

# Higher Education Innovation Funding: Connecting Capability Fund

This document describes the policies and methods of allocation for the Higher Education Innovation Funding: Connecting Capability Fund. It invites eligible higher education institutions to submit first round bids and expressions of interest for the second round.



First round bids should be sent, by email only, to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk), by **noon on Monday 10 July 2017**. Expressions of interest for the second round should be sent, by email only, to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk), by **noon on Monday 26 June 2017**.

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# Higher Education Innovation Funding: Connecting Capability Fund

To	Heads of HEFCE-funded higher education institutions
Of interest to those responsible for	Technology transfer, Research commercialisation, University-business links, Strategic planning, Regional economic development, Knowledge exchange
Reference	2017/03
Publication date	April 2017
Enquiries to	Alice Frost, tel 0117 931 7101, email <a href="mailto:a.frost@hefce.ac.uk">a.frost@hefce.ac.uk</a> Jo Allatt, tel 0117 931 7133, email <a href="mailto:j.allatt@hefce.ac.uk">j.allatt@hefce.ac.uk</a>

## Executive summary

### Purpose

1. This document details policies, objectives and methods for the allocation of an additional £100 million to incentivise university collaboration in research commercialisation to contribute to the delivery of the Government's Industrial Strategy, based on established Higher Education Innovation Funding (HEIF) methods. It calls for first round bids and expressions of interest for second round development.

### Key points

2. The Connecting Capability Fund (CCF) aims to stimulate strategic collaboration between universities, which enables them to pool expertise, build connecting capacity and share good practice. The fund complements and builds on established HEIF mechanisms.
3. Universities will be informed separately of additional formula allocations totalling £15 million for 2017-18 from the CCF. The majority of funding, £85 million, will be allocated for competitive projects and sector-wide enhancements, to be used by March 2021.
4. We are now calling for first round bids which meet fully the CCF guidance and criteria in this document to allocate a total of up to £20 million. Expressions of interest for second round bids are also invited, which will form the basis for partnership formation events over the summer. We are establishing a steering group to oversee development of the fund, which may call on other expertise as required.
5. First round bidders need to be confident that their collaboration is well founded and that they fully meet the guidance and criteria for the fund set out in this document. We are seeking exceptional projects that will generate major benefits through collaboration to deliver the Government's Industrial Strategy.
6. We expect to refine the guidance and criteria for the fund on the basis of the outcomes of the first round bids, feedback from second round development and any new priorities identified by Government. We will issue a call for second round bids for allocation of up to £65 million, along with further information on monitoring and evaluation requirements for the fund, in autumn 2017.

## **Action required**

7. First round bids should be sent, by email only, to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk), by noon on Monday 10 July 2017. Expressions of interest for the second round should be sent, by email only, to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk), by noon on Monday 26 June 2017.

## Context

### Government and HEFCE policy

8. The Government confirmed in its 2016 Autumn Statement that additional funding for science and research of £100 million would be provided until 2020-21 to incentivise universities to collaborate in the areas of technology transfer and research commercialisation. This funding – the Connecting Capability Fund (CCF) – is intended to support universities **working together** across England on the commercialisation of research, and is being allocated to complement and build on established Higher Education Innovation Funding (HEIF) mechanisms.

9. In January 2017, the Government published a green paper, ‘Building our Industrial Strategy’<sup>1</sup>. It draws attention to this additional commitment to supporting collaboration, and highlights a number of priority areas relevant to its use:

a. The Government wants to continue to work with universities to improve research commercialisation, knowledge exchange (KE) and the economic impacts of research investment.

b. There is a role for universities to support businesses, and work alongside other partners such as local leaders, to develop industrial and technological sector deals.

c. Universities may contribute to developing local strengths in science and innovation, and may play key roles as institutions for local growth. The strategy highlights the value of clusters and networks of universities, particularly to drive growth across the UK.

