



# Research Funding: Expanding Excellence in England (E3) Fund

**2019-23**

This document describes the policies and methods of allocation for the Expanding Excellence in England Fund 2019-23. It provides guidance on both stages of the competition (expressions of interest and full bid) and invites eligible Higher Education Institutions to submit expressions of interest for the grants on a competitive basis.



Expressions of interest should be emailed to Research England by **noon on 17 July 2018**.

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# Expanding Excellence in England (E3) Fund

<b>To</b>	Heads of Research, Research England funded higher education institutions
<b>Of interest to those responsible for</b>	Senior management, Research, Finance, Heads of Department
<b>Reference</b>	RE-P-2018-01
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<b>Enquiries to</b>	Geoff Hill geoff.hill@re.ukri.org 0117 931 7188

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## Executive summary

### Purpose

1. This document details policies, objectives and methods for the allocation of an additional £75m to expand excellent research through the Expanding Excellence in England (E3) fund. This fund, alongside Quality-Related (QR) funding, will support the strategic expansion of excellent research units and departments in Higher Education Institutes (HEIs) across England. The document calls for expressions of interest (EOI) at this stage. Shortlisted EOIs will later be invited to submit more developed bids for funding.

### Key points

2. The Expanding Excellence in England (E3) fund aims to support the strategic expansion of excellent research units and departments in HEIs across England. In order to expand excellence, E3 focusses only on units and departments where there is demonstrable research excellence already, but limited scale of activity.
3. This is a competitive scheme and £75m is available through the fund to be allocated to each successful unit/department over three years (AY 19/20, 20/21 and 21/22).<sup>1</sup> We are not setting a minimum or maximum threshold for awards. However, we expect to make a maximum of ten awards and will only fund those that demonstrate potential to significantly increase the scale and excellence of research activity within the given department or unit, and have a major impact on national capability within the given discipline/field. Awards will be for the three year period, allowing successful bidders time to scale up activity and build quality. Funding will be primarily resource in nature, although bids that make the case for capital funding as part of the proposal will be considered.
4. Universities will continue to receive their separate quality-related research (QR) resource allocations and their formula research capital (RCIF) allocations. There will be no relationship between the outcomes of this competition and those funding allocations. Nor will there be a relationship between this competition and the 2021 Research Excellence Framework (REF2021). It is the intention of E3, however, to support sustainable improvements in the quality and volume of excellent research

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<sup>1</sup> Funding is indicative and subject to final budget allocations to Research England in the relevant financial years.

at those units and departments awarded funding. We would therefore anticipate that any expansion in capacity where recruitment is involved would take place in year one of funding so that any increase in staff numbers can be accounted for in REF2021 and subsequent QR funding allocations from 2022/23.

5. The funding will be allocated based on a two-stage assessment process, with a gateway criterion at the EOI relating to high research excellence, small size and the capacity to expand (see below for further detail). Bids should be confident that they can demonstrate this and that they will be able to meet the full guidance and criteria for funding, which will be assessed at full bid stage. All bids should have strategic backing at the institution level and we will only accept bids made through the office of the Pro-Vice Chancellor (PVC) for Research (or equivalent).
6. We are now calling for expressions of interest to the fund. We are establishing an expert panel to assess the bids who may call on other expertise as required, and make funding recommendations to the Research England Executive Chair.

### Action required

7. Expressions of interest should be sent, by email only, to [expandingexcellence@re.ukri.org](mailto:expandingexcellence@re.ukri.org) by noon on 17 July 2018.

### Context

8. The UK is a world leader in research. In 2014, the UK represented just 0.9% of global population, 2.7% of R&D expenditure, and 4.1% of researchers, while accounting for 9.9% of downloads, 10.7% of citations and 15.2% of the world's most highly-cited articles. The UK is a well-rounded research nation, with activity (as indicated by article outputs) across all major research fields. Most of the UK's research fields saw an increase in field-weighted citation impact (FWCI) over 2010-2014, with exceptions in some disciplinary areas. However, most fields experienced a reduced share of global articles.<sup>2</sup>
9. The Government's Industrial Strategy sets a number of challenges for Research and Development. The first is to raise public and private sector investment in research and development (R&D) - the Government has committed to raise total investment to 2.4% of GDP by 2027. The second is to improve our ability to turn

