

Expanding Excellence in England (E3) Fund 2019-22

Annex B: Information on Resource and Capital Spending Strategies

Please complete this annex and include with the bid as outlined in the guidance document (RE-P-2018-06).

| |
|--------------------------|
| Institution name: |
| Unit title: |

1. Please confirm whether an option appraisal has been undertaken for this expansion. This should compare the costs and benefits of the expansion with doing nothing, and show that the project produces a net present value (NPV) which is more favourable than the do-nothing option. You may be asked to provide the detailed appraisal by the panel at any time.

| | Undertaken [Yes/No] | Positive NPV [Yes/No] | More favourable than doing nothing [Yes/No] |
|-------------------------|------------------------|--------------------------|--|
| Option appraisal | | | |

Coherence with Institutional Strategies

2. Set out below relevant extracts from relevant strategies, with references indicating which documents they have been taken from, that demonstrate that the expansion is consistent with institutional planning, particularly in its links with research strategies. Where the project has not previously been referred to in institutional strategy documents but is desirable because of an unexpected set of circumstances, please demonstrate that the expansion is in keeping with the strategic direction of the institution.

| |
|----------------------------|
| <i>(maximum 250 words)</i> |
|----------------------------|

Resource Spending Strategy

Recruitment

3. In the first table (a) below please provide details below of the unit's current staff numbers (2018-19), the recruitment proposed through E3 (2019-22), and indicative figures for expected/projected staff numbers in the three years after E3 funding stops (2022-25). Please provide all figures as both FTE and Headcount except for PhD studentships, where you should just record total number (PT or FT) starting in each year. Where the bid includes material collaboration between two or more HEIs, please separate staff numbers and indicate the HEI using superscripted notation (and a key below table). In table (b) please provide details of any staff changes planned prior to the announcement of E3 for the years 2019-22 (including partner institutions as outlined above).

| (a) Staffing with E3 Funding* | | 2018-19 | 2019-20 | 2020-21 | 2021-22 | 2022-23 | 2023-24 | 2024-25 |
|---|------------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| Head / Director(s) (if applicable) (HESA E1/E2 [†]) | <i>FTE</i> | | | | | | | |
| | <i>Headcount</i> | | | | | | | |
| Professors (HESA F1) | <i>FTE</i> | | | | | | | |
| | <i>Headcount</i> | | | | | | | |
| Senior Academics (HESA I0/J0) | <i>FTE</i> | | | | | | | |
| | <i>Headcount</i> | | | | | | | |
| Early Career Researchers ¹ (HESA L0/K0) | <i>FTE</i> | | | | | | | |
| | <i>Headcount</i> | | | | | | | |
| Fellows (HESA I0/J0/K0) | <i>FTE</i> | | | | | | | |
| | <i>Headcount</i> | | | | | | | |
| PDRA's (HESA L0) | <i>FTE</i> | | | | | | | |
| | <i>Headcount</i> | | | | | | | |
| Technical Staff (HESA J0/K0/L0) | <i>FTE</i> | | | | | | | |
| | <i>Headcount</i> | | | | | | | |
| Professional Services (HESA I0/J0 /K0/L0/M0) | <i>FTE</i> | | | | | | | |
| | <i>Headcount</i> | | | | | | | |
| PhD Studentships | | | | | | | | |

*Please note the data provided in the table above should be reflected upon in the milestones, KPI and risk management section of your Item 1 submission, and will be monitored as part of the conditions of grant.

[†]These codes are used in the HESA Staff Record submissions: https://www.hesa.ac.uk/collection/c17025/combined_levels. Research England has formally gained permission to use these, copyright for which lies with UCEA and its commercial partner XperTHR.

¹ Definition of an ECR follows the spirit of the REF guidelines, in that: ECRs are defined as members of staff who meet the definition of Category A and who started their careers as independent researchers on or after 1 August 2015.

| (b) Staffing without E3 Funding | | 2019-20 | 2020-21 | 2021-22 |
|--|------------------|----------------|----------------|----------------|
| Unit Head / Director (if applicable) HESA E1/E2) | <i>FTE</i> | | | |
| | <i>Headcount</i> | | | |
| Professors (HESA F1) | <i>FTE</i> | | | |
| | <i>Headcount</i> | | | |
| Senior Academics (HESA I0/J0) | <i>FTE</i> | | | |
| | <i>Headcount</i> | | | |
| Early Career Researchers (HESA L0/K0) | <i>FTE</i> | | | |
| | <i>Headcount</i> | | | |
| Fellows (HESA I0/J0/ K0) | <i>FTE</i> | | | |
| | <i>Headcount</i> | | | |
| PDRA's (HESA L0) | <i>FTE</i> | | | |
| | <i>Headcount</i> | | | |
| Technical Staff (HESA J0/K0 /L0) | <i>FTE</i> | | | |
| | <i>Headcount</i> | | | |
| Professional Services (HESA I0/J0 /K0/L0/M0) | <i>FTE</i> | | | |
| | <i>Headcount</i> | | | |
| PhD Studentships | | | | |

4. In the box below provide extracts from your relevant recruitment strategy that reference considerations of equality, diversity and inclusion. Indicate which documents the extracts reference.

