

HEFCE 01/11

Respond by 31 May 2001

February

Invitation

Science Research Investment Fund

Invitation to apply for funding

Science Research Investment Fund – invitation to apply for funding

To	Heads of HEFCE-funded higher education institutions
Of interest to those responsible for	Research, Finance, Planning
Reference	01/11
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Enquiries to	Amy Hayward, tel 0117 931 7316, e-mail a.hayward@hefce.ac.uk

Executive summary

Purpose

1. This document sets out the funding and administrative arrangements for the Science Research Investment Fund (SRIF), and invites higher education institutions that have a SRIF allocation to submit programmes of work to the HEFCE.

Key points

2. SRIF funds will be available from April 2002 and must be spent by March 2004. The funds are allocated by formula, based partly on institutions' total research income and partly on the amount of quality-related research income they receive from the HEFCE. Allocations for all institutions are listed at Annex A.

3. Using the formula described above, English HEIs will have £600 million allocated to them.

4. Review of programmes will not be intrusive and the presumption will be that institutions will not receive less than the allocation calculated by formula.

5. Deadline for the receipt of applications will be 31 May 2001, and we will announce funding by 16 July 2001.

Action required

6. Institutional submissions for SRIF funds should be sent to Amy Hayward at the HEFCE **by 31 May 2001**.

Background

7. The Science Research Investment Fund (SRIF) was announced on 5 July 2000 by the Treasury, Department of Trade and Industry (DTI) and the Department for Education and Employment (DfEE) as part of the Spending Review announcement for the financial years 2001-02 to 2003-04.

8. The funding will be distributed by formula, as in the case of the HEFCE's present main capital allocation. Half the allocation is based on institutions' quality-related (QR) research income and the other half on total research income received by the institution in the last year. Only income in scientific areas (defined by reference to the funding remits of the six UK Research Councils) is counted. Research income in the humanities, language-based disciplines, design and creative arts will not be included.

9. Institutions are asked to provide a programme for the deployment of their allocations. The programme may consist of a number of separate projects, but the emphasis should be on a limited number of major developments which will have a genuine impact on the institution's research infrastructure, rather than a wide range of small projects. In preparing their programmes, institutions should note that the HEFCE is interested in the broad lines of enquiry to be pursued using the funded equipment/facilities, but is not seeking proposals for individual research projects.

10. The SRIF allocation must make up no more than 75 per cent of the total cost of an institution's programme, except where programmes include project(s) with more than one higher education institution (HEI) collaborating (see paragraphs 17-18).

Aims and objectives of the SRIF

11. The aims of the SRIF are:

- a. To contribute to and invest in the science research infrastructure of HEIs.
- b. Where appropriate, to promote collaborative partnerships between higher education institutions, industry, charitable bodies, Government and NHS Trusts.
- c. To enable high quality research to be undertaken, particularly in areas of national strategic priority (as identified by the Research Councils).

Eligibility

12. All institutions that receive QR funding in the areas defined by the six UK Research Councils are eligible for SRIF funds and will be given an allocation.

Process

13. Funds can be used for research in the areas covered by the scheme (see paragraph 8) for the following:

- acquisition of premises for research, whether by new-build or purchase
- refurbishment
- equipment
- communications network facilities.

14. Institutions must contribute at least 25 per cent of the total cost of their programme from their own resources or from third-party non-SRIF funds. This 25 per cent contribution from own or third-party funds is waived in collaborative projects (see paragraphs 17-18 below).

15. A £150 million fund will be provided by (and administered solely by) the Wellcome Trust in a separate stream of the SRIF for investment in replacement or refurbishment buildings for sciences within the Trust's remit, drawn from top-rated but unmet bids submitted to the Joint Infrastructure Fund (JIF). It would be open to universities to use funds from the government stream to augment the Wellcome contribution to any project (up to a limit matching the Wellcome Trust contribution). Wellcome will normally expect a 25 per cent university – own or third party – contribution to the capital schemes.