10. The Government has asked HEFCE to develop and deliver a KE performance framework. The framework will provide a package of support to keep English university knowledge exchange operating at world-class standard. The aim is that this will further a culture of continuous improvement in university KE, and thus support the direction of the Industrial Strategy. Professor Trevor McMillan, the Vice-Chancellor of Keele University, chairs the KE framework steering group, which is made up of members from HEFCE and universities.

11. In September 2016 we published the McMillan group review, ‘University Knowledge Exchange (KE) Framework: good practice in technology transfer’<sup>2</sup>, in which a group of university experts made recommendations on how to improve technology transfer practice. The review concluded that UK universities probably operate at the leading edge of world standards in technology transfer. However, the UK should strive to improve further given the importance of new technologies to economic growth. The review recommended that technology transfer practitioners and units should be encouraged to work together to spread good practice, improve critical mass and share specialist skills, such as expertise in the appropriate practices required for exploitation in different technology sectors. The review also recommended that Government and funders should compile further evidence on the conditions for successful technology transfer, in terms of the ecosystem (the wider context and conditions to entrepreneurship) that underpins effective practice. This included recommending piloting different approaches, including novel financing vehicles.

12. The Government is proposing wide-ranging reforms to how the sector operates, reflected in the Higher Education and Research Bill which is presently before Parliament. The expectation

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<sup>1</sup> <https://www.gov.uk/government/consultations/building-our-industrial-strategy>.

<sup>2</sup> [www.hefce.ac.uk/pubs/rereports/year/2016/ketech/](http://www.hefce.ac.uk/pubs/rereports/year/2016/ketech/).

is that HEFCE's KE function will become part of Research England, within UK Research and Innovation (UKRI). UKRI will lead on KE, but will work with the Office for Students, with HEIF continuing to be funded over this spending review period out of the budgets for science and research and for higher education (HE). The CCF is supported out of the science and research budget and hence, subject to Parliament, will be administered by UKRI through Research England from April 2018.

13. We are working with the British Business Bank to identify possible opportunities for partnering on access to finance for technology transfer collaborations, HEIF allocations and institutional KE strategies.

14. In August 2016, we requested higher education institutions (HEIs) with HEIF allocations in 2016-17 to submit an institutional five-year KE strategy as the basis for their annual HEIF allocations (HEFCE 2016/16<sup>3</sup>).

15. Universities were required to provide strategies including information on their numbers of KE collaborations with other UK HEIs, and also details of their long-term strategy for maximising collaboration with other HEIs to achieve greater efficiency and effectiveness in KE.

16. The Government has now provided additional funding through the Connecting Capability Fund to strengthen collaborative approaches to research commercialisation beyond the plans set out in the institutional KE strategies accepted by HEFCE. We expect HEIs to continue to use their HEIF formula allocations efficiently by pursuing collaborative approaches wherever possible. This places high expectations that the use of the CCF will support activities that exemplify high standards and innovation in KE practice.

## **Objectives of the fund**

17. The objectives of the Connecting Capability Fund are:

- a. To strengthen the contribution of English HEIs to productivity and economic growth and to delivery of the objectives of the Government's Industrial Strategy, by:
- b. Enhancing effectiveness in use of the university knowledge base to deliver commercial and business applications and wider applications for the economy and society, through:
- c. Stimulating strategic collaboration between HEIs across England which:
  - i. Delivers pooling of KE expertise and capabilities so that businesses and other users can access a range of KE offers or critical mass of knowledge.
  - ii. Builds capacity to provide cross-university responses to technological or industrial sectoral or inter-disciplinary challenges, or to regional alignments and challenges.
  - iii. Incentivises sharing of expertise in KE and commercialisation and dissemination of good practice across the HE sector.

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<sup>3</sup> Available at [www.hefce.ac.uk/pubs/year/2016/201616/](http://www.hefce.ac.uk/pubs/year/2016/201616/).