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<sup>2</sup> [https://www.elsevier.com/\\_data/assets/pdf\\_file/0018/507321/ELS-BEIS-Web.pdf](https://www.elsevier.com/_data/assets/pdf_file/0018/507321/ELS-BEIS-Web.pdf)

exciting ideas into commercial products and services. The third challenge is to build research and innovation excellence across the UK, fostering the local ecosystems that can support innovation and sustained growth. The fourth and final challenge is to ensure the UK remains a world leader in global science and innovation collaboration.<sup>3</sup>

10. In November 2015 the Government also launched its UK aid strategy.<sup>4</sup> The aid strategy sets out how the Government will meet its commitment to spend 0.7% of Gross National Income as Official Development Assistance (ODA). The Government recognises the role that science can play in addressing the problems faced by developing countries. The Global Challenges Research Fund (GCRF) will draw down £1.5 billion of ODA funding over 2016-2021, to contribute to realising the ambitions of the UK aid strategy and to making progress on the global effort to address the UN Sustainable Development Goals (SDGs). Specifically, the GCRF will significantly increase research capacity and capability in the UK and in developing countries, and excellent research with impact.<sup>5</sup>
11. The 2017 Higher Education and Research Act (HERA) created UK Research and Innovation (UKRI) which brings together the Research Councils, Innovate UK, and formed a new organisation, Research England (RE), which carries forward the former research and knowledge exchange functions of the Higher Education Funding Council for England (HEFCE).<sup>6</sup>
12. Research England oversees UKRI's England-only functions in relation to university research and knowledge exchange. This includes providing grant funding to English universities for research and knowledge exchange activities; developing and implementing the Research Excellence Framework in partnership with the UK Higher Education funding bodies; overseeing the sustainability of the Higher Education research base in England; overseeing the £900 million UK Research Partnership Investment Fund; and the Higher Education Innovation Fund (HEIF).<sup>7</sup>
13. Research England's mission is to create and sustain the conditions for a healthy and dynamic research and knowledge exchange system in English universities. One way in which it will do this is through providing performance-based, institution-

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<sup>3</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/662541/industrial-strategy-white-paper-print-version.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/662541/industrial-strategy-white-paper-print-version.pdf)

<sup>4</sup> <https://www.gov.uk/government/publications/uk-aid-tackling-global-challenges-in-the-national-interest>

<sup>5</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/623825/global-challenges-research-fund-gcrf-strategy.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/623825/global-challenges-research-fund-gcrf-strategy.pdf)

<sup>6</sup> <https://www.legislation.gov.uk/ukpga/2017/29/contents>

<sup>7</sup> <http://re.ukri.org/about-us/our-mission/>

focused funding to deliver excellent research and high-performance knowledge exchange, unlocking potential, generating economic and social impact, and meeting national priorities and global challenges. The E3 fund is one of a range of existing and new policy measures that support Research England in achieving this goal.

14. Since the 1980s allocation of research funding to UK universities has been based on the principle of supporting excellent research wherever it is found. Over this period, there has been a significant increase in the quality and quantity of UK research<sup>8</sup>, and evidence is accumulating on the broad range of positive impacts this research excellence fosters.<sup>9</sup>
15. Research England funds excellent research in English universities through the quality-related funding grant. This is based on both volume and quality of research as assessed periodically through the Research Excellence Framework (and its predecessors). Although funding follows excellence, the result of this policy has been the continued concentration of research excellence and capacity in particular regions of the UK.
16. Analysis of REF2014 results shows that, although, on average, there is an uneven distribution of excellence, there are examples of excellent submissions from all regions. Moreover, there are subject areas where there is excellent research, operating at a limited scale (so called 'pockets of excellence'). It is likely that the regional differences in excellence and research capacity are linked. Research excellence in a region will attract research talent, which in turn contributes to further research excellence. There are also agglomeration effects that encourage clustering. For example, the high density of excellent research universities in London is in itself attractive to researchers, because of the potential to move between institutions relatively easily.
17. While by no means the only barrier, the nature of funding policy may constrain the ability of universities to grow these 'pockets of excellence', meaning valuable opportunities to enhance research performance and the associated benefits may be lost. The E3 fund will target these missed opportunities by supporting the strategic expansion of excellent research units and departments in HEIs across England. This will make an important contribution to enabling the Government's commitment to raise total R&D funding to 2.4% of GDP by 2027, helping to build

