



Guidance for completing the UKRI COVID-19 Grant Extension Allocation (CoA) Final Report 2021

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Background:

The UKRI COVID-19 Grant Extension Allocation (CoA) provided organisations with resources to sustain UKRI grant-funded research, research and technical staff and research infrastructures during the period of pandemic disruption and its immediate aftermath. Its key objective was to ensure that UKRI grant outcomes continued to be met, and the value of its grant investments continued to be realised; and to sustain grant-funded, research skills and capability of UK organisations that will be needed to underpin the post-pandemic, national recovery.

- Further details about the management and usage of CoA funds can be found in the [Terms and Conditions for the COVID-19 grant extension](#), and the [Q&A about the COVID-19 grant extension allocation](#), both of which have been published on [our website](#).

UKRI considered that organisations were best placed to judge which projects were most in need of additional support. In making assessments, organisations had to ensure that:

- The funding maintained the broad disciplinary balance that was reflected in the distribution of an organisation's grant funding ending between 1 April 2020 and 31 March 2021 by Council.
- That at least 35% of the funding was used to provide for directly incurred costs. In cases where you were not able to spend 100% of your CoA allocation, you should ensure that **35% of any spend** was used to provide for directly incurred costs.
- The funding maintained the balance of an organisation's 2020/21 grant funding by protected characteristics, and that organisations sought to mitigate any disadvantages to protected groups if they have been incurred through the pandemic and its impacts.
- Support for co-funded activities was proportionate to UKRI contributions

In December 2020, following feedback from the community, our FAQs were updated to note that:

Notwithstanding, priority should be given to allocate funds first to most vulnerable projects, second to maintain the balance of the organisation's 2020/21 grant funding by protected characteristics and third to maintain the disciplinary balance as stated in your organisation offer letter, even if that means not maintaining all the requirements simultaneously ... but justification will have to be provided in the Final Report. However, at least 35% of the total cost must be used towards directly incurred costs.

Organisations were also advised about the requirement to provide evidence of the appropriate use of CoA funding in a **Final Report (FR)** which will be subject to a review by UKRI. The deadline for this report is **31/12/2021**.

How to complete the Final Report

The Final Report (FR) template is available to download from our [website](#), under 'Changes to deadlines and extensions' > 'COVID-19 grant extension allocation'. The FR template contains instructions on the first tab which advise you to complete 10 questions in the first table with the grey heading (columns B-K) and 5 reporting tables (columns N – AX) in the Final Report tab. You may add extra rows, but please do not add any extra columns. You may delete the Instructions tab before submitting, if you wish.

Once completed, please submit the FR via Je-S as an attachment on your Final Expenditure Statement (FES). **Please also send an Excel copy of your completed Final Report form to the covid19allocation@ukri.org inbox.** We are asking you to do this as we have recently identified a system issue that may cause the spreadsheet to import with formatting issues. By sending in a separate version, this will enable us to begin processing your Final Report without delay.

We would be grateful if you could ensure that when completing the form, you do the following:

- **Please title the document 'YOUR RO NAME CoA Final Report'.**
- **Please ensure that all dates are added using the format DD/MM/YYYY (or DD/MM/YYYYY to DD/MM/YYYYY where necessary, please use 'to' and not a hyphen).**
- **Please ensure that any cells requiring a grant or project reference, or an organisation name, are fully completed. Please do not leave these cells blank.**
- **Please only submit one completed Final Report form per organisation. You do not need to complete a separate form for each grant.**
- **Please remember to send a copy of your completed Final Report form to covid19allocation@ukri.org.**

We have produced this guidance to act as 'desk notes' for the Final Report and by clicking on the column heading in the index, you should be able to go directly to the relevant section. However, if anything is unclear or if you have any additional questions, then please don't hesitate to email covid19allocation@ukri.org.

Table 1 (columns B-K):

Please answer the first 9 questions using the dropdown options 'yes' or 'no' in column J. If 'no' is selected, please provide further details in column K. There is no need to provide additional justification for question 9 as this will be provided separately.

It is important to note that if you answer 'no' to questions 2,3,4 and 6 that this may mean that UKRI will seek to recover CoA costs from your organisation, as using the funding in this way was not compliant with the Terms & Conditions of the CoA funding.

