

# Knowledge Transfer Partnership Guidance for 2023

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UNIVERSITY OF  
**OXFORD**

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## KTP Office Contact

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## Introduction to the KTP Scheme

The Knowledge Transfer Partnership (KTP) grant scheme is administered by UKRI Innovate UK on behalf of UK research councils, government departments and devolved administrations. It aims to help UK companies improve their competitiveness, productivity and performance through the better use of the knowledge, technology and skills available within the UK research base. A KTP involves the formation of a partnership between a company (typically an SME), a UK university (the 'Knowledge Base Partner') and a graduate or postgraduate known as the KTP Associate. The partnership aims to facilitate the transfer of knowledge out of the university and embed new capability within the company.

A KTP can last between 18 and 36 months depending on the project and the needs of the company, with most projects being 24 months in length. The KTP is part-funded by a grant administered through UKRI Innovate UK, with the expectation that the company will contribute financially to ensure the full cost of the project is met. The amount the company contributes is different for SMEs (33%) and large enterprises (50%).

*“Academic researchers produce on average more than three new research projects and two research papers for each KTP project, with many also developing new teaching material.”*

*“Companies achieve an average increase in annual profit of more than £1 million after taking part and create around two new jobs.”*

Benefits of taking part in a KTP include, but are not limited to:

- realisation of tangible economic benefits to a company through the translation of innovative academic research into new products or services
- developing new, strategic business relationships for the academic and department, potentially leading to additional revenue streams and enhanced collaborative grant funding opportunities
- identification of new research opportunities through exposure to the relevant commercial sector
- providing the basis for an impact case study, with associated implications for REF and the participating department
- exposure for the company to the University of Oxford's research capability, both in depth and breadth, enabling emerging opportunities to be reacted to and developed faster than otherwise had previously been possible
- academic researchers produce on average more than three new research projects and two research papers for each KTP project, with many also developing new teaching material
- around 60% of KTP Associates are offered a permanent job in the company when the project ends; and
- companies achieve an average increase in annual profit of more than £1 million after taking part and create around two new jobs.

## KTP Application Form Guidance

The online application form is initiated by the University's KTP Office via the gov.uk *Innovation Funding Service* (IFS) platform. The application can only be initiated once the KT Advisor has interviewed the company, due diligence on the company is complete, and the KT Advisor has discussed the proposed project outline with the company and the Oxford academic.

## Assessment Criteria

For the KTP proposal assessment, scores are provided against four (4) overall criteria: Impact, Innovation, Challenge, and Cohesiveness.

### Impact

- Proposals must demonstrate a significant opportunity to impact on the company's financial position (i.e. profit, turn-over, productivity and cost savings)
- The opportunity to embed new capabilities within the company or across the organisation as a whole and to develop a culture of and capacity for ongoing innovation

### Innovation

*“Invention is about making new items or finding new ways of making items. Innovation involves bringing this new idea to the market, that is, turning an invention into a product.”*

- An innovative project should not be just “keeping pace” with the competition but aspiring to become a leader in the field; best in class. Innovation brings new products and/or services to market and increases productivity
- A high-quality innovative project provides an opportunity for the company to do something new for itself and/or create a new commercial opportunity and embed the capability to do it again for further benefit
- The company should be able to demonstrate their commitment to innovate and the intention for further uptake of new innovations.

## Challenge

The proposal should:

- challenge the practices of the company partner and the market(s) it operates within
- challenge the academic team to translate research into commercial capability
- result in significant development of the University's commercially relevant case study material, and have the potential to demonstrate impact to enhance its research and teaching programmes
- provide a clear career opportunity for the KTP Associate

## Cohesiveness

- Cohesiveness reflects the requirement that the entire application must link together and form a cohesive story or virtuous circle.
- Often the components of an application are individually strong, but they do not link cohesively together
- Assessment will focus on checking that the application is cohesive in all its elements and logical throughout i.e. the strategic aims, business plan, a project plan etc. are in alignment with each other

## Other Considerations

During the review panel's discussions, panel members are asked to consider the following:

- Strategic relevance to the company
- Demonstrable innovation
- Sound business case, delivering high impact/wealth creation
- Clear need for Knowledge Base Partner (University of Oxford) input
- Evident knowledge transfer (not a consultancy or contract research)



## The project:

- must be stimulating and challenging for the academic team
- must be intellectually challenging for the KTP Associate
- must not replace the use of independent consultants
- must not replace solutions that can be obtained off the shelf
- must show that potential benefits will likely accrue from the KTP
- must show that the outcomes/benefits would not occur without the KTP

## Points to Note

UKRI Innovate UK's expectation is that from the outset this is a collaborative activity, meaning the proposal writing, drafting of the job description for the KTP Associate, and recruitment of the KTP Associate will involve both the University of Oxford and the company.

## KTP call closing date

The closing dates for 2022/2023 are published as:

| Round          | Open date                       | Close date                     |
|----------------|---------------------------------|--------------------------------|
| KTP R1 23 – 24 | 30 <sup>th</sup> January 2023   | 29 <sup>th</sup> March 2023    |
| KTP R2 23 – 24 | 27 <sup>th</sup> March 2023     | 17 <sup>th</sup> May 2023      |
| KTP R3 23 – 24 | 22 <sup>nd</sup> May 2023       | 5 <sup>th</sup> July 2023      |
| KTP R4 23 – 24 | 10 <sup>th</sup> July 2023      | 6 <sup>th</sup> September 2023 |
| KTP R5 23 – 24 | 11 <sup>th</sup> September 2023 | 1 <sup>st</sup> November 2023  |
| KTP R6 23 – 24 | 6 <sup>th</sup> November 2023   | 13 <sup>th</sup> December 2023 |
| KTP R7 23 – 24 | 13 <sup>th</sup> December 2023  | 7 <sup>th</sup> February 2024  |

**NB:** these dates may be subject to change, so please do confirm the closing date before application. For more information, please see: [ukri.org](https://www.ukri.org).

## Recruitment of the KTP Associate

- Recruitment of the KTP Associate must be by **open competition**.
- The KTP Associate will be employed by Oxford University but is expected by UKRI Innovate UK to spend most, if not all, of their time at the company premises, and be co-managed by the company.

## Costing a KTP and financial management post-award

- Research Services will submit a letter annually to UKRI Innovate UK confirming FEC costing details as applied to KTP applications.
- The minimum university PI time costed to the grant, as required by the scheme, is 0.1 FTE. On the application, the Knowledge Base Leader and Supervisor can be the same person, but preferably the roles are split. This can allow a PI to be the Knowledge Base Leader (minimum 0.05 FTE) with another academic or senior postdoc as Knowledge Base Supervisor (minimum 0.05 FTE) who then directly supervises the KTP Associate.
- Consideration needs to be given as to the final ownership of laptops as this may impact on the needs for commercial software licences. Such licences would need to be paid for by the company. Advice must be sought as to the validity of an academic licence related to specialist software that will be used/deployed for the KTP project.
- The KTP project is highly managed, involving formal, minuted, quarterly meetings between the company, PI(s), KTP Associate, KTP Office, and UKRI Innovate UK's appointed KT Advisor. These are known as Local Management Committee (LMC) meetings.
- The department will submit quarterly statements via Research Accounts to UKRI Innovate UK. Failure to do so will mean the department is unable to recoup costs for that quarter. Minutes from the previous LMC meeting must accompany a reimbursement claim submitted to UKRI Innovate UK.