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<sup>8</sup> [https://www.elsevier.com/\\_\\_data/assets/pdf\\_file/0018/507321/ELS-BEIS-Web.pdf](https://www.elsevier.com/__data/assets/pdf_file/0018/507321/ELS-BEIS-Web.pdf)

<sup>9</sup> <http://www.hefce.ac.uk/pubs/rereports/Year/2015/analysisREFimpact/>

new capacity to deliver excellent research. In order to expand excellence, E3 focusses on units and departments where there is demonstrable research excellence already, but limited scale of activity and where there is evidence that expansion will have an impact on national research capability.

18. Research England recognises that a diverse academic community can drive excellence in research and innovation.<sup>10,11</sup> UKRI and Research England plan to be ambitious champions for equality, diversity and inclusion (EDI) and support a healthy and high-integrity culture in the research and innovation sector. The E3 fund will support these ambitions by requiring responses to take account of approaches to equality, diversity and inclusion organisationally and within the research area, department or unit in which the work is focussed.

## Objectives of the fund

19. The objectives of the Expanding Excellence Fund (E3) are to:

- Strengthen the contribution of English HEIs to our society, pushing the frontiers of human knowledge, delivering economic impact and creating social impact by supporting our society and others to become enriched, healthier, more resilient and sustainable;
- Build the capacity and quality of research in departments and units within English universities where excellence exists but at a small scale with potential for growth;
- Contribute towards the delivery of government strategy, including the Industrial Strategy, the GCRF strategy and local priorities by supporting sustained improvements in research capacity across England while maintaining the principle of funding excellence wherever it is found;
- Enhance the skills base and build talent in areas of research excellence where there is untapped potential;

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<sup>10</sup> <https://www.ecu.ac.uk/publications/rationale-equality-diversity-vice-chancellors-principals-leading-change/>

<sup>11</sup> <https://www.mckinsey.com/business-functions/organization/our-insights/delivering-through-diversity>

- Stimulate strategic partnerships between HEIs and other organisations outside of Higher Education.

## Method of allocation

### Available funding and overview

20. Up to £25 million in funding per annum is available over three years (academic years 19/20, 20/21 and 2021/22) with a resource/capital ratio of up to 2:1 across the fund as a whole. We are not setting a minimum or maximum threshold for awards, however, we expect to make a maximum of ten awards and will only fund those that demonstrate potential to have a major impact on the scale and excellence of research activity within the given department or unit. Awards will be for the three year period, allowing successful applicants time to scale up activity and build quality. Funding will be primarily resource in nature (although bids that make the case for capital funding as part of the proposal will be considered). Any funds that remain unallocated at the end of the process will be redistributed through mainstream quality-related research funding allocations.
21. We believe that universities need at least three years to build research capacity and quality in small but excellent units and departments and for these to deliver measurable improvements. We are therefore aiming to make E3 awards so that all the supported projects can start to draw down funding from August 2019, and receive final funding allocations by July 2022.
22. Universities will continue to receive their separate QR research resource allocations and their formula RCIF allocations. There will be no relationship between the outcomes of this competition and those funding allocations. Nor will there be a relationship between this competition and the 2021 Research Excellence Framework (REF2021).
23. However, we anticipate that E3 will support sustainable improvements in the quality and volume of excellent research at those units and departments awarded funding. Therefore we further anticipate that any expansion in capacity where recruitment is involved would take place in year one of funding, so that any increase in staff volume can be accounted for in REF2021 and subsequent QR funding allocations from 2022/23.
24. The funding will be allocated based on a two-stage assessment process, with gateway criteria at the EOI stage relating to high research excellence, small size



and the capacity to expand (see below for further detail). Bids should be confident that they can demonstrate this and that they will be able to comply with the full guidance and criteria for funding (paragraphs 27 – 43), which will be assessed at full bid stage. All bids should have strategic backing at the institution level and we will only accept bids made through the office of the PVC for Research (or equivalent).