Question 1

This question asks you to confirm, by selecting 'yes', that your distribution of the CoA funding maintained overall:

- the balance of your 2020/21 grant funding by protected characteristics, and mitigated disadvantages to protected groups incurred through the pandemic and its impact, and
- the disciplinary balance is reflected in the distribution of your organisation's 2020/21 grant funding by Council. Please note a 10% variation of the organisation's disciplinary balance is acceptable.

UKRI advised Research Organisations that if tensions were to arise between considerations concerning the balance of the grant funding by protected characteristics groups and the disciplinary balance, priority should have been given to allocate funds firstly to most vulnerable projects, secondly to maintain the balance of the organisation's 2020/21 grant funding by protected characteristics and thirdly to maintain the disciplinary balance as stated in the offer letter. We understand that this prioritisation meant that not all the requirements may have been maintained simultaneously. If you answer 'no' to this question, and you were not able to maintain all the requirements simultaneously, then you should provide an explanation against this question in column K. Your answer here may be subject to further checks by our Funding Assurance Team.

Question 2

This question asks you to confirm, by selecting 'yes', that your organisation has not used the CoA to support staff that have been furloughed under the Coronavirus Job Retention Scheme. As noted in section 3.9 of the [CoA T&Cs](#), CoA funding should not have been used to support staff furloughed under this scheme.

Question 3

This question asks you to confirm, by selecting 'yes', that **non-ODA** projects ending before 30 September 2021 have not benefited from a no-cost extension and received CoA support, if UKRI had not approved the no-cost extension by 31 July 2020, apart from in the circumstances noted in sections 3.12 and 3.13 of the [CoA T&Cs](#).

Question 4

This question asks you to confirm, by selecting 'yes', that **ODA** projects ending before 30 September 2021 have not benefited from a no-cost extension and received CoA support, if the no-cost extension was not submitted to UKRI before 31 October 2020, apart from in the circumstances noted in sections 3.15 of the [CoA T&Cs](#).

Question 5

This question asks you to confirm, by selecting 'yes', that your Research Organisation maintained your current balance of support to Co-Investigators at relevant partner organisation(s) through the CoA. UKRI advised Research Organisations to prioritise the grants that were going to benefit from the CoA and have procedures in place to support Co-Investigators. This support should have been proportionate to the level of UKRI funding which was originally awarded to the partner organisation.

In practice this meant that for grants where the funding was/is channelled through one lead organisation and then dispersed to partners, this should have been treated as one award. Where any part of an award was deemed to need to utilise CoA funding, it was the responsibility of the lead organisation (who received the funding directly from UKRI) to ensure that they provided the relevant partner organisation(s) with CoA funding. The exception to this was in cases where both the lead organisation and the partner organisation agreed that they were going to utilise their own CoA awards to support their parts of the project.

Please note that these arrangements may be subject to checks by our Funding Assurance Team.

Question 6

This question asks you to confirm, by selecting 'yes', that you have not taken any funding from **ODA** grants to utilise through 'Change of Use'. As noted in section 2.6 of the [CoA T&Cs](#), this was not permitted. Further details about 'Change of Use' can be found in our [CoA Q&A document](#), question 6.

Question 7

This question asks you to confirm, by selecting 'yes', that the total amount of funding reported as the total in column Z matches the total amount of funding reported as being used for 'Change of Use' on the FES' of the grants were used to create your 'Change of Use' account (e.g. if you have reported utilising £10k of existing grant funding through 'Change of Use', then the total reported on the FES' of the grants used for this should total £10k). The transfers and charges to the allocation will be subject to review through UKRI Funding Assurance processes.

N.B. It is important that you prioritise utilising your 'Change of Use' (which is drawn from your organisation's existing portfolio) first, to ensure that there is no internal credit as of 30/09/2021, when the CoA grants end.

Question 8

This question asks you to confirm, by selecting 'yes', that at least 35% of your CoA funding (including any 'Change of Use', if utilised) has been used to provide for Directly Incurred costs. Please note that the 35% should reflect your total **spend**, and not the total amount of CoA awarded. As an example, if your CoA allocation was £10,000 and your total spend was £5,000, then 35% of the £5,000 should have been used to provide for Directly Incurred costs.