## Method of allocation

### Available funding and overview

18. We intend to address the Government's CCF objectives primarily through competitive project funding, building on established processes from past rounds of HEIF from 2001 to 2008, but there is not enough time to put in place a rigorous competitive approach to the fund for 2017-18. We are therefore allocating the £15 million available in the fund in 2017-18 by formula. All HEIs receiving a 2017-18 main HEIF allocation will receive a 10 per cent addition from the CCF, to be used by the end of March 2018. HEIs will be notified of their additional HEIF allocations from the fund shortly in a separate communication. HEIs are expected to use these funds to further the approaches to collaboration set out in their approved KE strategies, including developing and deepening collaborations that may form the basis for application to the competitive element of the fund.

19. Up to £85 million in revenue funding is now available for allocation through competition for projects to be completed by March 2021. HEFCE will use money that is not allocated to projects for sector-wide developments focused on enhancing collaboration across the HE sector.

20. We believe that universities need at least three years to deliver measurable results from complex collaborations. We are therefore aiming to make CCF awards so that all the supported projects can start to draw down funding from April 2018, and complete by March 2021. This reduces the time we have for selecting projects. We intend to operate through two rounds of bidding, with a first round of bids due by Monday 10 July, operating alongside expressions of interest for a second round to be conducted in the autumn. Expressions of interest for the second round are due by Monday 26 June so that we can plan ahead development events for the outset of that bidding round.

21. We will issue a second round bidding document in the autumn, reflecting advice from the steering group's work to date, together with further information on monitoring and evaluation plans. The second round will also take account of any new priorities emerging from Government in finalising the Industrial Strategy. We may consider then the balance of types of bid, such as between industrial or technological sectors or regions, to explore fully all barriers and enablers to collaboration. The objectives of the CCF will not change, but we may amend details to ensure that we receive bids that are most likely to deliver them.

### Steering and assessment

22. We have appointed a high-level steering group to oversee the conduct of the competitive element of the fund. Its membership and terms of reference may be found at **Annex A**. The group will advise us on overall design of the competition, as well as making recommendations to the HEFCE Board on allocations, supported by experts as needed.

### First round guidance

23. Up to £20 million is available for allocation in the first round.

24. HE collaborations should only submit full bids under the first round if they have well-formed collaborations which they believe fully deliver the objectives of the fund and meet all the guidance and criteria set out in paragraphs 25 to 39. Projects submitted to the first round that are unsuccessful but meet threshold criteria set by the steering group will be carried forward for

reassessment in the second round, but may not be amended. Projects which fail to reach threshold criteria in the first round will not be eligible to be resubmitted in subsequent rounds.

## **Eligibility**

25. All HEFCE-funded HEIs are eligible to participate in bids to the competitive element of the fund, whether or not they currently receive a HEIF formula allocation. However, only HEIs in receipt of a 2017-18 HEIF formula allocation may lead a bid.

26. There is a strong expectation that universities should already have strategies to maximise collaborations. We want the CCF to fund only a relatively few proposals demonstrating high standards and innovation in KE activity and practice. To reduce burden and make the competition manageable in short timescales, we are limiting the numbers of bids that can be submitted. HEIs may only submit one bid as lead institution, and participate in one other bid as a non-lead partner. This applies across both rounds of bidding.

## **Guidance**

27. Bids need to address the objectives of the CCF as set out in paragraph 17, making a significant and demonstrable contribution to delivery of the Government's Industrial Strategy. Collaborations are welcome with a regional focus, or with an interdisciplinary focus, or to address particular industrial sectors, or around particular technologies.

28. Use of the fund must address work on research and innovation functions. Projects substantially focused on teaching-related knowledge exchange are not eligible.

29. It is likely that bids will relate to collaborations that are already strategically important to the partner universities, and should, for example, have been described in institutional KE strategies. Proposals will need to set out how the bid presents genuine additionality beyond the activity already planned using HEIF formula funding. Where a bid focuses on a new collaboration, it will need to explain why this is appropriate, such as addressing a new challenge or opportunity (for example, from the Industrial Strategy). We will want to pay particular attention to the sustainability of new collaborations.