## Research Services and KTP Office process

- The University of Oxford KTP Office will retain administration rights to the online application and will submit the application on behalf of the University.
- To mitigate risk, the Joint Commitment Statement (JCS), provided in support of the application, will be signed by the company first before Research Services countersign, and upload the JCS. Please see 'Flowchart' points 11 – 14.

## Collaboration Agreement and Intellectual Property (IP)

- An agreement between the University and the company will be required for all KTP projects.
- Given the nature of this scheme, the University's charitable status and the expectations of UKRI Innovate UK, IP arrangements will be discussed with the company prior to application and negotiated after a successful award. This latter point is explicitly addressed by the *Joint Commitment Statement* signed by all parties and submitted at time of application.
- The University's guiding principles are as follows:
- Oxford must ensure that its activities support its charitable objectives: the advancement of learning by teaching and research and its dissemination by every means
- IP is an asset of the University and has to be available for the charitable purpose - and exploitable for that purpose
- Oxford must ensure that any commercial benefit afforded under any sponsored research is only ever incidental to the charitable benefit
- No rights to the background are granted beyond the project. Background may already be encumbered and at the research contract stage the University does not undertake any form of due diligence on the background it uses; the

company can always expect to have at least an academic licence to perform the project.

- There shall be no restrictions on publication other than that of protection of confidential information, and there are only time-limited review rights on publications generally.

## Company contribution and SME definition

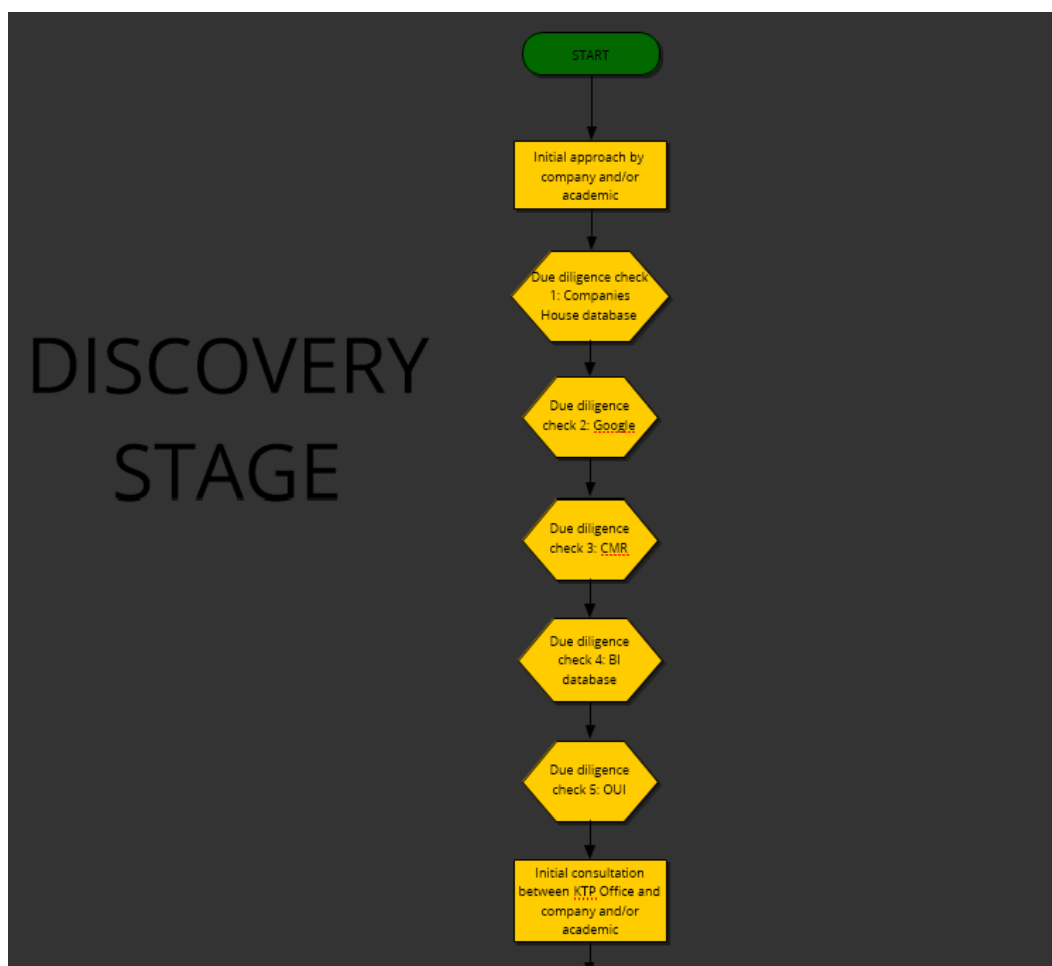
- The KTP scheme requires different co-funding contributions from the company dependent on whether it is an SME or large corporate. The main factors determining whether a company is an SME are:
  - a) the number of employees and
  - b) either turnover or balance sheet total.