Question 9

This question asks you to confirm, by selecting 'yes', if you intend to request an Additional CoA to utilise underspend on specific awards (for further details about the Additional CoA, please see our [FAQs, question 7.15](#))

Question 10

Please use the space in the row 15 to provide your answer to question 10. We are particularly interested if the decision-making processes which were used to prioritise the allocation of the CoA significantly deviated from the process which was outlined in your Governance Plan. If this is the case, you should use this section to describe these changes, the rationale behind them and their impact.

Table 2 (columns N-U): 'CoA Funding allocated to projects'

This section is where you should record the amount of CoA and/or 'Change of Use' (CoU) funding allocated to individual projects.

Each individual project supported by the CoA (and/or CoU) should be listed as a separate entry. In cases where funding was allocated to a lead grant and managed by the lead, and where it is not possible to separately record the amounts used by the 'child' grants, then all associated proposals benefitting from the CoA should be listed in the same cell, with the lead grant highlighted in bold.

Where an indirect cost has been applied as a block charge (see question 7.4 in the [CoA Q&A document](#)), please note this on a single row and provide some further detail on the allocation or apportionment methodology applied in column U.

Example Table 2:

N.B. The guidance row can be deleted when submitting the Final Report.

N	O	P	Q	R	S	T	U
TABLE 2							
UKRI Project ID(s)/Grant Reference(s)* (Excluding ODA projects)	Please indicate here if this grant is not held by your organisation	Additional funding allocated to project(s):			Impact of the additional funding on the project, in terms of:		
		Date range when the cost incurred	Directly from your UKRI COVID-19 Allocation (CoA)	Through the "Change of Use"	End date of grant (as reported in Je-S)	Project time-scales	Balance and type of resources on which the funding is being spent
<i>*for costs incurred by multiple projects where the cost cannot be allocated separately, insert all project IDs/grant references here. Where an Indirect cost has been applied as a block charge (see 7.4 in our FAQs), please note this on a single row and highlight the allocation/appointment methodology in column U.</i>	<i>Please add an X to this column if this grant is not held by your organisation. Please leave this column blank if your organisation does hold this grant.</i>	<i>DD/MM/YYYY to DD/MM/YYYY</i>	<i>£ insert if applicable</i>	<i>£ insert if applicable</i>	<i>N.B. Depending on the number of grants ending after 30th September 2021 that are utilising CoA support we may need to contact organisations for further information. This is because the utilisation of CoA on those grants could lead to underspending in-year.</i>	<i>[Brief description, e.g. "the project end date has changed from DD/MM/YYYY Y to DD/MM/YYYY Y"]</i>	<i>[Brief description, e.g. "more resource was allocated to field experiments..."]</i>
<i>NE/XXXXXXXX/1</i>		<i>01/04/2021 to 30/09/2021</i>	<i>20,465.02</i>	<i>N/A</i>	<i>31/03/2021</i>	<i>The CoA was used to provide additional support to the project following the end of the grant in March 2021. The project continued from 01/04/2021 to 30/09/2021</i>	<i>The CoA funding was used to support staff and PDRA costs over the funded period. The funding also includes Estates and Indirect costs.</i>
<i>ST/XXXXXXXX/1</i>		<i>01/05/2021 to 30/09/2021</i>	<i>15,572.99</i>	<i>2,236.45</i>	<i>31/11/2021</i>	<i>The CoA funding was used to provide a period of additional support from 01/05/2021 to 30/09/2021 to mitigate delays caused by the COVID-19 pandemic.</i>	<i>The CoA funding was used to support staff costs, Estates and Indirect costs over the funded period.</i>
<i>Indirect Costs</i>		<i>01/04/2020 To 30/09/2021</i>	<i>58,743.92</i>	<i>5,904.17</i>		<i>The CoA was used to pay a block charge covering Indirect costs for all grants utilising CoA.</i>	<i>The block charge was calculated using the university's internal methodology, which calculates Indirect costs by ...</i>

Column N/Project IDs

This column should be used to note the grant or project ID of each individual project that has utilised CoA. This should be the UKRI Grant Reference (i.e., for Research Council awards the Grant Reference beginning AH/, BB/ etc., or for Innovate Projects the project reference number). Please do not add your own internal references to this column and please do not leave this column blank.