16. Multi-use of buildings may be funded (for instance, teaching and research in a single new or refurbished building). However, usually only the research elements will count within the SRIF programme. For example, in a £10 million building, if 20 per cent of the floor area of the building is predominantly used for teaching and 80 per cent is used for research, the £2 million teaching element may not be funded from SRIF or be counted towards the 25 per cent own/third-party required contribution to SRIF-funded programmes. The £8 million research element may be funded under the SRIF scheme. The exact mix of SRIF and own/third-party funding to make up the £8 million will depend on the particular project and the profile of own/third-party funding across the rest of the HEI's SRIF-funded programme.

17. Where collaboration between UK HEIs is demonstrated, the need for the institutional or third-party contribution of 25 per cent will be waived in relation to the cost of shared facilities.

18. In SRIF, the definition of a collaborative project is one where:

- a. There is an expectation that HEI partners would each fund a significant percentage of the costs – for example, where there are two HEI partners it is suggested that the minority partners should fund at least 33 per cent of the total costs of the project.
- b. There is a formal agreement between the institutions involved.
- c. The cost of the collaborative project exceeds £500,000.

Example

19. University A's SRIF allocation is £24 million. Therefore it has to find a further £8 million to satisfy the contribution requirement if there are no collaborative projects. But if University A commits £3 million of its allocation to a collaborative project with University B, the requirement for a 25 per cent contribution in relation to this £3 million would be waived. The 25 per cent requirement therefore now only applies to £21 million of University A's original SRIF allocation. Therefore University A only has to find a further £7 million to fulfil its 25 per cent contribution commitment.

Review procedure

20. There will be four principal strands to the review procedure for SRIF programmes and individual projects. It is anticipated that only a small minority of projects will be subject to all four reviews. They are:

- a. Strategic review of programmes by HEFCE Regional Consultants (*all programmes will be subject to this review*).
- b. Expert scientific review, undertaken by the Research Councils (*only individual projects that do not fulfil certain criteria will be subject to this review, see paragraph 21*).
- c. Equipment procurement review by the HEFCE internal audit department (*if applicable, see paragraph 25*).
- d. Estates/building review by the HEFCE Estates team (*if applicable, see paragraph 24*).

21. Projects that fulfil the following criteria will **not** be subject to the expert scientific review:

- a. If the project is led by a department rated 4, 5, or 5* in the 1996 Research Assessment Exercise (RAE).
- b. If the project relates to a previously highly rated, but unfunded, Joint Infrastructure Fund (JIF) or Joint Research Equipment Initiative (JREI) bid (taking account of any necessary updating).

22. The Research Councils will consider the fit of the projects with the institution's science research strategy.

23. The HEFCE team of Regional Consultants will review all institutional programme summaries (not individual projects), paying particular attention to the following areas:

- a. What the added value of the programme will be to the institution.

- b. What the added value is at a regional or national level, and whether there is significant duplication between different institutions' programmes, or with existing infrastructure, either regionally or nationally.
- c. The extent to which co-ordination or consolidation of programmes is desirable or possible.

24. The HEFCE Estates team will review each project that has an estates element within it, either as new building or refurbishment. Tests for value for money will be carried out. Institutions will be asked to demonstrate good practice in the preparation of the project.

25. Where major research equipment is listed in a project, a review will be undertaken by the HEFCE, similar to that currently used in the JREI. This will consider the procurement arrangements in place, value for money, and the possibility of co-ordinated procurement across the scheme where a number of institutions are proposing to purchase similar equipment. Any savings identified will be made available to the individual institution to support its other SRIF projects.

Co-ordination

26. As some institutions will include a number of projects in their SRIF programmes from different departments/researchers, it is recommended that a SRIF co-ordinator be the primary contact in that institution for SRIF matters.