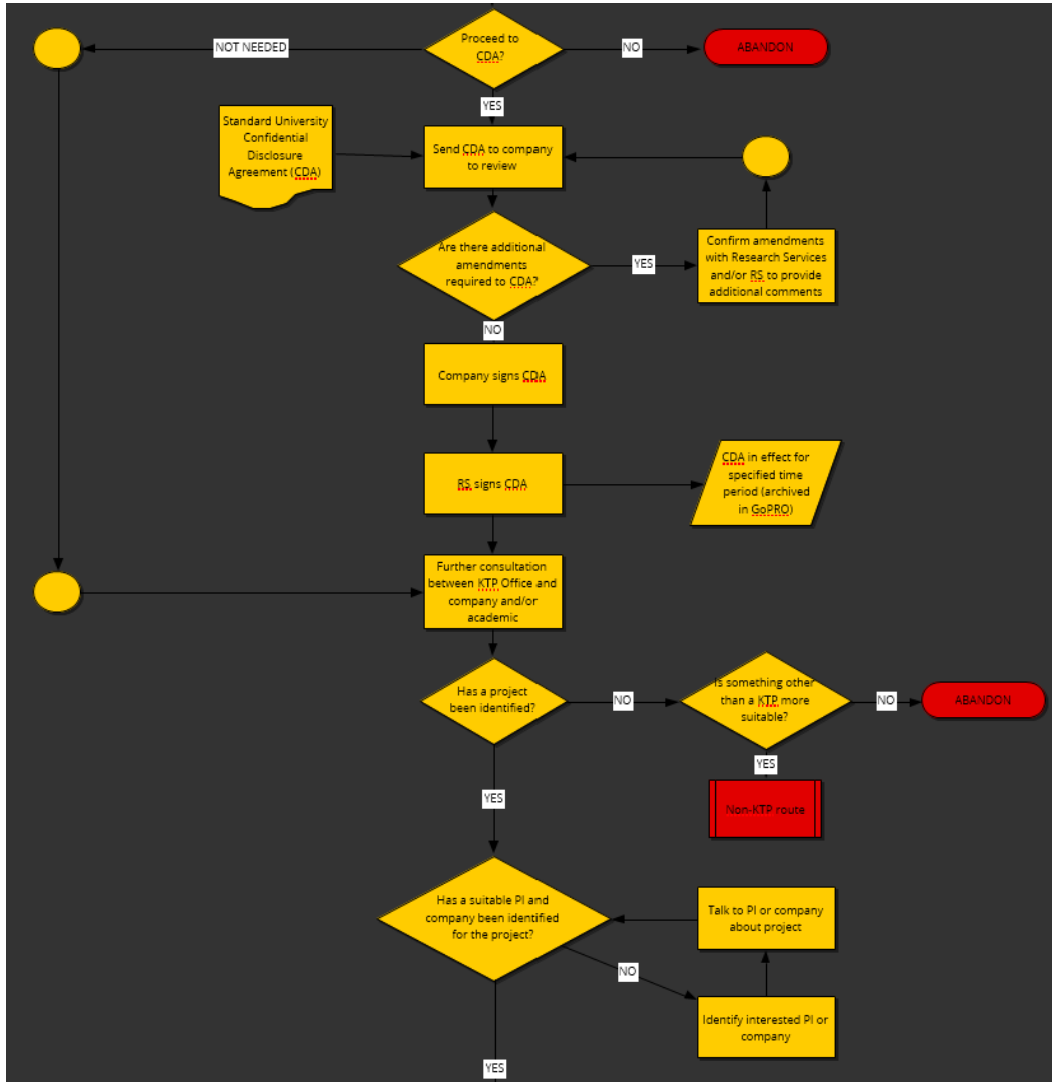
| Company category | Employees | Turnover or balance sheet total                   |
|------------------|-----------|---|
| Medium           | < 250     | Less than or equal to €50 million or €43 million. |
| Small            | < 50      | Less than or equal to €10 million or €10 million. |
| Micro            | < 10      | Less than or equal to €2 million or €2 million.   |

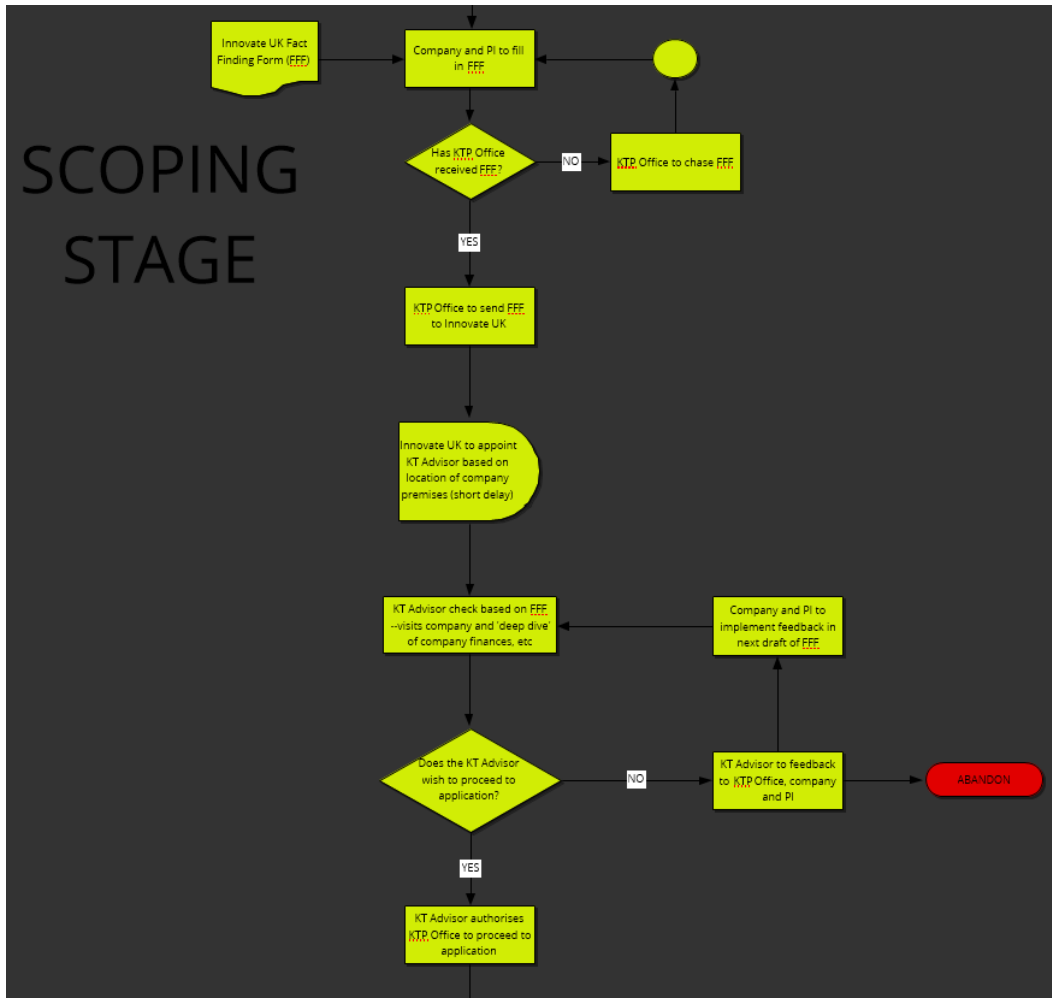
In the UK, sections 382 and 465 of the Companies Act 2006 define an SME for the purpose of accounting requirements. These ceilings apply to the figures for individual firms only. A firm which is part of larger grouping may need to include employee/turnover/balance sheet data from that grouping too. Source: [gov.uk](https://www.gov.uk).

