeting, the 7 or 5 working day deadline needs to be met.

<https://www.research-operations.admin.cam.ac.uk/submitgrantapp>

12 March 2021

Scenario 1: UCAM Department Leads Collaboration

Scenario #1: UCAM Department Leads

- Liaise with Research Professionals at External Partner Organisations to obtain costs, discuss eligibility of costs within funder rules and put together budget
- Check if collaborator is set up on X5 in Common Values or X5; if not, fill out and send New Collaborator Form to Due Diligence
- **When creating an X5, tick box for “Is there an external collaborator/partner?” (this can be done at a later point through Project Set-Up) and enter External Partner details**
- **Select Funds Paid by University**
- Enter Costs in the External Partner tab according to the relevant costing categories

Scenario #1: UCAM Department Leads

What ROO Needs

- Submitted X5 with External Partner costs in External Partner Tab (because funds come to UCAM and we are responsible for entire budget)
- Application w/ budget and justification
- Confirmation from External Partner of costs from an appropriate administrative representative (e.g. RGA, Finance Officer, etc) of the collaborating institution

Example

UCAM Department
leading on a BA grant
with an external partner

Costing

All or some files selected for this costing are not the most current versions available - failure to use updated files may result in inaccurate costings

Project title: Test - BA Small Grant - Test
Short title: BA Small Grant Test
Lead Dept: Divinity

Costing status: Application V3
Draft
PI: Dr Joe Bloggs

X5 Record Ref: X5:43970
Dept Ref:
5 day deadline: 17/11/2020
Funder deadline: 24/11/2020
Currency: Sterling Pound (GB)
Rate: 0.00000000

Further summary data

Proposed project information: Start date: 24/11/2021, Duration (mths): 12.00, End date: 23/11/2022
References: Grant Ref:
GBP: Total FEC: 15,070.55, Total FAC: 13,822.95, Total price: 10,000.00, Price limit: 10,000.00
Currency: 0.00, 0.00, 0.00, 0.00

Funder: BRITISH ACADEMY
Department: Divinity
Currency: Sterling Pound (GB)

Funder Rates: DA staff, DI staff, Students, Equipment, Facilities, Non-staff, External partners(1), UFS tasks, FEC, Price, Notes, Conf questions

	FAC	Price
Partner total	3,000.00	2,400.00
University total	13,822.95	10,000.00
Project total	16,822.95	12,400.00
Project limit		0.00

UCL

Partner: University College London
Partner PI name: Professor Sara Anon
Funds paid via: University

Expenditure Category	FAC	Price
DI staff	3,000.00	2,400.00
DI non-staff	0.00	0.00
DI total	3,000.00	2,400.00
DA staff	0.00	0.00
DA estates	0.00	0.00
DA other	0.00	0.00

Scenario 2: External Partner Leads Collaboration

Scenario #2: External Collaborator Leads

- Liaise with Research Professionals at External Partner Organisations to obtain costs, discuss eligibility of costs within funder rules and put together budget
- Check if funder combination is set up as funder on X5 using Common Values; if not, fill out new funder form and request due diligence *and* Credit Control on new funder
- Set up on X5 using funder combination, LEAD INSTITUTION FB FUNDER. e.g. University of Sheffield (fb AHRC); leave “Is there an external collaborator/partner?” box unticked
- Enter Cambridge costs only; don't enter the lead institution's costs in X5

Scenario #2: External Partner Leads

What ROO Needs

- X5 with Cambridge Costs only (because only responsible for our budget)
- Full copy of the application w/ budget and justification (*at the very least, UCAM parts)
- ROO sends approval email to department; department then confirms that lead institution can submit.

External Partner leading on a BA grant with UCAM Department

Costing

Project title: TEST Y

Short title: TY

Lead Dept: Divinity

Costing status: Application v1

PI: Dr Jane Doe

X5 Record Ref: X5:46417

Dept Ref:

5 day deadline: 24/05/2021

Funder deadline: 31/05/2021

Currency: Sterling Pound (GB)

Rate: 0.00000000

Further summary data

Proposed project information: Start date: 24/11/2021, Duration (mths): 12.00, End date: 23/11/2022

References: Grant Ref:

	GBP	Currency
Total FEC	3,150.00	0.00
Total FAC	3,150.00	0.00
Total price	3,150.00	0.00
Price limit	0.00	0.00

Funder: University of Sheffield (FB British Academy)

Department: Divinity

Currency: Sterling Pound (GB)

