



Research
England

To Heads of Universities leading existing CCF projects

31 July 2020

Dear [VC/Principal name]

Follow on funding for wave 1 Connecting Capability Fund projects

Introduction

1. This letter invites applications from lead universities for Connecting Capability Fund (CCF) wave 1 projects for follow-on funding. This is a competitive application process.
2. The Government asked us in our most recent [grant letter](#) to start preparations for CCF wave 2, particularly focussed on progressing speedily the competition for wave 1 follow on funding, although details of the budget for wave 2 have not yet been announced. We want to ensure that any follow-on funding awarded can dovetail into the end of currently confirmed wave 1 budgets. We have therefore prioritised setting in train the process for the follow-on funding competition in advance of knowing the budget and therefore likely success rates.
3. Subject to Spending Review outcomes, we expect to fund both new awards and follow-on funding for selected wave 1 projects in wave 2. This reflects our view from CCF evidence to date that we should support a more flexible portfolio of 3 to 5 year projects with different project lengths appropriate to different commercialisation challenges. The process to award follow-on funding will be very selective (to provide headroom for new awards) and bidders are required to provide strong justification for any additional funds requested.
4. We will be inviting bids for new wave 2 awards in early 2021. We will issue new guidance for that competition which may vary from both the [original wave 1 guidance](#) and from this follow-on competition, reflecting new Government priorities such as from implementation of the R&D roadmap. Participation in wave 1 projects and the award of follow-on funding will not exclude any university from bidding for wave 2 projects.



Bid invitation

5. I wrote to you [VC/Principal name] on [date] confirming that the partnership led by [university of x] was successfully awarded funding of £[zzz] to deliver the [project name] project between 2018 - 2021. You are now eligible to bid for follow-on funding for that successful partnership, and as lead institution for your project, you are responsible for informing your partners of this opportunity..
6. If your partnership wishes to apply, please refer to the original CCF guidance which can be found here <https://re.ukri.org/funding/our-funds-overview/the-connecting-capability-fund-ccf/> and additional/changed requirements specifically for follow on funding in paragraph 9 and complete the templates at Annexes A and B of this letter and send them by email to kepolicy@re.ukri.org by noon on 24th September 2020. CCF remains focussed on collaboration between universities for commercialisation and working with business.
7. Applications may be for one, or in exceptional cases two, year extensions to projects that can make a strong case for further support against the following criteria:
 - a. **Results:** Important additional results can be delivered that could not reasonably have been achieved within three years, and which will deliver key Government priorities and valuable sector-wide good practices;
 - b. **Activities:** Through ambitious additional activities (and not just continuation of existing work).
 - c. **Track record:** Follow-on activity clearly builds on the foundations of a successful project and partnership which has delivered to date against its original ambitions. Follow-on funding should not be used to extend activity to achieve original success criteria (we will take into account where any unmet targets are solely due to Covid19 lockdown). The partnership has sustainability plans at the end of the initial wave 1 award already in place.
 - d. **Value for money:** The bid represents value for money, including having a clear and robust plan to deliver and to sustain additional activity beyond end of the follow-on award.
8. The following are examples of activities that may be appropriate for follow on proposals:
 - a. Extending activity toward more ambitious outcomes (e.g. a larger or more ambitious business or investor partnership, such as overseas, into a related industrial or technology sector or at larger scale)
 - b. Expanding collaborations to create wider effects (e.g. adding significant additional partners; amalgamations of wave 1 projects to align a common focus nationally or internationally; adding another or wider geographical focus)

- c. Adding activities which realise further potential from the original CCF project scope (such as adding an access to finance element or incubation and acceleration to a technology partnership).
9. The following requirements are specific to this follow-on funding competition:
 - a. We expect universities to build on the partners currently delivering the project, but there can be some changes, particularly additions (including additional UK higher education providers) to engage and disseminate good practices more widely.
 - b. In most cases we would expect the original lead university to remain the lead, however if a compelling case to change the lead institution is submitted, this will be considered.
 - c. Bids for follow-on funding can be submitted by two or more CCF projects seeking to merge, in which case one of the lead institutions will need to step down and become a partner, as joint leadership applications cannot be accepted.
 - d. Universities can be a partner in as many CCF projects seeking follow on funding as their own capacity to engage and deliver allows, but a university can still only lead one follow-on project.
10. We expect follow-on funding awards to be at similar levels per annum as the final year of wave 1 expenditures (between £1-2million per annum). The amount of funding requested should though reflect the needs of the project, including appropriate levels for merged projects. We expect awards for 2-year extensions to be rare and will need exceptional justification.
11. In response to the disruption caused by Covid-19, we have already provided guidance to current CCF projects to offer additional time to complete projects. As a result, the final completion date for wave 1 projects has moved from the end of March 2021 to the end of June 2021. We are aware that not all activities have been delayed in equal measure and some projects may wish to draw down follow-on funding earlier than July. The bid template asks you to confirm when you wish to start to draw down follow on funds, which can be any time between 1 April 2021 and 1 July 2021.
12. Information submitted in bids for follow-on funding will be used in policy and spending review cases and may be published.
13. Research England is subject to the Freedom of Information Act 2000, which gives a public right of access to information held by a public authority. This may result in applications, communications between us and the provider, information arising from this work, or the outputs from the work undertaken being subject to disclosure if a valid request is made to us. We will comply with such requests in accordance with the legislation and UKRI's own policies.
14. Providers can, if they wish, provide potentially sensitive information (such as information relating to commercial interests) in a separate annex attached to the application form. This will highlight to us that there are concerns about disclosure. The applicant acknowledges that information provided in

the annex is of indicative value only, and that Research England may nevertheless be obliged to disclose this information. Our assumption will be that all information in the main application documents can be disclosed on request.