27. The Research Policy Team will manage the co-ordination of SRIF at the HEFCE. The primary contact is Amy Hayward and she will co-ordinate between institutions, the Research Councils and other HEFCE teams (tel 0117 931 7316, e-mail a.hayward@hefce.ac.uk).

Evaluation

28. In new-build or refurbishment projects, 90 per cent of SRIF funds should be paid to a pre-determined profile, with 10 per cent retained by the HEFCE until either an audit certificate or a Project Completion Statement is produced.

29. In equipment-based projects, 90 per cent of the funds will be paid to a pre-determined profile, with 10 per cent retained and paid upon the submission of invoices and relevant paperwork.

How to apply

30. All submissions should be made on the SRIF templates. These can be downloaded from the HEFCE web-site at www.hefce.ac.uk under 'Research'. The templates are:

- programme summary template
- individual project data-sheet
- supplementary science case template.

31. The programme summary template is the principal document that will be used in the review of an institution's SRIF programme. Section 1 of this summary sheet requires a short (250 words maximum) summary of each project, describing what is going to be bought, built or refurbished, how these projects are compatible with the institution's research and estates strategies, and how the programme will achieve the strategic goals of the institution, as well as the degree of fit with the strategic aims of the Research Councils. The summary should also identify (if appropriate) any links or benefits that projects might have to the local community or region, as well as any projects that are building capability in emerging scientific areas. Details of any collaborative projects should also be given here.

32. Section 2 of the programme summary, entitled 'Financial Summary', asks the institution to set out the cost of the projects. It will need to state whether the project incurs VAT and/or fees. Part of the costings table in this section will ask where the further 25 per cent of institutional/third-party contribution will originate from; or will ask for an outline of the plans for collaboration with another HEI.

33. The Financial Summary also requires a provisional quarterly profile that demonstrates when each project should start drawing on SRIF funds and what the total quarterly expenditure might be over the two years. This profile is to assist the HEFCE in planning SRIF expenditure.

34. The institution should outline how it expects to meet the recurrent costs of these facilities, such as staffing and maintenance. For instance, is it expecting support from a major industrial sponsor, or the Wellcome Trust, or from Research Council funding?

35. For each individual project there will be an 'individual project data-sheet' where the following information must be recorded:

- a. Name of the project leader (others may be involved in the project and should be identified, if applicable, in the 'supplementary science case' template).
- b. The Unit of Assessment which is leading this project, and the 1996 RAE rating it obtained.
- c. Title of the project.
- d. Whether the project has already been submitted to other funding schemes or was a previously highly rated JIF/JREI bid.
- e. List of equipment that is being bought, with prices, specifications and possible manufacturer information (for all items over £200,000).
- f. Detail of building works or refurbishment and costings of the following:
 - cost per m²

42. An electronic version of these documents is also required. The entire SRIF submission, including the programme summary, project data-sheets and supplementary science cases, needs to be saved together on a disk in Word 97 format and submitted to the HEFCE with the hard copies.

Timetable

43. We are working to the following timetable:

20 February 2001	Scheme announced. Guidelines and templates published on HEFCE web-site
31 May 2001	Deadline for programme submissions to the HEFCE
31 May - 30 June 2001	Review period for programmes and projects
1-16 July 2001	Funding announcements made
1 October - 15 March 2002	Procurement initiated and confirmed payment profiles agreed with the HEFCE
15 March 2002	SRIF funds begin to flow on projects
31 March 2004	Projects complete and SRIF funds spent

Further information

44. All enquiries about SRIF, both before and during the process, should be directed to Amy Hayward, tel 0117 931 7316, e-mail a.hayward@hefce.ac.uk.