## Flowchart of the KTP Application Process

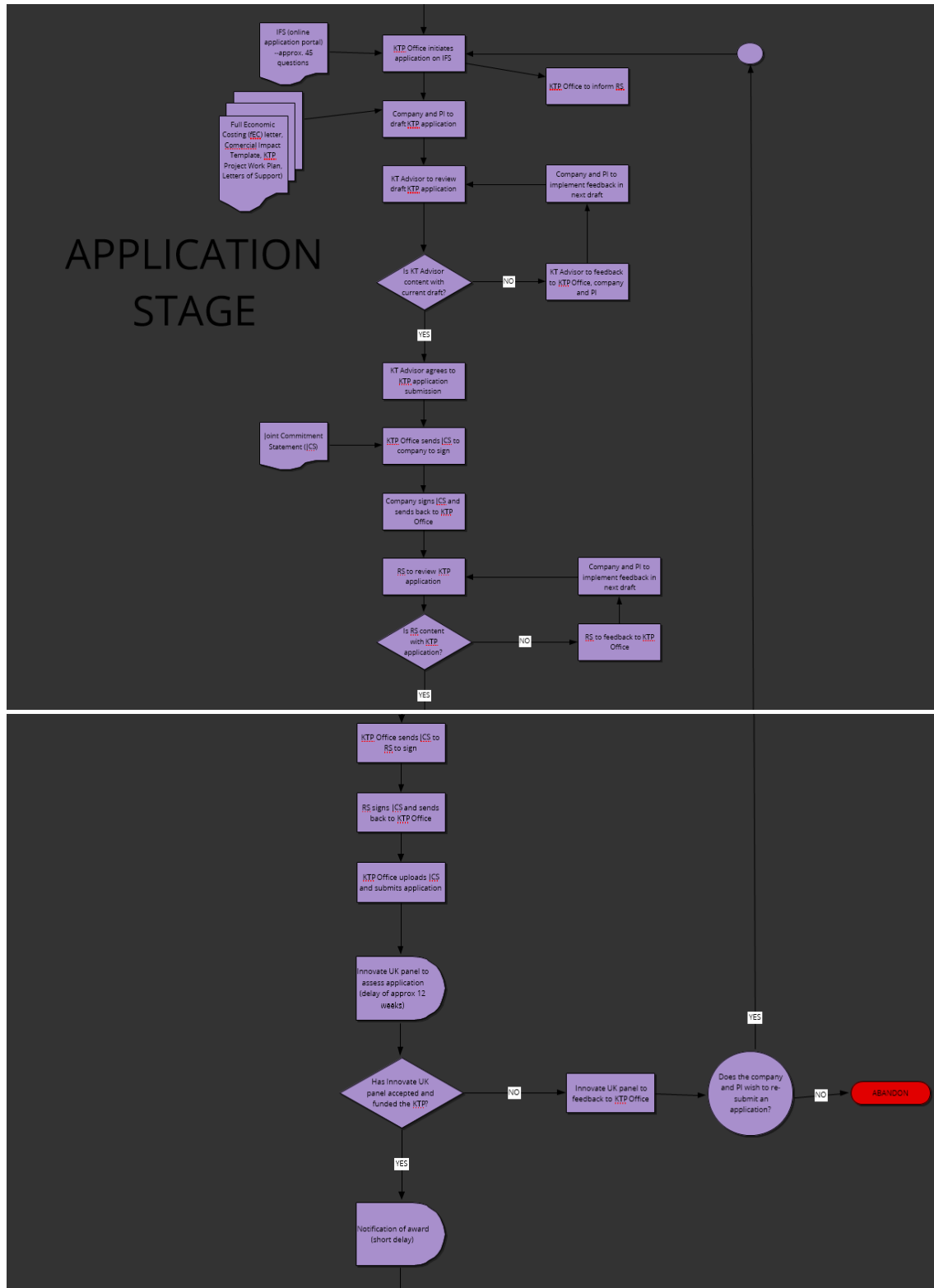
Below is an indicative visual flowchart to help explain the full KTP process at Oxford. Although, it depends on individual project, academic and company needs.