30. Successful projects supported from the CCF will be exceptional, and not just represent a continuation or extension of KE activity that could have been supported from HEIF formula funding. A bid may be exceptional in terms of attempting higher-risk or innovative approaches that might not have been justifiable from formula funds. A bid might also be exceptional in terms of proposing to develop and deliver good practice in KE that could only be achieved in a large-scale collaboration (for example, new ways of sharing specialist technology transfer capacity). We are particularly interested in bids that are exceptional, in terms of unusual partnerships bringing together HEIs with very different institutional and KE capabilities, where there is distinctive potential to share internal capabilities but also to draw in new partners that might otherwise not be attracted to work with HE (for example, cross-disciplinary collaborations).

31. All projects funded from the CCF will need to exemplify good practice in the conduct of KE. Successful bids may be highlighted for their demonstration of good practice during our development of the KE framework.

32. Bids will need to demonstrate why collaboration is essential to address the problem that is the focus of the proposal, and why the particular collaboration proposed will deliver the best solution. Successful bids must promise to deliver insights into good practice in developing and

sustaining collaborative capacity and activity, and this must be of wider HE sector applicability. Bidders should therefore set their proposal in the context of discussion of perceived blockers or enablers to HE-HE collaboration more generally, how the proposed project will deliver insights into addressing such collaboration for the HE sector more generally, and how these insights will be disseminated. The set of projects supported out of the CCF should work towards fully embedding collaboration throughout HE KE. Our evaluation of the projects supported under the fund will focus particularly on the opportunities and lessons learned from projects toward embedding university-university KE collaboration across the HE sector.

33. We wish to support large-scale collaborations that would be unlikely to be supported through formula funding. Bids need to request funding of £3 million or more. We are unlikely to fund bids of over £5 million other than in special circumstances. We are seeking bids of three years' duration, 2018-19 to 2020-21, and will expect some interim results for evaluation in 2020.

34. It is also unlikely that we will support bids of fewer than three HE partners (including the lead institution) as we are looking for substantial collaborations between institutions. There is no upper limit to the numbers of partners in a collaboration, but bidders will need to convince us that a collaboration with a large number of HE partners has the strategic commitment of all, including to its long-term sustainability. The minimum of three HE partners must be UK HE institutions. This minimum may include HE partners from Scotland, Wales and Northern Ireland, though these partners cannot benefit from the HEFCE funding. We expect bids to include non-HE partners (see paragraph 35), but such partners, including research institutes and Catapult centres, cannot be counted towards the minimum three HE partners.

35. We expect bids to demonstrate a significant commitment from external economic partners to the collaboration. We are not setting a required number of external partners or level of funding contribution from them. However, we can only fund KE that makes appropriate use of the research and science budget. A successful bid will need to show leverage from other partners commensurate with benefits for those partners. This might include contributions from businesses or other users, or from local economic bodies. Bids need to demonstrate overall value for money.

36. We will pay very close attention to plans for the sustainability of collaborations. There is no continuation funding available for successful projects, and hence bids need to show how additional connecting capacity will be sustained, either through internal efficiencies delivered to participating universities, or through increased external income. Universities are now experienced in KE collaborations, and we therefore expect a high level of assurance and confidence in bids on sustainability. As well as monitoring and evaluating the fund, we may also track the continuation of collaborations in KE strategies and HEIF formula funding for the longer term. In considering future access to HEIF we will review lessons learnt from these collaborations.

37. We expect bids to build on the participating institutions' institutional and academic capabilities, including reading across to institutional KE strategies submitted for HEIF funding where appropriate. Bids need to demonstrate commitment to the collaboration on the part of senior management in the participating universities. Hence we expect that bids are likely to include institutional commitments to the collaboration through contributions from HEIF formula or other public KE sources, as well as longer-term commitments from these sources to sustain capacity.

38. Bidders wishing to explore finance ideas related to the British Business Bank in the first round should email us at [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk) as soon as possible, so we can provide further information when available. Working with the British Business Bank will be a focus in second round bidding development work.