Annex A

Indicative allocations for SRIF funding

Institution	Allocations (£)
Anglia Polytechnic University	214,553
Aston University	2,380,235
University of Bath	8,282,960
Bath Spa University College	0
Birkbeck College	2,308,029
University of Birmingham	20,293,050
Bishop Grosseteste College	0
Bolton Institute of Higher Education	121,759
Bournemouth University	111,470
University of Bradford	3,717,225
Bretton Hall	0
University of Brighton	999,099
University of Bristol	17,937,893
Brunel University	3,587,415
Buckinghamshire Chilterns University College	106,911
University of Cambridge	41,481,792
Institute of Cancer Research	7,108,629
Canterbury Christ Church University College	192,798
University of Central England	194,680
University of Central Lancashire	440,788
Central School of Speech and Drama	0
Cheltenham and Gloucester College of HE	497,133
Chester College of Higher Education	0
University College Chichester	58,498
City University	2,939,931
Coventry University	768,294
Cranfield University	8,144,184
Dartington College of Arts	0
De Montfort University	1,545,604
University of Derby	224,151
University of Durham	7,878,795
University of East Anglia	5,854,079
University of East London	670,349
Edge Hill College of Higher Education	59,680
Institute of Education	3,701,235
University of Essex	3,672,206
University of Exeter	4,753,534
Falmouth College of Arts	0
Goldsmiths College	1,307,942
University of Greenwich	2,776,863
Harper Adams University College	179,046

University of Hertfordshire	1,299,187
Homerton College, Cambridge	385,780
University of Huddersfield	602,880
University of Hull	3,515,901
Imperial College	46,105,227
Keele University	3,315,099
University of Kent at Canterbury	3,843,227
Kent Institute of Art & Design	0
King Alfred's College, Winchester	0
King's College London	27,621,294
Kingston University	392,774
Lancaster University	6,310,434
University of Leeds	20,303,182
Leeds Metropolitan University	507,610
University of Leicester	9,986,324
University of Lincolnshire & Humberside	224,196
University of Liverpool	14,573,527
Liverpool Hope	0
Liverpool John Moores University	1,306,180
University of London	260,138
London Business School	1,748,512
London School of Economics & Political Science	6,043,756
London Guildhall University	123,200
London School of Hygiene & Tropical Medicine	4,822,131
The London Institute	110,409
Loughborough University	7,670,981
University of Luton	155,399
University of Manchester	23,318,480
UMIST	9,471,618
Manchester Metropolitan University	1,728,357
Middlesex University	639,684
University of Newcastle upon Tyne	16,246,008
Newman College	17,920
University College Northampton	95,400
University of North London	460,651
University of Northumbria at Newcastle	731,167
Norwich School of Art & Design	0
University of Nottingham	17,191,708
Nottingham Trent University	1,234,161
Open University	4,237,369
School of Oriental and African Studies	764,060
University of Oxford	42,949,438
Oxford Brookes University	1,264,522
School of Pharmacy	1,401,917
University of Plymouth	1,992,122

University of Portsmouth	1,997,075
Queen Mary and Westfield College	10,202,611
RCN Institute	219,102
University of Reading	9,335,471
College of Ripon & York St John	0
Royal Academy of Music	0
Royal College of Art	0
Royal College of Music	0
Royal Holloway, University of London	2,761,645
Royal Northern College of Music	0
Royal Veterinary College	1,835,524
St George's Hospital Medical School	3,758,084
College of St Mark & St John	0
St Martin's College	0
St Mary's College	0
University of Salford	3,157,609
University of Sheffield	19,225,568
Sheffield Hallam University	1,828,781
University of Southampton	18,628,271
Southampton Institute	144,821
South Bank University	1,439,588
Staffordshire University	438,957
University of Sunderland	597,014
The Surrey Institute of Art & Design University College	0
University of Surrey	7,555,803
University of Surrey Roehampton	278,492
University of Sussex	7,636,490
University of Teesside	199,422
Thames Valley University	54,803
Trinity & All Saints	0
University College London	46,726,982
University of Warwick	11,663,900
University of West of England, Bristol	1,152,651
University of Westminster	907,392
Wimbledon School of Art	0
University of Wolverhampton	163,000
University College Worcester	142,068
Writtle College	0
University of York	8,466,129
Total	600,000,000