Funder Rates DA staff DI staff Students Equipment Facilities Non-staff UFS tasks FEC Price Notes Conf questions

Inflation: Funder:

Other non-staff total: Total cost: 3,150.00

Non-staff totals (FAC): DI total: 3,150.00, DA total: 0.00

Other non-staff items

<input type="checkbox"/>	Funder budget heading	UFS budget heading	Description	Fixed price?	Cost exc VAT	VAT rate %	VAT	Total cost	Include in FEC?	Remove VAT from funder total
<input type="checkbox"/>	Travel	TRAVEL AND SUBSISTEN...	Return airfare to 2 conferences (2*500)	<input checked="" type="checkbox"/>	650.00	0	0.00	650.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/>	Other costs	OTHER COSTS	TES Research Assistance	<input checked="" type="checkbox"/>	2,500.00		0.00	2,500.00	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Σ					3,150.00		0.00	3,150.00		

Add Delete Copy

Year breakdown

Is there an External Collaborator/Partner?

Project setup wizard

Project Costing type Department(s) Funder(s) External partner(s)

TEST Y

Is there an external collaborator/partner?

Previous Page

Finish

- Tick for projects where Cambridge leads and takes responsibility (financial, legal) on behalf of external partners
- Leave unticked for projects where External Partner leads since we only receive our funds and the external lead takes responsibility

Funds Paid Via...

External partner(s)				
<input type="checkbox"/>	Partner PI name	Partner name	Is partner leading?	Funds paid via
<input type="checkbox"/>	Professor Sara Anon	University College London UCL	<input type="checkbox"/>	* University Funder University

- Funds Paid Via University: for projects where Cambridge receives all funds on behalf of the entire collaboration and pays these out to the partners via invoicing
- Funds Paid via Funder: for projects where the funds are paid directly by the funder to UCAM. Use for EU funded projects where we are the lead.

A Few Other Scenarios

EU Projects led by UCAM

- **UCAM leads collaboration as coordinator:** UCAM immediately passes on funds to external partners and is responsible for overall reporting. No invoicing. Funder is EU. External partners go in external partner tab because we pass on funds and because we are responsible for reporting. Funds paid by funder. Is this a collaboration?: tick.
- **Example:** *Your department is coordinating an ERC Advanced Grant proposal. Cambridge receive funds directly from EC. Enter EC as the funder; enter Vienna costs in external partner tab; obtain confirmation from Vienna of their costs. Due diligence is required if new collaborator.*

EU Projects led by External Collaborator

- **External partner leads collaboration as coordinator:** external partner immediately passes on funds to UCAM, so EC is the funder. Funds paid by Funder. Leave a note in X5 listing the coordinator rather than including in the funder combination. Is this a collaboration?: do not tick.

UKRI Bilateral Schemes (e.g. AHRC-DFG, AHRC-NEH, CHANSE)

- UCAM and Overseas partner receive funds separately from national funders. No external partners in external tab in X5 unless UCAM receives funds for a third party or other university that is involved in the UK part of the bid. Due diligence optional for reputational risk on overseas coordinator, if not done already. Funds paid by funder. Is this a collaboration?: do not tick.
- Example: University of Helsinki are coordinating a CHANSE proposal. Funds flow to Helsinki and Cambridge separately via national funders. Cambridge receive funds through ESRC. Enter ESRC as the funder; no external partner tab since we do not receive funds for Helsinki; obtain confirmation from Helsinki that all of our costs have been entered. Due diligence is optional/advisable.

Table on External Collaborators

	Due Diligence	Is there an External Partner? on X5	“Funds Paid By”	Funder Name	Needed for ROO Approval
UCAM Leads (e.g. UKRI, BA, LT, WT)	Required if New Collaborator	Yes (Tick)	University	“Funder” (British Academy)	Confirmation of Costs from Collaborator
External Partner Leads (e.g. UKRI, BA, LT, WT)	Required if New Funder combination	No (Don’t Tick)	Funder via Lead	“External Partner fb Funder” (Sheffield fb British Academy)	Approval email from ROO
EU Funding led by UCAM	Required if New Collaborator	Yes (Tick)	Funder	“Funder” (i.e. H2020 ERC)	Confirmation of Costs from Collaborator
EU Funding led by External Partner	Optional on New Collaborator / Required if New third party	No (Don’t Tick) unless third party	Funder	“Funder” (i.e. H2020 ERC)	Approval email from ROO

Any Questions?