### **Funding criteria**

39. The following unweighted criteria will be used by the steering group in making recommendations on bids to be supported in the first round:

- a. The bid meets the objectives of the CCF and eligibility within the science and research budget and is likely to make a significant contribution to delivery of the Industrial Strategy, taking account of factors such as regional focus, an interdisciplinary focus, particular industrial sectors, or particular technologies.
- b. The bid is genuinely additional and not substituting for activity already planned: it delivers novel and high-value outcomes on top of strong strategic collaborations already in place, or makes a strong case for a new collaboration that addresses a new opportunity.
- c. The bid is exceptional in terms of risk or innovation or is a good practice development that can only be addressed in a large-scale collaboration. Collaboration between higher education institutions is clearly essential to its delivery. It exemplifies good practice in KE.
- d. The bid is significant in scale – of between £3 million and £5 million over three years' duration (2018-19 to 2020-21), with a minimum of three UK HE partners and led by an HEI that is in receipt of a 2017-18 HEIF formula allocation.
- e. The bid involves an appropriate number and type of other partners to deliver the project effectively, with investments by all partners commensurate with the benefits to be delivered for them, thus representing value for money overall.
- f. The bid offers a convincing account of how the additional connecting capability funded will be sustained in the long term, including clear buy-in to the collaboration from senior management of all the HE partners, close fit with the mission and academic and institutional capabilities of the partners, and significant contributions from the institutions involved.
- g. The bid offers an insightful account of barriers and enablers to HE-HE collaboration in KE, how the project will address these, and plans for evaluation and dissemination that will deliver insights for the HE sector as a whole and timely evidence for future public funding cases.

### **How to submit a first round bid**

40. Universities wishing to apply in the first round should read the guidance and complete the templates at **Annexes B and C** (available to download alongside this document at [www.hefce.ac.uk/pubs/year/2017/201703/](http://www.hefce.ac.uk/pubs/year/2017/201703/)), and send them by email to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk) by **noon on Monday 10 July 2017**.

### **How to submit an expression of interest for second round**

41. Universities wishing to apply for second round development should read the guidance and complete the template at Annex D and send it by email to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk) by noon on

Monday 26 June 2017. We will be providing HEIs expressing interest with opportunities for partnership development and feedback on their outline proposals prior to the call for second round bids in September. HEIs may submit second round bids if they have not gone through our development programme, but they are thereby likely to reduce their chances of success.

## Timetable

April 2017	Publish policy guidance and invitation for first round bids and expressions of interest for second round (this document).
Noon on 26 June 2017	Deadline for expressions of interest for second round.
Noon on Monday 10 July	Deadline for first round bids.
Summer 2017	Meeting of Steering Group. Second round development partnership events and feedback.
September 2017	Second round guidance published.
Autumn 2017	Confirmation of first round awards by the HEFCE Board.
Mid-November 2017	Deadline for second round bids (specific date to be confirmed in September guidance).
Early 2018	Meeting of Steering Group. HEFCE Board confirms all residual awards.
April 2018	All projects starting.

## Monitoring and evaluation

42. We will monitor additional CCF formula through the annual monitoring process used for HEIF more generally. We will provide full details of our approach to monitoring and evaluation of CCF competitive projects as part of the guidance on the second bidding round in September.

## **Annex A: Connecting Capability Fund steering group**

### **Membership**

Professor Trevor McMillan, Vice-Chancellor, University of Keele, and Knowledge Exchange Framework champion (chair)

Professor Norman Apsley OBE, Chief Executive, Catalyst Inc, and Deputy Chair and mentor, Royal Academy of Engineering Enterprise Hub

David Bembo, Acting Director, Research and Innovation Services, Cardiff University, former Chair, Association for University Research and Industry Links, member of the Knowledge Exchange Framework steering group

Claire Brady, Head of Technology Transfer, Edinburgh University

Tomas Coates Ulrichsen, Research Fellow, Centre for Science, Technology and Innovation, Cambridge University, member of the Knowledge Exchange Framework steering group