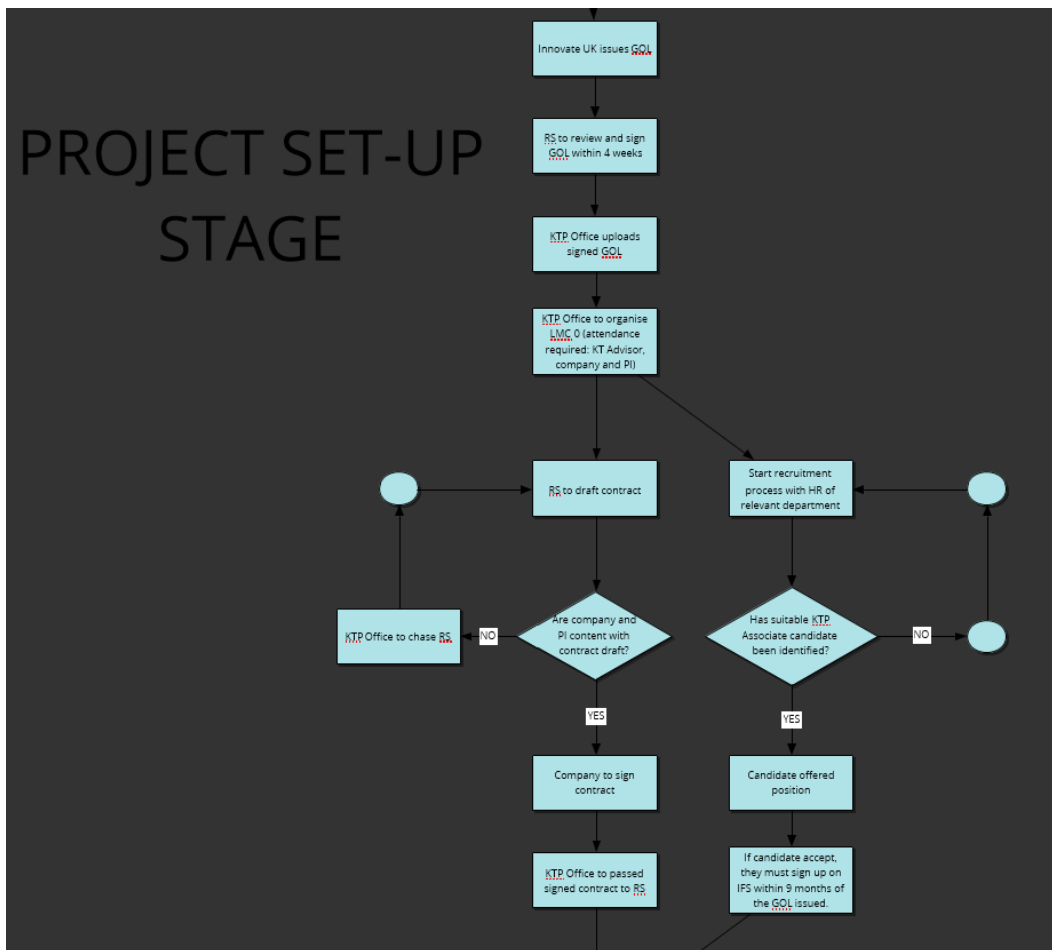


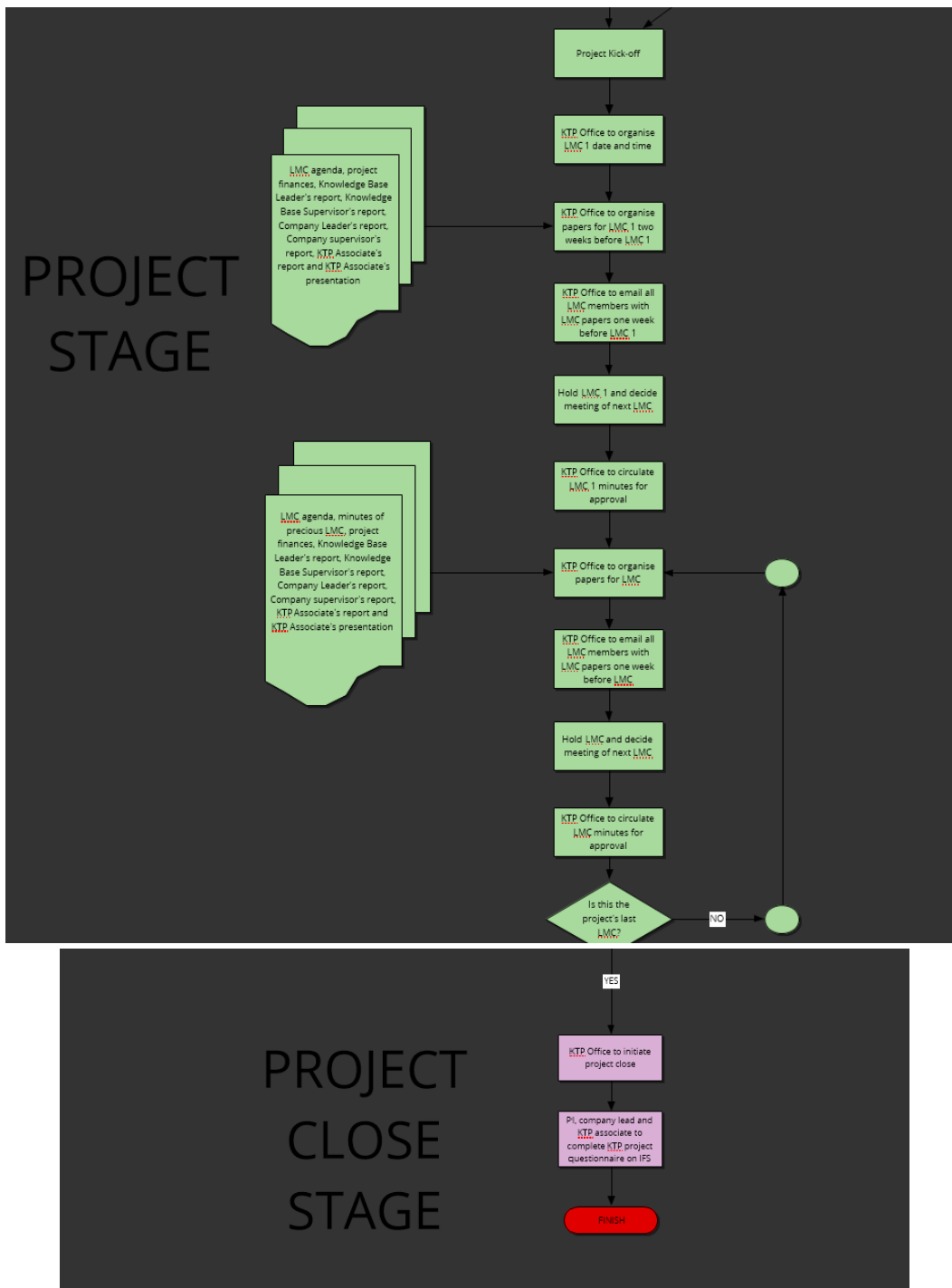












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## KTP Budget Guidelines (Full Economic Costing)

### Introduction

Each KTP budget is financed by a contribution from Innovate UK in the form of a grant and not subject to VAT, which is awarded to Oxford University (the Knowledge Base Partner), with the Company contributing the balance of the project costs directly to the University. In addition, the company must also find its own cost of participation. The Local Management Committee (LMC), established for the particular Knowledge Transfer Partnership, controls the budget (within the regulations set out in the 'Offer Letter').

### Definitions of the fEC terms

#### Directly Incurred Costs

- **Associate Employment:** These costs relate to the employment of the KTP Associate, e.g. to salary, NI contributions, pension etc.
- **Associate Development:** These costs are for each KTP Associate to manage, through the LMC, and are for additional developmental training that is specifically required for the particular project identified. Training that helps the all-round development of the KTP Associate is also covered by this contribution. The standard annual Associate Development cost that can be applied for is £2,000.
- **Travel and Subsistence:** These costs relate to the travel necessary to undertake each proposed project. These costs are for use by the KTP

Associate and the Academic Supervisor only. The company finds its T&S costs outside of the eligible costs shown in the Partnership T& S budget. The standard annual T&S cost that can be applied for is £2,250. Should additional T&S costs be required then this will need to be fully justified in section 3.7 of the application form (*see* Annex 1)

- **Consumables:** These costs are a contribution towards those consumable items which are essential to enable the project to progress and be completed successfully. They can include the KTP Associate's PC but should not include capital items that the Company will require after the project has been completed. The standard annual Consumables cost that can be applied for is £1,500. Should additional Consumables costs be required then this will need to be fully justified in section 3.7 of the application form (*see* Annex 1), or preferably provided via the company contribution.

## Directly Allocated Costs

- **Knowledge Base Supervisor:** This represents the cost of the appropriate 'academic' in the Partnership and their indirect cost element.
- **Associate Estates Cost:** Normally this will be zero as the Associate is located at the Company Partner's premises. A company may request additional funding and a cap of £10k will be applied per project. Where a request for additional estate costs is made it must be accompanied by a satisfactory justification.

## Indirect Costs

- **Additional Associate support:** These are the costs that relate to the management aspects of the Associate (such as learning resources,

computing, personnel function, secretariat support to the LMC, etc). To support the management of the KTP the department is requested to include a minimum of four days of Oxford KTP Office time in this budget line. Please request the required grade information from the Oxford KTP Office plus an estimate of travel & subsistence costs as the KTP Office manager will invoice the department for costs incurred.

## KTP Project Budgets

The KTP project budget includes categories covering the costs directly incurred in carrying out the project (the Directly Incurred Costs resulting from employing the Associate). The Directly Allocated Costs are those costs allocated to the project by Oxford University for the support provided by the Academic Supervisor and, if appropriate, covering the use of laboratory or office space by the KTP Associate when visiting Oxford. The budget also includes a category called Indirect Costs to cover those additional costs incurred by the University, and which are associated with employing the Associate and providing them with access to support facilities. The budget does not cover the costs (direct or indirect) of the supervision and support of the Associate given by the Company Partner. These costs are met exclusively by the Company Partner.

The total budget for a KTP project depends on the following four parameters:

- the duration of the project
- the plan of work to be undertaken
- the geographical location of the company partner.
- the costs associated with the PI and the department within the University providing the main support

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## Outline Budgets for ‘Standard’ fEC KTP Projects

Table 1 provides indicative budget figures for KTP projects lasting exactly 12 months. If the KTP project is longer than 12 months, the budget figures are prorated accordingly. Please note the annual maximums of £2,000, £1,250 and £2,000 for Associate Development, T&S, and consumables, respectively. The T&S and Consumables amounts can and should be enhanced by the company contribution. To enable payment of a ‘London Allowance’ to the KTP Associate, the ‘Associate Employment’ category of the budget is enhanced by £3,000. The allowance is permissible only if the company confirms where much of the project work is to be carried out is within 16 miles of Charing Cross.

