



**Appendix A
Specification
for
UKRI-2603 ESRC
Commercialisation Catalyst
Support Package**



1 Introduction

ESRC and AHRC require a partner to support delivery of an early-stage commercialisation catalyst for social science, arts and humanities (AHSS) researchers eligible for UKRI funding who have ideas with the potential to develop into an impactful, scalable commercial product or service.

ESRC and AHRC are investing up to £3.9M in up to five competitions over three years, starting in March 2023. ESRC and AHRC expect to make up to 75 Catalyst awards in this timeframe. In any one year the maximum awarded will be 35. The grants allow researchers to start to develop a commercial service, product, process or other innovation from a strong research base.

The maximum budget for “Catalyst Award Follow on Fund Support Package” as described in this scope of work is up to £1,200,000.00 (excl. vat). The overall project costs cannot exceed this amount.

The delivery partner (“Supplier”) will be expected to support and enable AHSS researchers to consider how they can commercially sustain or grow impact from their research; provide support and training for commercialisation of AHSS activities; have a robust process to agree successful catalyst grants; and ensure appropriate and agreed reporting back to ESRC and AHRC which include UKRI Commercialisation Framework Principles at all stages of the work.

2 Aims & Objectives

Social Science, Arts and Humanities Commercialisation Catalyst Programme: Objectives and High-level Scope

2.1 Scope

Ideas supported through the Catalyst will come from social science, arts and humanities disciplines will likely be at very early stage. They need to be **innovative**, challenging existing paradigms or employing new ways of doing, or thinking about, common problems (e.g. markets, products, methodologies, or concepts); **ambitious and impactful**, offering high potential rewards; **scalable and have broad scope**; **sustainable**, with a plan to develop the proposed work beyond the time frame of the funding; and **difficult to fund through existing routes**. Examples may include, but are not limited to:

- **Developing** a new innovation that will benefit the public or a key group;
- **Encouraging** the development of appropriate and aspirational products, processes and services;
- **Developing** products and services with potential to scale in order to address gaps or sustain research impacts with a community(ies) or user group
- **Innovative use of existing data** to provide insight for industry, innovators and academia; or alternative funding models, to enable higher-impact, slower return, ventures to scale and achieve viability

2.2 Aim of the Contract

Through this Contract, ESRC and AHRC will work with the Supplier to support early stage social science, arts and humanities commercialisation. The Supplier must have the right expertise to recruit social scientists, arts and humanities to a commercialisation programme, and the capacity, ability and expert knowledge required to deliver training, mentoring and advice to the AHSS community.

The Supplier shall be equipped with the specialist knowledge, skills, networks and expertise to support commercialisation from AHSS research specifically and must be familiar with various approaches needed to achieve this including developing social ventures.

2.3 Supplier roles and responsibilities

The scope of the support requirement is in four parts, given in more detail under the Requirement section:



1. **Support social science, arts and humanities researchers to consider how they can commercially sustain or grow impact from their research** and to explore the variety of types of commercial vehicles.
2. **Manage Competitions**, including community engagement to promote the competition and a robust process to agree successful catalyst grants (payment by ESRC up to £62,500.00 at Full Economic Costing)
3. **Provide training and development for early stage commercialisation of social science, arts and humanities catalyst award holders**. This will be a custom programme of support to the successful Catalyst award holders.
4. Ensure a **strong governance framework** which covers project management, financial reporting, data sharing, monitoring and evaluation to ensure insights are shared with ESRC and AHRC and improvements are made where appropriate.

3 Background to the Requirement

ESRC and AHRC have been investing in understanding the potential commercialisation landscape for AHSS communities and are now intending to launch a Commercialisation Catalyst programme in partnership with a delivery partner.

Commercialisation activities delivered by ESRC and AHRC to date include:

1. Through the £30M ESRC Impact Acceleration Account (IAA) programme we support Knowledge Exchange and Commercialisation (KEC) professionals in Research Organisations to understand and implement training and engagement strategies appropriate for social science departments; a key activity has been focussed on exploring and supporting commercialisation strategies suitable for social science research.
2. With Research England, co-funding the ASPECT accelerator, ARC to extend this work to Research Organisations in Scotland, Wales and Northern Ireland. We have been working with the ARC team to understand strengths and opportunities in the AHSS commercialisation landscape.
3. Leading the development and delivery of the ISCF Healthy Aging Catalyst, a mission-led, discipline-agnostic early stage commercialisation catalyst under Healthy Ageing.