25. We are now calling for expressions of interest to the fund **by 17 July 2018**.

## Steering and assessment

26. We will appoint an expert panel to undertake the assessment process. Professor Sir Ian Diamond has been appointed to chair this panel. Panel information and terms of reference of the panel may be found at Annex A. The panel will make recommendations on allocations to the Research England Executive Chair with advice from the Council, supported by additional experts as needed.

## Expression of Interest Guidance

27. Up to £75 million is available for allocation over three years (academic years 19/20, 20/21 and 21/22). We are not setting a minimum or maximum threshold for the size of awards. However, we expect to make a maximum of ten awards in total and will only fund those that demonstrate potential to have a major impact on the scale and excellence of research activity within the given department or unit. Awards will be for the three year period, allowing successful bidders time to scale up activity and build quality.

## Eligibility

28. All Research England-funded HEIs are eligible to participate in bids to the competition. Bids should have the strategic support of the HEI leadership and should be submitted through the office of the PVC for Research or equivalent. HEIs should submit no more than a maximum of three bids. We only expect to fund more than one bid per institution under exceptional circumstances. Funding will be primarily resource in nature (although bids that make the case for capital funding as part of the proposal will be considered). If any funds remain unallocated at the end of the competition they will be redistributed through the mainstream QR allocations.

29. HEIs should only submit expressions of interest which they believe have the potential to fully deliver the objectives of the fund and meet all eligibility guidance and criteria as set out in paragraphs 27 to 43. Projects which fail to reach threshold requirements at EOI stage (para 42) will not be invited to submit a full bid.
30. Bids need to address the objectives of E3 as set out in paragraph 19. The primary use of the awards must be expanding research excellence. Alongside this, projects may also address work on delivering impact from research and enhancing skills, particularly where this focuses on building the research talent pipeline and supporting a diverse workforce. Projects substantially focused on undergraduate or postgraduate teaching are not eligible.
31. Bids will relate to small units or departments that can demonstrate an excellent foundation of research, with potential to build further excellence in a sustainable manner. Owing to the diverse nature of the sector the broad disciplinary scope of this fund, a singular definition of 'small' is impractical. However, the panel will be robust in assessing this criteria in the context of the institution and the discipline area, and will seek expert advice where necessary.<sup>12</sup> It will be incumbent upon the submitting (lead) institution to describe why their unit/department(s) may be regarded as 'small' within the context of the sector and discipline. While useful, the outcomes of REF2014 will not be used as the sole indicator, and all bids will need to present evidence of research excellence and potential for growth beyond the REF2014 assessment.
32. Successful projects will need to present a credible plan for expanding excellence in a sustainable way. Funding is for three years only so HEIs must clearly articulate plans for securing further funding streams over the three year period and ensuring that expansions are sustained over the long-term. Additional staff should be appointed early in the funding process (year one) in order to sufficiently build capacity over the remaining funding period. This will ensure that any expansion is reflected in staff volume figures on the 31 July 2020 REF staff census date. The new REF rules also mitigate against any expansion having a detrimental impact on the overall REF quality profile because a minimum of one REF output is required per staff member. We would anticipate that researchers recruited by an expanding,

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<sup>12</sup> While the appointed expert panel will be representative of STEM and AHSS, we recognise that further expertise may be required in some areas, this could include individuals from other UKRI councils.

but already excellent unit would have at least one output available for submission to the REF.