Column O/Please indicate here if this grant is not held by your organisation

If you have allocated CoA support to a grant or project where you are not the grant-holding organisation, please add an X to this column. For example, if you have utilised CoA funding as the academic partner on an Innovate project or in support of your organisation's element of a research grant awarded by UKRI where you are not the grant-holding organisation, then please put an X in this column. If you are the grant-holding organisation for the award(s) listed in column N, then please leave this cell blank. Please note that the source of funding for the grant or project must be from UKRI. CoA cannot be used on grants awarded by other funders.

Column P/Date range when the cost incurred

Please ensure that dates are reported in the DD/MM/YYY format (or DD/MM/YYYY to DD/MM/YYYY where necessary, please use 'to' and not a hyphen).

In this column, you should note the date range that the CoA support covered (i.e. 24/03/2021 to 24/06/2021). This can be beyond the end date of the original grant or project, up to 30 September 2021.

If you have a project which will be in receipt of CoA support beyond 30 September 2021 (please see the [CoA Q&A document](#), question 7.15 for more information on the Additional CoA process, or the [Additional CoA guidance](#)) then you should note here the final date by which you anticipate the CoA support for the project will end. To aid our reporting, please highlight these rows in yellow so that they are clearly visible.

Column Q/Directly from your UKRI COVID-19 Allocation (CoA)

In this column, list the exact amount that the project utilised directly from the CoA award, not including any 'Change of Use' funding. Please do not round the amount up or down, as this will create a mis-match with the figure reported on your FES, and the Final Report will be returned to you for amendment.

When all projects have been entered, please use the 'sum' function to create a total cost for this column at the bottom of the list of entries.

Column R/Through 'Change of Use' of other funded research projects

In this column, please list the amount the project utilised from your 'Change of Use' (CoU) funding. Please do not round the figure up or down.

CoU is the funding that you were able to direct from existing awards to create a CoU account to in addition to your CoA award. The figure in this column needs only to be a total amount. If the CoU utilised by the project came from several other funded research projects, you do not need to itemise the individual amount taken from each award. If you did not utilise CoU funding for a project, then please note '0' in this column.

Please note that only grants ending after 31/03/2021 could be used for CoU. You may wish to check at this point that the grants which you have utilised for CoU met this criterion.

When all the grants have been entered, please use the 'sum' function to create a total cost for this column at the bottom of the list of entries.

Column S/End date of grant (as reported in Je-S)

Please ensure that dates are reported in the DD/MM/YYYY format.

List here the end date of the grant as currently reported in Je-S. If you have an entry for multiple projects where the cost cannot be allocated separately, or where an indirect cost has been applied as a block charge, then please leave this column blank, but for individual grants then please add the end date in here.

Depending on the number of grants ending after 30/09/2021 that are utilising CoA support, we may need to contact organisations for further information. This is because the utilisation of CoA on those grants could lead to underspending in-year.

Column T/Project timescales

Please ensure that dates are reported in the DD/MM/YY format (or DD/MM/YYYY to DD/MM/YYYY where necessary, please use 'to' and not a hyphen).

In this column, add a brief note to indicate any change to the **project** timescale due to the use of CoA. You do not need to note here any previous costed or no-cost grant extensions that fall outside of the CoA support period.

For example, if you have utilised CoA to support a project beyond the end date of the original grant, you can note this here. We are differentiating between grants and projects here as the 'research project' may have continued, with CoA support, beyond the end date of the grant or Innovate project through which it was originally funded. As an example, the *grant* through which a research project was originally funded ended on 31/03/2021, but the research project associated with that grant continued for a further six months, utilising CoA funding. In this case, you would enter the end date of the grant (as reported in Je-S) in column S, but then in this column you would add a note to describe how the *project* continued from 01/04/2021 to 30/09/2021.