15. Further information about the Freedom of Information Act is available at www.ico.org.uk.

Awards

16. We expect to announce decisions before end of 2021, following assessment and recommendations by an assessment panel made up of selected members of the CCF wave 1 selection group: Annex C. Exact timing will depend on Government expenditure planning. Even if we cannot confirm funding, we aim to inform you as soon as possible if you are recommended for follow-on funding, to help you manage your wave 1 project and prepare for wave 2 applications.

17. If you have any questions please contact Jo Allatt: jo.allatt@re.ukri.org, tel: 0117 9317133.

Yours sincerely

David Sweeney

Executive Chair

Copied to CCF project lead [name of project lead]



Annex A: Application for CCF wave 1 follow on funding

CCF wave 1 project lead institutions who wish to apply for follow on funding should complete this template and that at Annex B and send both by email to kepolicy@re.ukri.org by noon on Thursday 24th September 2020.

If you are bidding for follow on funding for merged CCF projects, then word limits can be increased by number of projects in the merger.

We are not asking you to submit letters of support, but we may request these as part of due diligence at the awards stage (for example, if there is significant additional leverage from a new partners).

Name of existing CCF project	
Please state here if you wish to change the name of the project	
Lead institution	
Please state here if you wish to propose a new lead institution	
Lead contact - name and job title	
Lead contact - email address	
Lead contact – telephone number	
Total amount of follow on funding requested per annum <small>(we will only seek detailed financial profiles from projects recommended for funding)</small>	Year one: Year two*: <small>(*delete if not applicable)</small>
Requested start date for follow-on funding	April/May/June/July* 2021 <small>(*delete as applicable)</small>
Have you received authorisation/confirmation from the head of the lead institution to proceed with this application?	<small>(Please state name and position of the person authorising this bid)</small>



- 1) Please provide a **summary** of your original bid/project. If you are amalgamating two projects, please summarise both (max 500 words per project).

- 2) **Track record:** Please outline what you have achieved in your existing project(s), including against the success criteria for the award and sustainability planning (max 1000 words)

- 3) **Results/activities:**
 - a) Please explain the additional results that will be achieved with follow-on funding, including why these could not have been achieved with three years support. You should link these additional results to key Government priorities (such as in the R&D roadmap) and opportunities to produce important HE sector good practice. (max 1,000 words)

 - b) Please also detail the additional activities that are proposed to deliver these outcomes, giving evidence that these are ambitious and not just continuations of existing work. (max 1,500 words)

Across 3 a) and b), you should link your response with your answer to 1 (track record) i.e. show that your activity and results build on the success of the project/partnership to date. Specify any changes/additional partners, both HE and other partners, and detail leverage and other contributions. Describe new/changed dissemination and evaluation.

- 4) **Value for money:**
 - a) Please complete template at **Annex B**. This plan should link closely to any existing success criteria that will continue to be relevant for follow-on funding but also include activities and outputs that you will be able to report against as new measure of success (max. 4 pages).

 - b) Comment here on evidence of the overall value for money represented in follow on support for this project, including new sustainability plans. (max 250 words)

- 5) Please detail any **changes or additions to the original bid** that will apply in the follow-on fund period (you do not need to restate details from original bid if these are unchanged) for the following areas – state aids handling, fit with institutional strategy, risk register, accountability and governance, equality diversity and impact. (max 250 words)



Annex B: Template for CCF wave 1 follow on funding Project Plan (Inputs, outputs and outcomes)

Please complete this annex and submit with annex A – details on submission in annex A.

Using the table below detail the key inputs, activities, outputs and outcomes for the follow-on 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 Research England 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.

Input	Activity	Output	How financed or resourced	Outcomes (short, medium and long term)	Measurable impacts	Timescales
<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 terms sources for sustainability, for instance private sector partner investment.</i>	<i>What outcomes may be delivered by the activities and how will these 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>Outline the timescales for delivering the activities and expected timing for outputs and impacts.</i>
<i>[Add additional lines as necessary.]</i>						



Annex C: CCF wave 1 follow on funding assessment panel membership

Professor Trevor McMillan, Vice-Chancellor, University of Keele, and Research England KE champion (Chair of assessment panel)

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

David Bembo, Director, Research and Innovation Services, Cardiff University, former Chair, Association for University Research and Industry Links

Claire Brady, Northern Alliance Network Programme Manager for the Advance Therapy Treatments Centres (part of Cell and Gene Therapy catapult)

Tomas Coates Ulrichsen, Research Fellow, Centre for Science, Technology and Innovation, Cambridge University

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

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

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

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