33. Bids will need to demonstrate the scale and distinctiveness of the opportunity and clearly articulate how they provide a unique contribution to the research base, and align with the objectives of the fund (paragraph 19). Proposals will need to set out how the funding would generate genuine additional activity beyond that which is already funded through QR, GCRF or other existing sources. Where a bid focuses on a new direction in research activity, it will need to explain why this is appropriate, such as addressing a new challenge or opportunity (for example, from the Industrial Strategy, GCRF). Multidisciplinary bids are welcome where they can demonstrate the scale and distinctiveness of the opportunity. If a collaborative HEI bid is being submitted, the lead institution must explain why this is necessary in an English context and how the collaboration would lead to research activity of greater value than that which is already underway in the individual institutions. In evaluating the distinctiveness of the research presented, the panel may seek further expert advice to inform decisions.
34. Successful projects supported from the E3 will be exceptional, and not just represent a continuation or extension of research activity that could have been supported from QR and other existing sources of funding. A bid may be exceptional in terms of attempting higher-risk or innovative approaches that might not have been justifiable from institutional formula funds, because it supports activity that fits with new emerging national/international priorities, or because it contributes to the discipline in a unique manner. A bid might also be exceptional in terms of proposing an expansion of research excellence, quality and impact generation that could only be achieved through partnerships with organisations outside of higher education or through collaborations with other universities.
35. Bids will need to have a strategic commitment from the HEI, including the commitment of internal financial resource, commensurate with the scale of the institution. They will need to demonstrate how the expansion fits with the HEI's overall research strategy, but also justify why expansion cannot be supported by the HEI and therefore why the E3 funding would deliver an additional benefit. The panel will closely scrutinise bids from those institutions already in receipt of significant levels of research funding (particularly from Research England).
36. Bids will need to set out how they align with national policy, in particular the UK Industrial Strategy or the GCRF strategy, or how they fit with local strategic priorities. This might include describing how the units/departments plan to expand

opportunities to work with Local Enterprise Partnerships (LEPs) or business clusters.

37. Proposals should clearly describe plans for expanding capacity. This could include plans for supporting the development of new research talent, such as postgraduate research students and early career researchers, or research technical professionals and those moving into research from other professions/industrial backgrounds. Where plans envisage expanding staff numbers, bids should reflect on their institutional strategy and practices in equality, diversity and inclusion in researcher careers and commitment to address the wider challenges and opportunities specific to the research area, unit or department. Proposals might also address key skills gaps, particularly those identified in the Industrial Strategy.
38. Collaborative bids which bring together collective capability are welcome. A lead institution will need to clearly articulate any plans to collaborate with other UK HEIs or to develop partnerships with organisations outside of HE (Business, Public, Third or Cultural Sectors) and the value that these partnerships will bring to the research activity. Any co-funding arrangements and the nature of these relationships should be described. While not essential, these are encouraged. At the full bid stage the lead institution will be required to clearly outline the governance structure relating to the collaboration.
39. We wish to support expansions that would be unlikely to be supported through formula funding. Bids need to set out and justify the level of funding requested. We do not propose setting a threshold for funding but would anticipate funding a maximum of ten awards. Where the funding request appears high in relation to the proposed activity, the panel may choose to recommend a lower award.
40. It is also unlikely that we will support more than one bid from a single HEI. Where more than one bid is submitted, there will need to be a clear narrative as to why the multiple areas are of equal strategic importance and why a sustained expansion cannot be supported by the HEI without E3 funding in each case. This narrative must be provided by the PVC Research (or equivalent) in the supporting letter at EOI and full bid stage.
41. We will pay very close attention to plans for the sustainability of the expansions. There is no continuation funding available for successful projects, and hence bids need to show how additional capacity will be sustained, either through internal efficiencies or through increased external income. As well as monitoring and evaluating the fund, we may also track the continuation of research at increased

volume and quality over the longer term using the REF and other measures. In considering future rounds of E3 funding we will review lessons learnt and outcomes from this competition.

## Funding criteria

### Gateway criterion (Expression of Interest stage)

42. At EOI stage, in accordance with the eligibility guidance set out in paragraphs 27-41, HEIs must provide evidence that:

- a. They have a small, excellent unit where there is potential to grow excellence;
- b. That the scale and distinctiveness of the opportunity for expansion would make a unique contribution to the English research base.

### Selection criteria (Full Bid stage)

43. In accordance with the eligibility guidance set out in paragraphs 27-41, the following criteria will be used by the panel at full bid stage in making recommendations on bids to be supported. While the criteria will not be weighted, they will be prioritised as follows:

#### *High priority:*

- a. A credible plan for expanding excellence in a sustainable way;
- b. Strategic commitment from the HEI, including the commitment of internal financial resource, commensurate with the scale of the institution;
- c. Scale and distinctiveness of opportunity, including potential impact on national capability.