Column U/Balance and type of resources on which the funding is being spent

Please add a brief note describing how the CoA and/or CoU funding has been used to support the project. This cell is not restricted by character count, but the descriptions should be high-level rather than minutely detailed. Where an entry has been created for a block charge, please use this cell to provide a brief description of the allocation or apportionment methodology applied to calculate the block charge. Where we refer to the 'balance', we mean the balance between the different types of resources supported (i.e. staff costs, consumables, PDRA time, Estates and Indirect costs) and not a financial balance.

Table 3 (columns X-Z): 'Change of use of funding from non-ODA grants ending after 31 March 2021'

For information, the CoA award consisted of both a UKRI CoA grant and a sum permitted for 'Change of Use' (CoU) from existing grant funding. This was to enable research organisations to use incurred savings as a result of reduced activity during the pandemic (for example, reduced travel and expenditure on consumables) to support the objective of the allocation, which was to provide financial support those grants affected by the COVID-19 pandemic.

CoU was restricted to grants with **an end date after 31/03/2021**, and no funding could be taken from ODA grants to utilise as CoU. Further information about CoU can be found in our [CoA Q&A document](#), question 6.

Example Table 3:

X	Y	Z
TABLE 3		
Change of use (CoU) of funding from non-ODA grants ending after 31 March 2021. The expectation is that all CoU funding will have been fully utilised by 30/09/21. (N.B. Change of use from ODA-funded grants is not allowed under any circumstances)		
UKRI Project ID/Grant Reference of grant contributing to change of use	Date funding transfer was recorded internally	Total amount of funding allocated to change of use from this grant
<i>AH/XXXXXXX/1</i>	<i>30/04/2021</i>	<i>£5,000</i>

Column X/Project ID/Grant Reference

Please list the grant or project ID of each individual project from which funding was taken to build your 'Change of Use' account. This should be the UKRI Grant reference (i.e., for Research Council awards the Grant Reference beginning AH/, BB/ etc., or for Innovate Projects the project reference number) Please do not add internal references to this column, and please do not leave this column blank.

Column Y/Date funding transfer was recorded internally

Please ensure that dates are reported in the DD/MM/YYYY format.

Research Organisations seeking to apply 'Change of Use' of existing grants were required to make an internal charge against the existing grants and a corresponding internal credit to the allocation. Please list the date of transfer as input to your system.

The transfers and charges to the allocation will be subject to UKRI Funding Assurance processes.

Column Z/Total amount of funding allocated to change of use from this grant

Please enter the total amount as a single figure. You do not need to provide an itemised list. However, please do not round the figure up or down – the figure entered here should match the figure entered on the FES for the grant from which you have taken funding for Change of Use.

Table 4 (columns AC-AH): 'The total amount of CoA funding utilised on ODA projects in 2020 as reported on your organisation's interim report'

This table is where you should report on the amount allocated to ODA projects since submission of your Interim Report in December '20/January '21.

In **cell AH3**, please confirm the total amount of CoA funding (including any Change of Use funding) utilised on ODA projects in **2020** as reported on your organisation's Interim Report. This figure should not be the total amount of CoA utilised on ODA grants across the entire lifetime of the CoA, all you need to do in this cell is provide the total figure provided in your interim report. You do not need to re-enter any further information from the Interim Report into the Final Report. However, you should include in this table any CoA funding that has been allocated to projects since submission of the Interim Report. If you reported a zero/nil return to UKRI on an Interim Report, then please enter 0 in cell AH3.

If you have not utilised any CoA funding on ODA projects, then please write n/a in cell AC6 (the example information may be deleted). You do not need to complete this table and can move on to Table 5.

Example Table 4:

N.B. The guidance row can be deleted when submitting the Final Report.