The Directly Allocated Costs and Indirect Costs should reflect the real costs to Oxford University of employing the KTP Associate and providing support.

Table 1: Outline of (fEC) KTP project budgets for a 12-month project

| Directly Incurred Costs<br>(see notes 1,2,3 & 4) | Standard<br>Budget | London |
|--|--------------------|--------|
| Associate Employment<br>(1)                      | 45,000             | 48,000 |
| Associate Development<br>(2)                     | 2,000              | 2,000  |
| Travel and Subsistence<br>(3)                    | 21250              | 2,250  |
| Consumables (4)                                  | 2,000              | 1,500  |
| Sub-total  | 50,750             | 53,750 |

| Directly Allocated Costs<br>(see notes 5, & 6) | Cost | Factor | Cost* Factor |
|--|------|--------|--------------|
| Knowledge Base Supervisor<br>(5)               | (SC) | (F1)   | (SC)* (F1)   |
| Associate Estates Provision (6)                | (EC) | N/A    | (EC)         |
| Sub-total                                      |      |        |              |

| Indirect Costs (see note 7)         | Cost | Factor | Cost* Factor |
|-------------------------------------|------|--------|--------------|
| Additional Associate Support<br>(7) | (AC) | (F2)   | (AC)* (F2)   |
| Total of sub-totals                 |      |        |              |

Notes to Table 1 above:

- (1) Set by Innovate UK, the upper limit for Associate Employment Costs that can be applied for is £45,000 per Associate per 12-month period. Any expenditure on employing an Associate (salary plus additional costs) that exceeds these amounts must be met entirely by the Company Partner. Such 'topping-up' by the Company Partner may be desirable to attract an



Associate with appropriate qualifications and experience.

- (2) The amount for 'Associate Development' is fixed at the level shown and where the project length is 12 months.
- (3) This is the standard amount for 'Travel and Subsistence'.
- (4) This is the standard amount for 'Consumables'
- (5) The Knowledge Base Supervisor (SC) costs will depend on the nominated individual and their respective department. Normally the Knowledge Base Supervisor will spend, on average, half a day per week in support of a project and thus the multiplying factor of these costs (F1) is typically 0.1. In cases where the Partners agree there may be a need for the Knowledge Base Supervisor to provide additional support, a higher value than (F1) may be proposed but is unlikely to be approved unless a justifiable case is presented.
- (6) The Estates Provision cost for the KTP Associate is £0 where a project is being undertaken exclusively away from the University. A cap of £10,000 will be applied to the project. Such requests must be satisfactorily justified.
- (7) Normally the additional support given to the Associate is shared approximately equally between Oxford University and the Company Partner. Thus, the factor (F2) used to multiply the Additional Associate Support costs (AC) incurred by the Knowledge Base Partner is typically 0.5. In exceptional circumstances a higher value than (F2) may be proposed but is unlikely to be approved unless a justifiable case is presented.

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## Example budget and funding ratios

Table 2 shows example budgets for 'standard' KTP projects using hypothetical figures for the Directly Allocated Costs of engaging a Knowledge Base Supervisor as well as for the Indirect Costs of providing additional support to the Associate. The table also shows how the budget is split between the company and the Knowledge Base Partner. For an SME the company contribution will be 33%, and for a large company the contribution will be a half (i.e. 50%).

Table 2: Sample budgets and financing for a 12-month (fEC costed) KTP project

|  | Annual Amount | Annual Costs SME Innovate |                       | Annual Costs Large Company Innovate |                       |
|--|---------------|---------------------------|-----------------------|-------------------------------------|-----------------------|
|  |               | UK element @ 67%          | Company element @ 33% | UK element @ 50%                    | Company element @ 50% |
| Contribution to Associate employment costs | 45,000        | 30,150                    | 14,850                | 22,500                              | 22,500                |
| Associate development                      | 2,000         | 1,340                     | 660                   | 1,000                               | 1,000                 |
| Travel and Subsistence                     | 2,250         | 1,508                     | 742                   | 1,125                               | 1,125                 |
| Consumables                                | 1,500         | 1,005                     | 495                   | 750                                 | 750                   |
| <b>Total Direct Costs</b>                  | <b>50,750</b> | <b>34,003</b>             | <b>16,747</b>         | <b>25,375</b>                       | <b>25,375</b>         |
| Directly allocated costs                   |               |                           |                       |                                     |                       |
| Knowledge Base Supervisor (1)              | 8,000         | 5,360                     | 2,640                 | 4,000                               | 4,000                 |
| Associate Estate costs                     | 0             | 0                         | 0                     | 0                                   | 0                     |
| Indirect Costs                             |               |                           |                       |                                     |                       |
| Additional Associate support (2)           | 18,000        | 12,060                    | 5,940                 | 9,000                               | 9,000                 |
| <b>Total</b>                               | <b>76,750</b> | <b>51,423</b>             | <b>25,327</b>         | <b>38,375</b>                       | <b>38,375</b>         |

Notes to Table 2 above:

- (1) An example figure is used here for the Knowledge Base (KB) Supervisor support costs. This is linked to the employment costs of the Knowledge Base Supervisor. Following on from Table 1, an assumed KB Supervisor cost of £80,000 has been used with a factor of 0.1 to arrive at the £8,000.
- (2) An example figure is used here for the costs of Associate support additional to that provided by the Knowledge Base Supervisor. This should also include the costs associated with providing secretariat support to the LMC. Following on from Table 1, the assumed Additional Associate support cost is £36,000 with a factor of 0.5 to arrive at £18,000.
- (3) The Company Element of the Contribution to Associate Employment costs as indicated in Table 2 does not show any additional contribution the company may wish to make to the Associates salary. It is not uncommon for a company to 'top-up' the Associates salary should it be deemed necessary to match the market rate.

## HEI fEC Certificates

1. Since the introduction of fEC in January 2006 the review process continues to consider the costs included under the above headings to:
  - Ensure fairness to all participants
  - Identify appropriate costing
  - Avoid unnecessary costs to the KTP funding programme – and hence reduction in the number of KTP partnerships which can be supported
  - Benchmark for reference purposes
  - Provide information back to KB partners on benchmarking and range of pricing policies

In order to consider the costs involved, the review process requires that the Knowledge Base Partner (i.e. Oxford University) provide a breakdown of its Directly Allocated Costs and Indirect Costs. This information should be readily available to the partnership since the University has implemented the national requirement to manage its research support in such a way as to cost its support to business in a sustainable and fair manner. These costs will have been audited and approved.

The review panel members must be satisfied that only audited and approved costs are included in a KTP fEC Budget and that no additional costs have been included.

2. To satisfy the above Oxford University must:

- Provide an annual certificate signed by Research Services which confirms that for the proposed KTP Budget only those costs authorised to be recovered and which have been audited have been included (*see Annex 2*). The certificate should also include a list by sub heading of those costs.
- Confirm that the University will charge the company partner in full for its contribution to any expenditure incurred within the budget, and that the sums charged will be as shown in the project budget table of the online application.