The aim of the social science, arts and humanities Commercialisation Catalyst competition is to fund researchers to deliver long-lasting economic or societal impact from their research ideas, whether through creating a spin out company, putting licencing arrangements in place, or following other routes to commercialisation.

The ESRC Senior Portfolio Manager for Commercialisation (SPM Commercialisation) is the main point of contact for this contract, and will sign off strategy, milestones and outputs.

A scoping meeting is expected at the start of the project, where milestones and KPIs will be agreed. A schedule for governance meetings with the ESRC Head of Business Engagement and Commercialisation and the AHRC Commercialisation team will also be agreed at this initial meeting.

Progress will be reported via a quarterly report which would include a review of the previous quarter and the upcoming plan, related budgets, and risks for the upcoming quarter.

A yearly report will also be required in February of 2024, 2025 and 2026.

4 Scope

4.1 High level scope of the procurement

The aim of the social science, arts and humanities Commercialisation Catalyst competition is to enable researchers to develop their ideas in order to deliver long-lasting economic or societal impact from their research activities, insights and ideas, whether through creating a spin out company, putting licencing arrangements in place, or following other routes to commercialisation. The Contract will be in four parts, described further in the Requirement section:

1. **Supporting social science, arts and humanities researchers to consider how they can commercially sustain or grow impact from their research.** Pre-launch activity and communications will introduce the idea that commercialisation is one route to continue research and achieve sustained impact from their work.
2. **Collaborative management of competitions.** The Supplier will propose options for managing competitions, and must follow UKRI best practice and UKRI Commercialisation Guiding Principles. ESRC will be responsible for making the awards once the rankings have been agreed: UKRI systems must be used for final proposal submissions and awards of successful catalyst award holders. UKRI reserves the right to continue oversight and governance, and will make final decisions on all awards. UKRI will require data to all relevant competition information and processes and as such a data sharing agreement will be part of the Contract.
3. **Providing training and development for early stage commercialisation of AHSS catalyst award holders.** This will be a custom programme of support to Social science, arts and humanities Catalyst award holders and their relevant institutional partners, which may include formal training, mentoring and peer support, and facilitation of connections with relevant expertise and national and/or international markets. The purpose of this programme is to:
 - Help award holders with an early stage idea to develop an entrepreneurial mindset through training and advice on issues such as market research, intellectual asset management and pitching to investors.
 - Support award holders in developing a business model through investigation of potential markets or national contexts.
 - Guide award holders through building an investment case to take forward a business proposition to develop a service, process or product.
 - Provide access to venture building experts and a network of entrepreneurs and other experts relevant to the award holder's vision.



4. **Working to a strong collaborative governance framework:** The Supplier will work closely with ESRC and AHRC on delivering parts 1-3 and will put in place agreed frameworks to ensure responsible reporting, monitoring and evaluation and that insights are shared with ESRC and AHRC.

4.2 Period of the Contract and potential demand

This Contract will be in place for three years and six months from February 2023. During this period, demand will fluctuate according to the schedule of activity proposed by the Supplier.

4.3 Exclusions

This Contract is for a social science, arts and humanities commercialisation catalyst that will take applications from all four nations of the UK. The Supplier must have expertise in social science, arts and humanities commercialisation; and operate in all four nations.

4.4 Known constraints

UKRI reserves the right to mandate use of existing UKRI application systems such as JeS or The Funding Service. All software used by the provider must be approved by the UKRI Data Protection Team as part of the procurement process. ESRC, as part of UKRI, must maintain oversight, governance and authority to make the final decision on all awards.

5 Requirement

5.1 Core requirements:

The Supplier will work with ESRC and AHRC to deliver the social science, arts and humanities Commercialisation Catalyst. The Supplier shall propose an approach to each of the following four key stages, ensuring they outline the services that would be provided including timescales, and any assumptions and/or limits on duration; and a breakdown of costs in line with the proposed approach to delivery. Bidders must take into consideration the objectives, audience, timescales and budget. Whatever approach is taken must be delivered within the total available budget.