#### *Medium priority:*

- d. Alignment with either the UK Industrial Strategy or the GCRF strategy;

- e. Partnerships with organisations outside of higher education (Business, Public, Third or Cultural Sectors). While not essential, cofounding arrangements with partners are encouraged.

*Lower priority:*

- f. Alignment with local strategic priorities, for example, via LEPs or business clusters;
- g. Collaboration with other UK HEIs, as appropriate.

## Monitoring and evaluation

- 44. Research England will monitor the progress of successful E3 projects. Institutions will be expected to provide information on the progress of their expansion in the unit or department awarded funding. At full bid stage, proposals will need to identify a key set of indicators against which performance will be measured. These will need to measure improvements in both research capacity and quality in line with the overall objectives of the E3 fund and the specific objectives of each individual project. Research England will work with the expert panel to develop further guidance on monitoring and evaluation, which will be shared with shortlisted bidders on invitation to submit a full bid.
- 45. By submitting an application at either the expression of interest or full bid stage, institutions agree that any information relating to their bid (both successful and unsuccessful bids) may be used in future evaluation exercises.
- 46. Successful institutions may be audited by Research England, or an organisation commissioned by Research England, at any stage, to ensure funds are being used in accordance with the terms and conditions of grant. Each host institution will also be required to submit a final evaluative report at the end of the funding period.

## How to submit an Expression of Interest

- 47. Universities wishing to apply should read the guidance and complete the templates at **Annex B** and send them by email to [expandingexcellence@re.ukri.org](mailto:expandingexcellence@re.ukri.org) by **noon on 17 July 2018**.

Shortlisted HEIs will be invited to submit full bids in September/October 2018 for submission in January 2019.

## Timetable

<b>April 2018</b>	Publish policy guidance and invitation for expressions of interest (this document).
<b>17 July 2018</b>	Deadline for expressions of interest.
<b>September/October 2018</b>	Assessment of bids and meeting of expert panel.
<b>September/October 2018</b>	Confirmation of shortlisted proposals by Research England Executive Chair. Full bid templates and further guidance published.
<b>January 2019</b>	Deadline for full bids (specific date to be confirmed in September guidance).
<b>February 2019</b>	Meeting of expert panel.
<b>March 2019</b>	Research England Council confirms awards.
<b>August 2019</b>	Funding period begins.
<b>2021/2022</b>	Evaluation of units awarded funding
<b>Beyond 2022/23</b>	Outcomes of evaluation inform future rounds of the competition.

# Annex A: Terms of Reference for the Expanding Excellence in England (E3) Fund Expert Panel

## Membership

Chair: Prof Ian Diamond

Panel: TBC

## Terms of reference

1. The expert panel will make recommendations to the Research England Executive Chair on:
  - a. Bids to be supported in the first round of the competition;
  - b. Bids to be supported in any future rounds of the competition;
  - c. Any terms and conditions to be attached to specific projects.
2. The expert panel will provide advice to the Research England Executive Chair on:
  - a. The overall conduct of the competition for the Expanding Excellence in England (E3) Fund;
  - b. The approach to be taken to monitoring and evaluation to provide evidence that the funding has delivered the objectives of E3 and to support any case for future rounds of the competition;
  - c. Changes to be made to the fund's guidance and criteria, drawing on the experience of the first round, to deliver fully the Government's and Research England's policy priorities and the objectives of the fund should future rounds of the competition be taken forward;
  - 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 research policy in the long term.



## Annex B: Research England 2018/ Expanding Excellence in England Fund: 2019-20 Expression of Interest Template

Please complete this template and submit it to [expandingexcellence@re.ukri.org](mailto:expandingexcellence@re.ukri.org) by **noon 17 July 2018**. Documents must be submitted as follows:

- a. Proposals should take the form of a single PDF document covering the submission and any evidence to support the case. This should include supporting letters from your Pro-Vice Chancellor of Research (or equivalent) and any HEI collaborative partner in the case of a bid from several institutions. If your institution is submitting more than one bid, the PVC supporting letter should include a clear narrative as to why this is the case.
- b. Proposals should be predominately text-based. You should use Arial font and text should be no smaller than font size 10. At this stage, the application should be maximum of five A4 pages (not including this page or letters of support), and the total size of the document should be no greater than 1MB. Please do not alter the page margins.