3. The University may not charge the company partner additional costs outside of the budget which are directly associated with the costs of the project. This may impact on the decision made by the review panel about the ability of the company to afford its share of the project costs and its ability to afford the costs of implementation. Similarly, the University may not reduce the costs to the company subsequent to approval of the KTP grant.

## Generic comments for KTP workplan

- Each project stage should provide the reader with a general description/narrative of 'how' the work will be done and how it relates to project objectives and outputs, in sufficient detail to demonstrate an appropriate level of project planning.
- Outputs should relate to those listed previously.
- This question will provide the information needed to determine whether the partnership has the appropriate level of project planning to result in a successful KTP. Typically, a project would be expected to comprise 4–6 individual project stages. The project plan should show the work required to complete each of the project stages listed.
- Areas that could be included within the project stages are; a definition of the problem; solving the problem; implementing the solution; and embedding the solution within the company, whether it is through technology, knowledge or skills.
- Stages common to all projects that are 12 months or longer are listed as tasks 1–4 (knowledge base & company induction; training and development, including the KTP Associate Training Programme; completion by the Associate of a detailed project action plan – to include, e.g. Gantt charts/ Critical Path Networks, and risk assessment as required; and Associate holidays). Each partnership is expected to outline how each of these tasks 1–4 will be achieved and the associated outputs. Where the Associate project is between 6 and 11 months then attendance at the residential modules is not permitted and the length of time to complete the training should be adjusted accordingly.
- For the project-specific stages, each partnership should state each project stage (in bold). Tasks effort should be expressed in months rather than weeks.

*[The below is an additional set of generic points. Probably good if you can thin some of these out if repeating the above, and then look combine any useful points into an extended list of the above.]*

- Indicate clearly how each activity is done
- Each activity must lead to a clearly defined output that is tangible and readily understood; no point writing lots of stuff in the output column; little point in having lots of reports as outputs
- each activity must clearly indicate the Associate's role; use positive words to indicate that the associate is making an input not just doing work as directed by others
- each activity; where appropriate should show where / how the knowledge transfer is occurring; this should cover much of the workplan
- show where and how the embedding of the KT is taking place and in whom; more the better
- demonstrate commercial exposure of the Associate within the context of the technology/sector, think customers, suppliers, patent agents, interaction with sales and marketing personnel, we are looking to produce more rounded individuals
- activities must be present that demonstrate where all deliverables occur. For this, try listing all benefits/deliverables from appropriate sections of the proposal and then ensure suitable tasks with appropriate outputs are present in the workplan
- writing an explanation at the beginning of each stage can sometimes be helpful; an expansion of the objective of each phase of the plan given in the summary plan section in an appropriate manner
- essential to have some Key Performance Indicators (KPIs) that can be used to check whether progress is on schedule and which can be used by the LMC/Associate to manage the project
- essential to have suitable commercial KPIs that link to the delivery of the business case; for example, are all of the activities necessary to deliver the commercial outputs/outcomes table of net profits present in the workplan? if so, identify those outputs/KPIs in the workplan

- essential to be able to see where in the workplan the associate works at the University if this is a significant amount of time
- essential to be able to see where in the workplan the Associate is writing papers and attending conferences, especially if extra money for attendance at conferences or visiting customers overseas is requested
- outputs should not be descriptions of how things are done – this is the “how” for the first column

Remember, KTP proposals are reviewed by a non-specialist panel, hence detailed technical explanations and technical jargon are not required. Also, always define acronyms.

The KTP programme advisory group recently stated that: *“Workplans need to be succinct whilst demonstrating a credible project that delivers the business case. More detail should be provided for the first 6-months; 0.1; 0.25, 0.5 months with these time aliquots sometimes covering more than a single activity, with less detail later where tasks are likely to be shown in monthly or two-monthly chunks – but never 3, 4, 5, months or greater.*

*Consider 4 – 5 pages for a typical 24-month project, no more than 6 – 7 pages for a 36-month project.*



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## APPENDICES

# Joint commitment statement and declaration

This document must be signed by:

- one senior person from the business
- one senior person from the knowledge base

They must be empowered to commit their organisations to support the proposed KTP project or projects.

---

We declare that to the best of our knowledge the information provided in this online grant application and proposal is accurate and complete.

We also agree that if this Knowledge Transfer Partnership proposal and grant application is approved we will meet all the following conditions.

a. **Introduction**

The knowledge transfer partnership will be carried out in accordance with this online application unless the local management committee (LMC) agrees to change it or changes are required by:

- the KTP programme manager, acting on behalf of Innovate UK (the lead organisation for KTP) and all other funding organisations
- or
- by an Innovate UK Board official

Such changes can be made before or after the application has been approved.

b. **Associate recruitment**

The associate or associates will be recruited jointly by both partners using a demonstrably open and fair process. The knowledge base will offer them an agreed contract of employment.

The associates will:

- work mainly on the premises of the proposed business partner identified in the online application
- follow the business's normal confidentiality, attendance and leave practices
- be paid a salary agreed by both partners

The partners must consult one another before terminating the associates' contracts.

c. **Associate supervision: business**

The business partner's staff members identified in the application questions will supervise the associates on a day-to-day basis.

d. **Associate supervision: knowledge base**

The knowledge base partner's staff members identified in the application questions will spend at least half a day a week or one day a fortnight (not including travelling time) supervising each associate during the period of the knowledge transfer partnership. They will do this at the premises of the business partner identified in the application questions.

e. **Commitment of resources**

Both partners will commit all reasonable resources to enable the successful completion of the knowledge transfer partnership.

f. **Intellectual property rights**

Both partners have reached, or commit to reach, an agreement on intellectual property rights for the proposed knowledge transfer partnership.

g. **Associate time commitments**

The associates will not be diverted from knowledge transfer partnership-related activities, other than to spend approximately 10% of their time on appropriate formal training and personal and professional development activities. This will include completing the 2 KTP training modules set out in the work plan.

h. **Knowledge base reports**

The knowledge base will provide regular reports to the LMC on the expenditure and commitment of resources for the knowledge transfer partnership. The LMC reporting process is outlined in the KTP management handbook.

i. **Appraisals**

The knowledge base supervisor and business supervisor will jointly and formally appraise the performance of the associates at 6-month intervals.

j. **Business partner's payments**

The business partner will pay the knowledge base partner at least the total business contribution as shown in the online application and any additional amounts agreed by the LMC. This will offset the costs incurred by the knowledge base partner.

k. **Knowledge base partner's expenses**

The knowledge base partner will invoice the business partner regularly for expenditure that cannot be covered by a grant claim and which has been agreed by the LMC.

If the business partner ends the partnership early, it must pay its share of any expenditure that was incurred or committed by the knowledge base partner and agreed by the LMC before the partnership ended.