Professor Johan Hyllner, Chief Scientific Officer, Cell and Gene Therapy Catapult

Professor Philip Jones, former Vice-Chancellor, Sheffield Hallam University

Professor Roy Sandbach, Member of Innovation Board, North East Local Enterprise Partnership

Bob Sorrell, Vice President, Research and Innovation, Formulated Products Technology, BP

David Sweeney, HEFCE Director Research, Education and Knowledge Exchange

Alice Hu Wagner, Managing Director for Strategy, Economics and Markets, British Business Bank

Emma Wakelin, Director of Research and Innovation, Royal College of Art

Carolyn Reeve, Department for Business, Energy and Industrial Strategy (observer)

Alice Frost and Jo Allatt, HEFCE secretaries

### **Terms of reference**

1. The steering group will provide advice to the HEFCE Board (or subject to Parliament to the Research England Council after 1 April 2018) on:
  - a. The overall conduct of the competition for the Connecting Capability Fund (CCF).
  - b. Changes to be made to the fund's guidance and criteria, drawing on the experience of first round bidding and the development work for second round bidding, to deliver fully the Government's and HEFCE's policy priorities and the objectives of the fund.
  - c. The approach to be taken to partnership development, monitoring and evaluation, and any additional enhancement and dissemination activity (such as in the knowledge exchange (KE) framework), to provide evidence that the funding has delivered the objectives of the CCF and to support continuous improvement in higher education (HE) KE.
  - d. The appropriateness of processes for due diligence and confirming awards (such as requesting additional information or setting project-specific terms and conditions).

- e. Any other comments on the successes or challenges of the fund and the influence on overall directions in KE, particularly HE-HE collaborations, in the longer run.
2. The steering group will make recommendations to the HEFCE Board on:
- bids to be supported in the first round
  - bids to be supported in the second round
  - any terms and conditions to be attached to specific projects.

## Annex B: First round bid template and key milestones plan

1. First round bids should be sent, by email only, to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk), by **noon on Monday 10 July 2017**. They must be submitted in the format set out in this annex to be considered for funding.
2. The completed Annex B template should not exceed 20 pages. You should also complete Annex C and the key milestones plan at the end of the template, and attach additional documents, as set out in paragraphs 5 to 6 of this annex.
3. We expect bids to be part of a larger investment package, with additional funding contributions provided by the lead and partner institutions to the project and other partners as appropriate. Other investors and key partners could include businesses, investors, local authorities, local enterprise partnerships or public or third sector organisations.
4. We understand that some documentation will be commercially sensitive. This should be marked clearly in the bid. Some sections of the bid will need to be published as part of providing information on the scheme.
5. The bid should be submitted **as one standalone Word document**, and **Annex C as one standalone excel spreadsheet**. Letters of support from the heads of all HE partners to the bid and a supporting statement or letter from the director of finance at the lead institution should additionally be **attached as a single PDF**. The **key milestones plan** should also be attached.
6. Letters of support from non-HE partners **should not** be submitted at this time. We also **do not** require a full risk register at this time. Following appraisal by expert researchers, additional information may be requested from bidders, which is likely to include letters of support from all partners, and any other key stakeholders, as well as the full risk register. If requested, letters of support should not be generic, but must state as clearly as possible what each partner or stakeholder is contributing towards the project (for example, investment in cash or kind and its value; any conditions on investments; any issues of timing).
7. While each section heading must be retained, explanatory text detailing our requirements may be removed. All sections and tables must be completed in full.
8. Following our decisions, successful bidders may be asked to provide additional information to inform award letters, meet due diligence requirements and provide information for dissemination, monitoring and evaluation.
9. Note that **revisions may be made** to this guidance and template following the conclusion of the first round.

## HEIF Connecting Capability Fund: First round bids

This form should be sent, by email only, to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk), by **noon on Monday 10 July 2017**. The completed Annex B template **should not exceed 20 pages**.