AC	AD	AE	AF	AG	AH
TABLE 4					
Please confirm the total amount of CoA funding utilised on ODA projects in 2020 as reported on your organisation's interim report.					£20,500
UKRI Project ID(s)/Grant References* (ODA projects only)	Additional funding allocated to this project(s):			ODA compliance of the project	
	Date when the cost incurred	Directly from your UKRI COVID-19 Allocation (CoA)	Through "Change of Use"	Project timescales	Balance and type of resources on which the funding is being spent
<i>*for costs incurred by multiple projects where the cost cannot be allocated separately, insert all project IDs/grant references here</i>	<i>DD/MM/YYYY</i>	<i>£ insert if applicable</i>	<i>£ insert if applicable</i>	<i>[Brief description, e.g. "the project end date has now changed from X to Y"]</i>	<i>[Brief description, e.g. "more resource is being allocated to field experiments..."]</i>
<i>BB/XXXXX/1</i>	<i>01/02/2021 to 30/09/2021</i>	<i>£32,750</i>	<i>£4,000</i>	<i>The CoA funding was used to provide additional support to the research project after the end of the grant on 31/01/2021</i>	<i>The funding was used to cover staff time, consumables and field experiments on the project. We have ensured that the project remained ODA compliant by ...</i>

Column AC/UKRI Projects (IDs)/Grant References

This column should be used to note the grant reference or project ID of each individual project. This should be the UKRI Grant Reference (i.e., for Research Council awards the Grant Reference beginning AH/, BB/ etc., or for Innovate Projects the project reference number) Please do not use internal references and please do not leave this column blank.

Column AD/Date when the cost incurred

Please ensure that dates are reported in the DD/MM/YYY format (or DD/MM/YYYY to DD/MM/YYYY where necessary, please use 'to' and not a hyphen).

In this column, please note the date range that the CoA support covered for the grant referenced in column AC (i.e. 24/03/2021 to 24/06/2021). This can be beyond the end date of the supported grant, up to 30/09/2021.

If you have a project which will be in receipt of CoA support beyond 30/09/21 (please see question 7.15 in the [CoA Q&A document](#) for more information on the Additional CoA process) then you should note here the final date by which you anticipate the CoA support for the project will end.

Column AE/Directly from your UKRI COVID-19 Allocation (CoA)

Please list here the amount that the project utilised directly from the CoA award, **not including** any CoU funding utilised by the grant. Please do not round the amount up or down, as this will create a mis-match with the figure reported on your FES, and the Final Report will be returned to you for amendment.

When all the grants have been entered, please use the 'sum' function to create a total cost for this column at the bottom of the list of entries.

Column AF/Through 'Change of Use' of other funded research project

List here the amount the project utilised from 'Change of Use' (CoU) funding. Please do not round this figure up or down.

CoU is the funding that you were able direct from existing awards to create your CoU account. The figure in this column needs only to be a total amount. If the CoU came from several other funded research projects, you do not need to itemize the individual amount taken from each grant. If you did not utilise CoU funding for an award, then please note '0' in this column.

When all the grants have been entered, please, use the 'sum' function to create a total cost for this column at the bottom of the list of entries.

Column AG/Project timescales

Please ensure that dates are reported in the DD/MM/YYY format (or DD/MM/YYYY to DD/MM/YYYY where necessary, please use 'to' and not a hyphen).

In this column, please add a brief note to indicate any change to the project timescale due to the use of CoA. You do not need to note here any previous costed or no-cost extensions that fall outside of the CoA support period.

For example, if you have utilised CoA to support a project beyond the end date of the original grant, you can note this here. We are differentiating between grants and projects here as the 'research project' may have continued, with CoA support, beyond the end date of the grant or Innovate project through which it was originally funded.

As an example, the *grant* through which a research project was originally funded ended on 31st March 2021, but the *research project* associated with that grant continued for a further six months, utilising CoA funding. In this case, you may note the end date of the grant (as reported in Je-S) here, but then add a brief note to describe how the *project* then continued from 01/04/2021 to 30/09/2021, utilising CoA funding.

Column AH/Balance and type of resources on which the funding is being spent

Please add a brief note describing how the CoA and/or CoU funding has been used to support the project, and importantly, **how you have ensured that the project has remained ODA compliant**. This cell is not restricted by character count, but the descriptions should be high-level rather than minutely detailed. Where we refer to the 'balance', we mean the balance between the different types of resources supported (i.e. staff costs, consumables, PDRA time, Estates and Indirect costs) and not a financial balance.