The four key stages are:

1. **Supporting social science, arts and humanities researchers to consider how they can commercially sustain or grow impact from their research.**
This is a key part of the recruitment process: AHSS researchers in the UK should understand that ESRC and AHRC are supporting commercialisation as a route to deliver sustained impact from research. Suppliers will use existing and new networks to communicate across the breadth and depth of UK AHSS communities, working with UKRI on a joint communications strategy and monitoring the impact of the communication mechanisms and adjusting the strategy accordingly. Suppliers will support AHSS researchers to consider and understand commercialisation as part of their work packages.
2. **Collaborative management of competitions**, including a robust process to agree successful catalyst grants (up to £62,500.00 at Full Economic Cost). Suppliers will:
 - Work with ESRC on competition documentation
 - Manage the application process according to UKRI best practice, including community engagement outreach
 - Oversee and facilitate any review process including recruitment and management of reviewers, managing review and selection meetings and documenting the final results for ESRC approval. ESRC will make the final awards using UKRI processes.
 - Notify outcomes to applicants, alongside delivery of any feedback to applicants.
 - Ensure processes and procedures are in place to enable all relevant competition information is provided to UKRI for audit and management purposes while also ensuring compliance with all statutory obligations including GDPR.
 - Enable equality, diversity and inclusion throughout all stages

- ESRC reserves the right to mandate use of existing UKRI application systems such as JeS or The Funding Service. UKRI must maintain oversight, governance and authority to make the final decision on all awards.
- 3. Providing training and development for early stage commercialisation of social science, arts and humanities catalyst award holders.** This programme of support must ensure Award Holders:
- Fully understand what the programme will involve and have reasonable expectations for the programme.
 - Have the support from their institution to undertake the catalyst award
 - Gain the necessary commercial knowledge and skills for scaling and marketing their research and/or innovation.
 - Engage with potential national and/or international markets where appropriate.
 - Develop robust plans to enhance and sustain the impacts of their research and innovation.
 - Gain the knowledge and skills to achieve additional investment, funding, or support to develop or commercialise their innovations, including the additional funding streams available from UKRI, local and national schemes and other sources.
- 4. Working to a strong collaborative governance framework.** Suppliers will meet with ESRC and AHRC regularly. They must put reasonable processes in place for project management, financial reporting, data sharing, monitoring and evaluation to ensure insights are shared with ESRC and AHRC and improvements are made where appropriate.

5.2 Requirements

The Supplier must meet the following **mandatory requirements**:

5.2.1 Context and Communities

- An excellent appreciation of the objectives of the social science, arts and humanities Commercialisation Catalyst programme.
- A high level of understanding of the commercialisation of AHSS research in the UK, specifically within the bidder delivery team, including drivers for researchers and commercialisation offerings at institutional level
- A high level of understanding of the role of university Technology Transfer (TT) and Knowledge Exchange (KE) Offices in the AHSS space.
- A high level of understanding of business start-up, incubation and funding and the barriers to AHSS research commercialisation.

- Have knowledge of and access to a variety of investors in a range of subject areas related to AHSS commercial outputs.

5.2.2 Expertise and track record

- A proven track record of engaging with a breadth of AHSS researchers.
- A proven track record of engaging commitment and support from TT and KE Offices across UK universities.
- A proven track record in delivering business growth and commercialisation support to a range of disciplines within the arts, humanities and social sciences
- Access to a network of relevant expertise to facilitate concept development and co- production.
- Access to national and international networks to facilitate market research and concept development.
- Access to business incubation facilities and expertise to support business plan training and development, company spin-out, formation and incubation.

5.2.3 Capability to deliver the programme

- The ability to work at pace and to be flexible and adapt approaches dependant on outcomes throughout the life of the programme.
- The ability to meet our expected timetable:
 - Begin pre-launch activity and work with ESRC from early 2023 until 2026
 - Recruit applicants for up to two competitions resulting in up to 35 award holders in any one year
- The ability to reach a diverse audience, including taking an EDI lens to recruitment and developing any support package to meet these needs
- The ability to provide the staff resources, expertise, and operational capability to deliver the proposed programme of activities, including: programme management and leadership, project management; administration of virtual environments, data management and sharing, finance, audit and risk management. This should be demonstrated by a detailed plan describing:
 - The proposed programme of work including any key milestones.
 - Estimates of the resources, timescales, any other particulars required for successful delivery of the programme.

- The risk management strategy and a risk analysis.
 - Process for dealing with user complaints and monitoring of user satisfaction, including how feedback will be used to help improve the programme.
 - How data will be captured, stored, processed and disseminated for and in collaboration with other delivery partners and UKRI. The proposed tools for data storage, handling and access will be included within the detailed plan.
- A delivery team with the ability to operate within the geographical areas as indicated within the tender, which cover any AHSS researcher from a UK based Research Organisation recognised as such by UKRI.

5.3 Reporting

The Supplier will provide a detailed plan describing the proposed programme of work, estimates of the resources, timescales, any other particulars required for successful delivery of the programme, and any key milestones.