Project information			
Lead institution			
Project title			
Project start date			
Project end date			
Contact for the proposal			
Title and full name			
Position			
Address for correspondence			
Phone			
Email			
Partners			
All other higher education institutions in the partnership			
Other key partners and investors			
Funding and investment			
Total CCF request (revenue only)			£
Total funding from other sources			£
Breakdown of other funding			
Revenue	£	Capital	£
Total project cost	£		
Compliance with state aid and other relevant legislation			
In your opinion, are state aid issues applicable to this project?	<i>Delete or provide further information as appropriate</i>  Yes/No		

**Project description**

*Provide a short description of the project – what problem it is intended to solve and the approach to be taken to address it.*

**Meeting objectives of the Connecting Collaboration Fund**

*Describe how the bid meets the CCF objectives and how it will contribute to delivery of the Government's Industrial Strategy.*

**Rationale for funding**

- *Explain why this collaboration is the appropriate approach to addressing the problem, including the rationale for the partners in the collaboration.*
- *Explain why the bid is exceptional, including how it delivers additionality beyond planned activity (for example, described in the institutions' knowledge exchange (KE) strategies and use of formula Higher Education Innovation Funding if appropriate), which could not be undertaken in absence of this funding and for which no other appropriate source of funding is available.*
- *Make clear links between the balance of strategic priorities and benefits to institutions, other partners and funders, HEFCE and the Government in terms of wider benefit to the higher education sector – and how this relates to the proposed investment mix.*

**Good practice**

- *Give evidence that the project will demonstrate and deliver good practice in KE.*
- *Describe the barriers and enablers to collaborative KE that will be examined in the project, the evidence for identifying these as crucial, and also how the project will deliver results of wider applicability to the higher education sector to address them.*

**Evaluation and dissemination**

- *State how the benefits from the project for the higher education sector will be translated into key dissemination activities.*
- *State the proposed measures, approaches and timings for review. Successful projects may need to make adjustments to fit with our monitoring and evaluation. Note that interim findings will be needed for Spending Review evidence in 2020.*

**Fit with institutional strategy**

- *Describe how this project fits with the partner institutions' missions and plans, particularly in terms of read-across to long-term KE strategies submitted for HEIF allocations (where partner institutions receive HEIF).*
- *Give evidence of senior management buy-in and fit with institutional and academic capabilities.*
- *Give evidence of the partner institutions' track records and commitments to sustainable collaboration*

**Inputs, outputs and outcomes**

*Using the table below detail the key inputs, activities, outputs and outcomes for the project. Include specific targets on an annual basis, (for instance growth in commercialisable outputs such as patents, or financial targets), which are clearly aligned with the HEFCE funding period. Confirm when any baseline measures will be available.*

*This table will be used to draft the success criteria and measures for project monitoring purposes, should the bid be approved for funding.*

<b>Input</b>	<b>Activity</b>	<b>Output</b>	<b>How financed or resourced</b>	<b>Outcomes (short, medium and long term)</b>	<b>Measurable impacts</b>
<i>The resource: for instance, proof of concept funding.</i>	<i>How the resource will be used, for instance to develop new technologies.</i>	<i>What will result from these activities, for instance patents, copyright.</i>	<i>The additional sources of funding for the activity and longer-term sources for sustainability, for instance private sector partner investment.</i>	<i>What outcomes may be delivered by the activities and how these will be evidenced, for instance an agreement with a business to license and hence exploit intellectual property arising.</i>	<i>The impacts that may be delivered and how these might be evidenced, for instance successful deployment of the technology in the market reflected in income from licensing.</i>
<i>[Add additional lines as necessary.]</i>					

**Project risks**

*Identify the top 10 risks to this project, how they will be mitigated and the probability versus impact. (Note that we may ask for submission of a full risk register for the project at a later stage.)*