Table 5 (columns AL-AP): ‘Organisation’s funding allocation by as many of the protected characteristics (%) as possible, based on the information normally collected by your organisation’

Please do not leave this table blank. If you submit the table with no data, your Final Report will be returned to you for amendment.

Organisations were best placed to determine the distribution of CoA by protected characteristics to mitigate disadvantages to protected groups incurred through the pandemic and its impacts. As advised in item 3.8 of the [CoA T&Cs](#), the distribution of CoA should have maintained the balance of an organisation’s 2020/21 grant funding by protected characteristics and should have put in place measures to mitigate disadvantages to protected groups incurred through the pandemic and its impacts.

Our expectation was that the community of researchers (Investigators, postdoctoral researchers, technicians and software engineers, project managers and other research team members) supported by this additional funding will have reflected the population funded through UKRI grants, whilst recognising some groups of people or individuals have been disproportionately impacted by the pandemic and so may need additional support.

If the population of researchers to which this additional funding was distributed is less diverse than the population usually funded by UKRI in your institution, **we ask you to provide a rationale for this reduced diversity in column AP** (please see below for further details). If the population of researchers to which this additional funding was distributed is more diverse than the population usually funded by UKRI in your institution, or if this funding is targeted at researchers who have been disproportionately negatively affected by the pandemic, **then there is no need to provide a rationale for this.**

We expect monitoring to be in line with data you currently hold, and in line with the Equality Act 2010. UKRI will use the data collected in an anonymised way in line with the GDPR regulations. The data will not be used to identify individuals. The UKRI Privacy Notice states that we may collect and process personal information, using public task and legitimate interests as a lawful basis, to undertake portfolio analysis and support the evaluation of our strategy and policy to investigate the effectiveness of our programmes (which may include evaluations of equality, diversity and inclusion). In this case we are using UKRI’s public task as a basis for processing the data collected.

As outlined in the Terms and Conditions in paragraph 5.2: *“Organisations may be asked to provide evidence of proportion funding distribution subject to Paragraphs 2.2 and 3.4. This may include the considerations taken to ensure that equality, diversity and inclusion is supported as described in Paragraph 3.8.”*

The paragraph 3.8 states: *“Organisations are expected to ensure that equality, diversity and inclusion is considered and supported when allocating funds from this CoA towards disrupted grants. Therefore, the CoA needs to maintain the balance of an organisation’s 2020/21 grant funding by protected characteristics and seek to mitigate disadvantages to protected groups incurred through the pandemic and its impacts.”*

Example Table 5:

AL	AM	AN	AO	AP
TABLE 5				
List your organisation's funding allocation by as many of the protected characteristics (%) as possible, based on the information normally collected by your organisation				
Group e.g. sex, ethnicity, disability	Characteristic e.g. female, ethnic minority, with disability	% of organisation's 2020/21 grant funding	% spend of CoA	If the variation is >10%, explain why
Sex	Female	50%	50%	N/A
Sex	Male	50%	50%	N/A

Column AL/Group e.g. sex, ethnicity, disability

List the Protected Characteristic group as per the Equality Act 2010 (sex, race, religion/belief, etc.). We expect monitoring to be in line with data you currently hold and in line with the Equality Act 2010.

Column AM/Characteristic, e.g. female, ethnic minority, with disability

Add a further defining characteristic e.g. female. Again, we expect these to be in line with data you currently hold and in line with the Equality Act 2010. Please use one row per each characteristic as shown in Example Table 5. **Please do not put multiple characteristics on a single row.**

Column AN/% of organisation's 2020/21 grant funding

Provide the percentage of grant funding received by the group listed in column AL and further characterised in column AM. This figure should be the percentage of your organisation's 2020/21 (01/04/2020 to 31/03/2021) grant funding received from UKRI that is held by this group. Once you have identified all projects that received grant funding from UKRI between 01/04/2020 and 31/03/2021, you then need to identify the population of researchers who are/were involved in these projects, based on the protected characteristics that you record in your systems (for example, if you only record this based on the gender of the PI, then please use that data. We do not expect you to carry out any additional analysis beyond that which is carried out as standard in your organisation, in order to meet your statutory requirements). You should then be able to establish a percentage for

column AN using the data on the information on protected characteristics that is held by your organisation.