ESRC and AHRC are committed to using the UKRI Research Commercialisation Evaluation and Monitoring Policy. ESRC requires the Supplier to complete the following reporting:

1. Frequent, regular informal meetings with the ESRC team to ensure effective day-to-day operation of the scheme.
2. Quarterly programme updates to the SPM and Team Head.
3. A quarterly deliverables report to accompany an invoice each quarter. This must include quarterly and cumulative progress towards agreed KPIs.
4. An annual report which will be submitted to the SPM, Team Head and Deputy Director, to include an annual summary of progress, a review of lessons and recommendations for future cohorts.

5.4 Performance

Success of this programme will be measured in terms of:

1. Increase in the number of AHSS researchers who understand and value commercialisation.
2. A diverse group of AHSS researchers applying for the programme.
3. Implementation of a clear and robust selection criteria to enable those who are ready to develop early stage ideas through the award and training programme.
4. Development of award holders into entrepreneurs, with at least 20% able to take their activities to the next stage



5. Timely and complete provision of all relevant data to ESRC for whole-programme reporting (Details to be agreed during the initial, mobilisation stage of the contract).

We anticipate that the catalyst support will enable award holders to achieve:

1. Further commercialisation or translational funding accessed from UKRI, other public funders, charitable funders or investors.
2. A higher level of readiness for the innovation to be embedded in society.
3. A better level of commercial maturity through better market understanding.
4. Creation of a commercial venture.

6 Timetable

The Contract duration shall be for a period of 3 years and 6 months.

The timescales for delivery of the Contract are outlined in Table 1 below:

TABLE 1: TIMETABLE OF ACTIVITIES

Activity	Date
Contract starts	February 2023
Inception meeting with ESRC including agreement of KPIs and timeframe for competitions	February 2023
Round 1 competition and programme to start	March 2023
1 st report submitted	November 2023
Lesson learned and review of round 1 processes	March 2024
Further rounds as agreed in inception meeting	No earlier than September 2024

7 Social Value and Sustainability

Suppliers are expected to align to the principles, obligations and aspirations set out in the Social Value Act (2012)¹ when delivering projects under this Contract.

Based on the Social Value Model², UKRI have outlined the Key Themes relevant to the Agreement and subsequent call off Contracts, in Table 2 below:

TABLE 2: SOCIAL VALUE KEY THEMES

Theme:	Policy Outcome:	Delivery Objectives (Activities that):	Reporting Metrics:
<p>Tackling Economic Inequality</p>	<p>Create new businesses, new jobs and new skills</p>	<p>Create opportunities for entrepreneurship and help new, small organisations to grow, supporting economic growth and business creation.</p> <p>Create employment opportunities particularly for those who face barriers to employment and/or who are located in deprived areas.</p> <p>Create employment and training opportunities, particularly for people in industries with known skills shortages or in high growth sectors.</p> <p>Support educational attainment relevant to the contract, including training schemes that address skills gaps and result in recognised qualifications.</p> <p>Influence staff, suppliers, customers and communities through the delivery of the contract to support employment and skills opportunities in high growth sectors.</p>	<p>Number of full-time equivalent (FTE) employment opportunities created under the contract, by UK region.</p> <p>Number of apprenticeship opportunities (Level 2, 3, and 4+) created or retained under the contract, by UK region.</p> <p>Number of training opportunities (Level 2, 3, and 4+) created or retained under the contract, other than apprentices, by UK region.</p> <p>Number of people-hours of learning interventions delivered under the contract, by UK region.</p>

¹ [Public Services \(Social Value\) Act 2012 \(legislation.gov.uk\)](https://www.legislation.gov.uk/ukpga/2012/15/section/1)

² [Procurement Policy Note 06/20 – taking account of social value in the award of central government contracts - GOV.UK \(www.gov.uk\)](https://www.gov.uk/government/policies/procurement-policy-note-0620-taking-account-of-social-value-in-the-award-of-central-government-contracts)