Risk	Mitigation	Probability and impact

**Accountability and governance**

- *Describe the governance and management structures and arrangements for the project, identifying the project manager accountable for delivery.*
- *State who is ultimately responsible for project delivery and success (for instance, Pro Vice-Chancellor, Vice-Chancellor).*

**Equality and diversity impact assessment**

*Detail the processes that have been or will be undertaken to review the impact of this project relating to equality and diversity and sustainability if appropriate.*

**Confirmation of approval for proposal**

- *Proposals will only be considered if they have appropriate senior support within an institution. We cannot accept bids from individuals.*
- *Attach a supporting statement or letter from the heads of the lead institution and all other higher education partners.*
- *Attach a supporting statement or letter from the director of finance at the lead institution.*

*NB: All letters should be submitted as one PDF document.*

## Key milestones plan

Key milestones based on the template below should be completed and submitted with the CCF first round template. We require a summary of the activities involved in the project, the associated key risks and how these will be mitigated, and how the milestones fit with the project's success criteria, impacts and outcomes.

Target	Key milestone	Key risks	Actions to mitigate risk	Completion date	Outcome
Target 1					
Target 2					
Target 3 (add rows as required)					

## Annex D: Expression of interest template for second round development

This form should be sent, by email only, to [kepolicy@hefce.ac.uk](mailto:kepolicy@hefce.ac.uk), by **noon on Monday 26 June 2017**.

The completed document **should not exceed four sides of A4**.

While each section heading should be retained, any explanatory text detailing our requirements may be removed so as not to impact on the overall length of the document. All sections and tables should be completed in full.

Project information	
Lead institution	
Project title	
Contact for the proposal	
Title and full name	
Position	
Address for correspondence	
Phone	
Email	
Partners	
All other higher education institutions in the partnership	
Other key partners and investors	
Funding and investment	
Likely total CCF request (revenue only)	£
Likely funding from other sources	£

Project overview	
Project title	
Project objective	<p><i>Describe how the project will address the main objectives of the Connecting Capability Fund (CCF). Particularly identify whether the focus is on industrial sector, technology sector, regional or inter-disciplinary opportunities and provide specific details (for instance aerospace, life science, creative industries).</i></p> <p><i>This will help us match your partnership with our partnering development opportunities.</i></p>

<p><b>Partners</b></p>	<p><i>Outline higher education (HE) partners secured, and potential. Identify external partners, secured and potential, including leverage commitments.</i></p> <p><i>Specifically identify whether you think the work of the British Business Bank is relevant to your proposal.</i></p> <p><i>This will help us match your partnership with our partnering development opportunities.</i></p>
<p><b>Why should this project be funded out of the CCF</b></p>	<p><i>Describe how your proposal fits with the objectives of CCF. What evidence is there is that it is exceptional, that collaboration is intrinsic to delivery and that it will exemplify good practice? Is leverage from other partners likely to be secured?</i></p> <p><i>This will help us provide feedback on your proposal.</i></p>
<p><b>Dissemination and results</b></p>	<p><i>What would this project deliver that would lead to a step change in understanding and embedding of HE-HE strategic collaboration? What would this project deliver that would make a significant contribution to delivery of the Industrial Strategy?</i></p> <p><i>This will help us provide feedback on your proposal.</i></p>
<p><b>Other requests</b></p>	<p><i>Are there any other development opportunities that could help you develop your proposal into a full bid?</i></p> <p><i>This will help us consider additional partnering development opportunities.</i></p>
<p><b>Comment on the CCF guidance and criteria</b></p>	<p><i>Provide any other feedback you have on the CCF scheme, guidance and criteria.</i></p> <p><i>We will take this into account in finalising the second round bidding guidance.</i></p>

## List of abbreviations

<b>CCF</b>	Connecting Capability Fund
<b>HE</b>	Higher education
<b>HEFCE</b>	Higher Education Funding Council for England
<b>HEI</b>	Higher education institution
<b>HEIF</b>	Higher Education Innovation Funding
<b>KE</b>	Knowledge exchange
<b>UKRI</b>	UK Research and Innovation