(maximum 250 words)

5. Set out below, in general terms, in reference to protected characteristics and socio-economic background (without discussing or otherwise identifying individuals), your understanding of the diversity profile of the unit as it is currently constituted, and within the school/department as a whole.

(maximum 250 words)

6. Set out below your understanding, in reference to protected characteristics and socio-economic background, any issues or challenges faced within the discipline area(s) with regard to equality, diversity and inclusion (EDI).

(maximum 250 words)

7. Set out below the strategies to be used within the recruitment period to address any issues and challenges as highlighted in your responses to Questions six and seven, and how these align with, or go beyond, the institutional strategy as set out in your response to Question Five. What EDI recruitment goals are being set to demonstrate the success of these strategies?

(maximum 500 words)

8. Please describe the nature of the contracts that academic staff recruited into the Unit during the E3 funding period will be recruited onto. This could include (but is not limited to) details of expected balance between research and teaching time, and the nature of open and fixed term contracts.

(maximum 250 words)

Researcher Career Development

9. Please describe the relevant strategies to develop the careers of all staff (academic, technical, and professional) but particularly early career researchers (ECRs), pertinent to this bid. How will staff recruited via E3 benefit through these strategies?

(maximum 500 words)

10. With regard to PhD students, what stipends will be provided to the students and how long will they be supported for? Would any PhD students be mandated to teach, and if so on what basis? Where a significant increase in the PhD cohort is proposed, broadly set out what supportive infrastructure will be provided at the institutional level.

(maximum 250 words)

Capital Spending Strategy

For Expansions involving building work / refurbishment

Complete the following questions for expansions that require new building work or refurbishment of existing property.

11. Please provide the names and locations of building(s) where appropriate (map images can be included).

(maximum 50 words)

12. Please provide a description of the works.

(maximum 300 words)

| | |
|---|--|
| Estimated project start date | |
| Estimated completion date | |
| *Where a new building is proposed: Current Royal Institute of British Architects plan of work stage | |
| *Where a new building is proposed: Intended Building Research Establishment Environmental Assessment Method rating | |

13. To assess the value for money delivered by any building project, we would like a breakdown and analysis of the estimated costs.

| Element | New build cost (£) | Refurbishment cost (£) |
|--|--------------------|------------------------|
| Internal works | | |
| Internal services | | |
| External works | | |
| External services | | |
| Enabling works | | |
| Total (excluding contingencies) | | |
| Contingencies | | |
| Total building cost | | |
| Other specialist works (please list) | | |
| | | |
| VAT | | |
| Professional fees (inc VAT) | | |
| Fitting out (inc VAT) | | |
| Any allowance for increased costs between the bid and the awarding of the contract | | |
| Total project cost | | |
| Gross floor area (m ²) | | |
| Net floor area (m ²) | | |
| Number of storeys | | |
| Geographical location of the project | | |

At prices current on _____ (state date).

14. Please list and quantify any special factors that will affect construction costs or the timetable for delivery, such as site conditions, restricted access, town planning constraints and special requirements.

(maximum 150 words)

15. Please quantify any net increase in the higher education institution's (HEI's) floor area and explain any impact on the HEI's 2020 carbon reduction target. Provide justification for any increase in net floor area and overall carbon emissions.

(maximum 300 words)

16. Please confirm that due regard has been paid to achieving a sustainable building. Describe in outline the measures taken to achieve this.

(maximum 200 words)

For projects involving equipment purchase

17. Complete the following for projects that involve equipment purchases. If any equipment is a significant component of the bid (which should be discussed fully in your Item 1 submission), describe the key elements or components and the expected lifetime of the equipment, and indicate any special procurement considerations. Add more boxes if needed.

| | |
|-----------------------------|---|
| Total equipment cost | £ |
|-----------------------------|---|

| Any major items of equipment | Description | Cost (£) | Any special procurement considerations for this item? |
|-------------------------------------|--------------------|-----------------|--|
| | | | |
| | | | |

Procurement of building works / equipment

18. Please describe below the procurement processes used to secure best value over the life of the project. This should include competitive tendering (institutions are reminded that they are required to comply with EU procurement rules) and whole-life costing.

(maximum 200 words)