Theme:	Policy Outcome:	Delivery Objectives (Activities that):	Reporting Metrics:
	<p>Increase supply chain resilience and capacity</p>	<p>Support innovation and disruptive technologies throughout the supply chain to deliver lower cost and/or higher quality goods and services.</p> <p>Support the development of scalable and future-proofed new methods to modernise delivery and increase productivity.</p> <p>Demonstrate collaboration throughout the supply chain, and a fair and responsible approach to working with supply chain partners in delivery of the contract.</p> <p>Demonstrate action to identify and manage cyber security risks in the delivery of the contract including in the supply chain.</p> <p>Influence staff, suppliers, customers and communities through the delivery of the contract to support resilience and capacity in the supply chain.</p>	<p>For each of the following categories, start-ups; SMEs VCSEs; and mutuals:</p> <p>The number of contract opportunities awarded under the contract.</p> <p>The value of contract opportunities awarded under the contract in £.</p> <p>Total spend under the contract, as a percentage of the overall contract spend.</p> <p>Percentage of all companies in the supply chain under the contract with a current Cyber Essentials certification. [where relevant]</p> <p>Number of companies in the supply chain under the contract with a current Cyber Essentials certification. [where relevant]</p> <p>Percentage of all companies in the supply chain under the contract with a current Cyber Essentials Plus certification. [where relevant]</p> <p>Number of companies in the supply chain under the contract with a current Cyber Essentials Plus certification. [where relevant]</p> <p>Percentage of all companies in the supply chain under the contract to have adopted the National Cyber Security Centre's 10 steps. [where relevant]</p> <p>Number of companies in the supply chain under the contract to have adopted the National Cyber Security Centre's 10 steps. [where relevant]</p>

Theme:	Policy Outcome:	Delivery Objectives (Activities that):	Reporting Metrics:
<p>Equal Opportunity</p>	<p>Reduce the disability employment gap</p>	<p>Demonstrate action to increase the representation of disabled people in the contract workforce.</p> <p>Support disabled people in developing new skills relevant to the contract, including through training schemes that result in recognised qualifications.</p> <p>Influence staff, suppliers, customers and communities through the delivery of the contract to support disabled people.</p>	<p>Total percentage of full-time equivalent (FTE) disabled people employed under the contract, as a proportion of the total FTE contract workforce, by UK region.</p> <p>Number of full-time equivalent (FTE) disabled people employed under the contract, by UK region.</p> <p>Total percentage of disabled people on apprenticeship schemes (Level 2, 3, and 4+) under the contract, as a proportion of the all people on apprenticeship schemes (Level 2, 3, and 4+) within the contract workforce, by UK region.</p> <p>Number of disabled people on apprenticeship schemes (Level 2, 3, and 4+) under the contract, by UK region.</p> <p>Total percentage of disabled people on other training schemes (Level 2, 3, and 4+) under the contract, as a proportion of the all people on other training schemes (Level 2, 3, and 4+) within the contract workforce, by UK region.</p> <p>Number of disabled people on other training schemes (Level 2, 3, and 4+) under the contract, by UK region.</p>
	<p>Tackle workforce inequality</p>	<p>Demonstrate action to identify and tackle inequality in employment, skills and pay in the contract workforce.</p> <p>Support in-work progression and social mobility to help people, including those from disadvantaged or minority groups, to move into higher paid work by developing new skills relevant to the contract.</p>	<p>Total percentage of full-time equivalent (FTE) people from groups under-represented in the workforce employed under the contract, as a proportion of the total FTE contract workforce, by UK region.</p> <p>Number of full-time equivalent (FTE) people from groups under-represented in the</p>

Theme:	Policy Outcome:	Delivery Objectives (Activities that):	Reporting Metrics:
		<p>Demonstrate action to identify and manage the risks of modern slavery in the delivery of the contract, including in the supply chain.</p> <p>Supporting supply chain efforts to better understanding and eliminating modern slavery (insert wording from MS Statement & Preventing Harm policy)</p>	<p>workforce employed under the contract, by UK region.</p> <p>Total percentage of people from groups under-represented in the workforce on apprenticeship schemes (Level 2, 3, and 4+) under the contract, as a proportion of the all people on apprenticeship schemes (Level 2, 3, and 4+) within the contract workforce, by UK region.</p> <p>Number of people from groups under-represented in the workforce on apprenticeship schemes (Level 2, 3, and 4+) under the contract, by UK region.</p> <p>Total percentage of people from groups under-represented in the workforce on other training schemes (Level 2, 3, and 4+) under the contract, as a proportion of the all people on other training schemes (Level 2, 3, and 4+) within the contract workforce, by UK region.</p> <p>Number of people from groups under-represented in the workforce on other training schemes (Level 2, 3, and 4+) under the contract, by UK region.</p> <p>Percentage of all companies in the supply chain under the contract to have committed to the five foundational principles of good work.</p> <p>Number of companies in the supply chain under the contract to have committed to the five foundational principles of good work.</p>



Theme:	Policy Outcome:	Delivery Objectives (Activities that):	Reporting Metrics:
			<p>Percentage of the supply chain for which supply chain mapping has been completed to the appropriate tier or to source in order to reduce the risks of modern slavery.</p> <p>Number of people-hours devoted to supporting victims of modern slavery under the contract.</p>