We understand that any invoice the business partner submits to the knowledge base partner may be subject to VAT (which may or may not be recoverable by the business partner).

l. **Final report and ongoing reports**

**The partners:**

- **commit to preparing a final report on the outputs of the partnership once it is finished, even if it ends early**
- **will make their best endeavours to ensure that the associates prepare a final report on their achievements during the partnership**

- agree to comply with any reasonable request for more information made by or on behalf of Innovate UK, for up to 5 years after the end of the partnership, so Innovate UK can evaluate any further outputs

Signed on behalf of the knowledge base partner

|                                |  |
|--------------------------------|--|
| Signature                      |  |
| Name                           |  |
| Position in the knowledge base |  |
| Name of the knowledge base     |  |
| Date                           |  |

Signed on behalf of the business partner

|                          |  |
|--------------------------|--|
| Signature                |  |
| Name                     |  |
| Position in the business |  |
| Name of the business     |  |
| Date                     |  |

# KTP project work plan

Complete this work plan to describes the work required to complete each stage of the project.

You need to break the work down into:

- risk statement
- 'tasks' – 4 on every project
- individual project 'stages' – typically between 4 and 6
- a time plan showing the work by month

Associate number

If you have 2 associates you must complete a work plan for each. Is this work plan for associate 1 or associate 2?

|                  |                      |
|------------------|----------------------|
| Associate number | <input type="text"/> |
|------------------|----------------------|

Risk statement:

In this section outline the potential risks to the project and the actions you can take to mitigate them.

Tasks

Task 1: knowledge base and company induction

Task 2: training and development, including the KTP Associate Training programme

Task 3: associate completes a detailed project action plan

Task 4: associate's holidays

For each task your partnership must outline:

- how it will be achieved
- the associated outputs

## Knowledge Transfer Partnerships

Application  
number

This is the application number shown in the Innovation Funding Service.

| Task number | Task description   | Effort (months) | Outputs and key decision points  |
|-------------|--|-----------------|--|
| 1           | Knowledge base and business partner induction  |                 | KB and business induction completed  |
| 2           | Training and development, including: <ul style="list-style-type: none"><li>• KTP residential modules 1 and 2</li><li>• mini project if agreed</li></ul> Altogether this is calculated as 10% of the total project time.  |                 | Personal development plan created, and implementation agreed with local management committee |
| 3           | Associate to complete detailed action plan, which might include: <ul style="list-style-type: none"><li>• a Gantt or critical path network diagram for the entire project</li><li>• risk assessment for the entire project</li><li>• a detailed task list for each of the project stages you define below</li></ul> |                 | Detailed action plan   |
| 4           | Associate's holidays   |                 | Annual leave booked and approved   |

# Knowledge Transfer Partnerships

Application  
number

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## Stages

Typically, a project will have between 4 and 6 stages, but you may use as many as you need.

Stages typically include:

- defining the problem
- solving the problem
- implementing the solution
- embedding the solution in the company (through technology, knowledge or skills)

For each stage, using the tables below, you need to:

- add a name and description of the stage
- consider how the stage relates to project objectives and outputs
- create steps to describe what work the associate will do and how they will do it, in non-technical terms
- provide enough detail to show you've done appropriate project planning

Give a short description for each step with the project stage, to help guide the associate and help the assessor and monitoring officer understand the work planned.

You must give more detail for the stages in the first 9 months of the work plan breaking these down into 0.5 month per stage. Tasks must be described for all project stages.

Break each stage into steps, such as 1.1, 1.2 and so on. Use as many stages and steps as required to complete your plan.

# Knowledge Transfer Partnerships

Application  
number

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| Stage 1: add a name and description for the stage here |                            | Effort (months) | Outputs and key decision points |
|--|----------------------------|-----------------|---------------------------------|
| Steps within Stage 1                                   | Description of Step        |                 |                                 |
| 1.1  |                            |                 |                                 |
| 1.2  |                            |                 |                                 |
| 1.3  |                            |                 |                                 |
| 1.4  |                            |                 |                                 |
|  | Total effort in this phase |                 |                                 |

Add additional rows as required



# Knowledge Transfer Partnerships

Application  
number

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| Stage 2: add a name and description for the stage |                                | Effort (months) | Outputs and key decision points |
|---|--------------------------------|-----------------|---------------------------------|
| Steps within Stage 2                              | Description of the stage here. |                 |                                 |
| 2.1   |                                |                 |                                 |
| 2.2   |                                |                 |                                 |
| 2.3   |                                |                 |                                 |
| 2.4   |                                |                 |                                 |
|   | Total effort in this phase     |                 |                                 |

Add additional rows as required

| Stage 3: add a name and description for the stage |                                | Effort (months) | Outputs and key decision points |
|---|--------------------------------|-----------------|---------------------------------|
| Steps within Stage 3                              | Description of the stage here. |                 |                                 |
| 3.1   |                                |                 |                                 |
| 3.2   |                                |                 |                                 |

# Knowledge Transfer Partnerships

Application  
number

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|     |                            |  |  |
|-----|----------------------------|--|--|
| 3.3 |                            |  |  |
| 3.4 |                            |  |  |
|     | Total effort in this phase |  |  |

## Duplicate this section for additional stages

| Stage X: add a name and description for the stage |                                | Effort (months) | Outputs and key decision points |
|---|--------------------------------|-----------------|---------------------------------|
| Steps within Stage X                              | Description of the stage here. |                 |                                 |
| .1  |                                |                 |                                 |
| .2  |                                |                 |                                 |
| .3  |                                |                 |                                 |
| .4  |                                |                 |                                 |
|   | Total effort in this phase     |                 |                                 |

Add additional rows as required

## Use this section for the final stage

| Stage X: add a name and description for the stage |                                | Effort (months) | Outputs and key decision points |
|---|--------------------------------|-----------------|---------------------------------|
| Steps within                                      | Description of the stage here. |                 |                                 |

# Knowledge Transfer Partnerships

Application  
number

This is the application number shown in the Innovation Funding Service.

|            |  |  |  |
|------------|--|--|--|
| Stage<br>X |  |  |  |
| .1         |  |  |  |
| .2         |  |  |  |
| .3         |  |  |  |
| .4         |  |  |  |
|            | Total effort in this phase                   |  |  |
|            | Total effort in workplan<br>(tasks + stages) |  |  |

Add additional rows as required



# Knowledge Transfer Partnerships

Application  
number

This is the application number shown in the Innovation Funding Service.

|         |  |  |  |  |  |  |  |  |  |  |  |  |  |
|---------|--|--|--|--|--|--|--|--|--|--|--|--|--|
| Stage 4 |  |  |  |  |  |  |  |  |  |  |  |  |  |
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# Commercial impacts template

Quantify the likely commercial impacts of the project in the table below.  
Give all figures as net profit before tax.

|                          | Profit after year of completion |        |        |        |        |        |
|--------------------------|---------------------------------|--------|--------|--------|--------|--------|
| Additional income stream | In Project Profit               | Year 1 | Year 2 | Year 3 | Year 4 | Year 5 |
|                          |                                 |        |        |        |        |        |
|                          |                                 |        |        |        |        |        |
|                          |                                 |        |        |        |        |        |
|                          |                                 |        |        |        |        |        |
|                          |                                 |        |        |        |        |        |
| <b>Total</b>             |                                 |        |        |        |        |        |

Please add additional rows if you need them.