We do not expect you to provide a detailed breakdown of the distribution of grant funding by protected characteristics based on a financial breakdown, but please do indicate beneath the table what data you have used to provide these figures.

We are asking you to provide this information as part of our monitoring and evaluation of the CoA funding, as confirmation that protected characteristics were considered during the distribution of CoA funding in your RO. We would like to understand how you identified any deviations from the distribution of 20/21 grant funding and what measures you took to ensure that equality, diversity and inclusion were supported, as described in paragraph 3.7 in CoA Terms and Conditions:

“Organisations are expected to ensure that equality, diversity and inclusion is considered and supported when allocating funds from this CoA towards disrupted grants. Therefore, the CoA needs to maintain the balance of an organisation’s 2020/21 grant funding by protected characteristics and seek to mitigate disadvantages to protected groups incurred through the pandemic and its impacts.”

Column AO/% spend of CoA

Provide the percentage of CoA funding which was received by the specific group listed in column AL and characterised further in column AM.

Column AP/If the variation is >10%, explain why

If the variation between the percentage reported in column AN and the percentage reported in column AO is greater than 10% (for example, the group identified in columns AL/AM received 40% of grant funding in the financial year 2020/21 but received only 15% of the CoA funding) then please use this column to provide a rationale for this reduction. In addition, please advise how you identified this variation and what arrangements were put in place to mitigate it. You should provide further detail on the decision-making process that took place to allocate CoA support, and what controls were considered to mitigate the disadvantages to protected groups caused by the pandemic and its impacts.

If the variation between column AH and the column AI is less than 10%, you may leave the column AJ blank or insert N/A. If the population of researchers to which this additional funding is distributed is more diverse than the population usually funded by UKRI in your institution, or if this funding has been targeted at researchers who have been disproportionately negatively affected by the pandemic, then there is no need to provide a rationale.

Table 6 (columns AS-AX): ‘CoA support for Co-Investigators’

Organisations were asked to prioritise the grants that benefitted from the CoA and to have procedures in place to support Co-Investigators at external organisations, proportionate to the level of funding which was originally awarded to the partner organisation (across the grants supported by the CoA). Further details about CoA support for Co-Investigators can be found in our [CoA Q&A document](#), question 7.10.

In this table, support for Co-Investigators does not need to be reported at a grant-by-grant level. Entries here should be made at an organisational level, by listing the total amount of funding transferred by your organisation **to** another organisation, and the total amount that your organisation has received **from** another organisation.

Each organisation should be reported on in a separate row. Columns AS to AU should be used to report on the total transfer to external organisations, and columns AV to AX should be used to report the amount of CoA support that was transferred from other organisations to you.

Example Table 6:

AS	AT	AU	AV	AW	AX
TABLE 6					
CoA support for Co-Investigators					
Total transfer to External Organisations <i>[please do not report on a grant-by-grant basis]</i>			Total transfer from External Organisations <i>[please do not report on a grant-by-grant basis]</i>		
Organisation	Amount	If the variation is >10%, explain why	Organisation	Amount	If the variation is >10%, explain why
University of Example	£18,500	n/a	University of Example	£15,750	n/a

Column AS/Organisation

List the name of the external organisation. Please do not leave this column blank.

Column AT/Amount

List the total amount transferred to this organisation in support of CoA.

Column AU/If the variation is >10%, explain why

Organisations must maintain their current balance of support to Co-investigators at different organisation(s). The balance of Co-investigator funding between your organisation and an external organisation must be within a 10% variation of your current balance with that external organisation. If the variation in support is greater than 10%, please use this cell to provide a short explanation why.

Column AV/Organisation

List the name of the external organisation.

Column AW/Amount

List the total amount transferred from this organisation to you, in support of CoA.

Column AX/If the variation is >10%, explain why

Organisations must maintain their current balance of support to Co-investigators at different organisation(s). The balance of Co-investigator funding between an external organisation and your organisation must be within a 10% variation of your current balance with that external organisation. If the variation in support is greater than 10%, please use this cell to provide a short explanation why.

END