Please refer to the notes contained within this template (these are meant as guidance only) as well as the eligibility criteria for assessing expressions of interest as outlined in the guidance document RE-P-2018-01.

<b>Institution leading the proposal:</b>
<b>Host Department/Faculty:</b>
<b>Subject/discipline area(s)/REF Unit of assessment (UOA):</b>
<b>Total Expanding Excellence in England (E3) funding requested (£m - over three years):</b> Please provide a breakdown of: Total resource (£m): Total capital (£m) (if required):
<b>Contact Details</b> Title and full name: Post: Address for correspondence:  Phone: Email:
<b>Partner HEI(s) and department(s) (where applicable):</b>

**Section 1: The current context**Size and nature of unit

- Provide an outline of your unit, its size and how it can be regarded as 'small' within the context of the discipline.
- Please discuss any existing plans for expansion with regard to staff numbers and their position (Post-Doc, PhD, Technician, Lecturer etc.)
- Please give a brief overview of your existing activity and your main sources of funding.

Research Excellence

- Demonstrate how your current research output may be regarded as excellent within the context of the discipline.
- Describe the distinctiveness of the research that you undertake and/or plan to undertake and the contribution it makes/would make to the English research base.

**Section 2: Future plans: Funding proposal**Expansion plans:

- Note how much money will you be bidding for and the mix of resource or capital.
- State the key objectives of your expansion plans and explain how these align with the objectives of the fund.
- Clearly describe how you would spend these funds and how these align with your plans for expansion. Please give an indicative timetable of how you would spend the funds across the three academic years.
- Please explain what makes this proposal distinctive and why the opportunity for expansion would make a unique contribution to the English research base?

Collaboration (if applicable)

- Outline any potential collaborations that form part of this proposal.
- If this is a joint/collaborative bid with other HEIs, clearly describe what role each HEI would play and how funds would be spent across the collaboration.
- Is this collaboration a source of additional funding?
- Describe the role of any partner HEIs (and relevant departments) mentioned in your bid and how this collaboration represents a unique opportunity (include letters of support from partner institutions).

**Section 3: Indicative funding request and use of funds**

Up to £25 million in funding per annum is available over three years (AY 19/20, 20/21 and 2021/22) with a maximum resource/capital ratio of 2:1 across the fund as a whole. We are not setting a minimum or maximum threshold for awards but do not expect to fund more than 10 proposals.

Academic year of funding	Amount and type of funding (£m)		Details (briefly list what funds will be spent on)	Total amount in year (£m)
	Resource	Capital		
2019/20				
2020/21				
2021/22				
<b>Totals (resource/capital) (£m)</b>			<b>Total funding request across 3 years (£m)</b>	

#### **Section 4: Sustainability**

- Describe the plans you will put in place to ensure that any expansion is financially sustainable over the long term.

**Section 5: Institutional commitment**

- What level of institutional support (in particular financial) is there for this proposal?
- Please explain why the institution has not supported an expansion using its own resources?

## Annex C: List of Abbreviations

<b>AY</b>	Academic Year
<b>EDI</b>	Equality Diversity and Inclusion
<b>E3</b>	Expanding Excellence in England
<b>EOI</b>	Expression of Interest
<b>GCRF</b>	Global Challenges Research Fund
<b>HEFCE</b>	(the former) Higher Education and Funding Council of England
<b>HERA</b>	Higher Education and Research Act 2017
<b>HEI</b>	Higher Education Institute
<b>LEP</b>	Local Enterprise Partnership
<b>ODA</b>	Official Development Assistance
<b>PVC</b>	Pro-Vice Chancellor
<b>QR</b>	Quality Related
<b>RCIF</b>	Research Capital Investment Fund
<b>REF</b>	Research Excellence Framework
<b>SDG</b>	Sustainable Development Goals
<b>UKRI</b>	United Kingdom Research and Innovation