Freedom of Information request: Innovate Open Applications - ref UKRI – 2018/0160 IUK

Thank you for your Freedom of Information request submitted on the 7th October 2018 in which you requested the following:

Your Request:

We Lead by our SME Tundra Systems Global LTD. made TWO successive application that received "mixed" reviews and both were rejected for numerous finicky issues raised by one or two of the assessors.

Before we make any further application we would like to make this Freedom of Information request to get additional information as to how the InnovateUK arrived at these rejection decisions on our two applications as the final arbitrator on the matter.

Our response:

I can confirm that UKRI does hold the information that you have requested. Our response is detailed below.
Innovate UK assess the applications using 5 independent assessors. Each of the assessors are chosen for their expertise in a particular subject area and may come from either business of academia. The assessors will then review the application against the scoring criteria. The criteria is the same for each application within the competition. The assessors will then score the questions and give written feedback. Information on our assessment process can be found in our general guidance for applicants.

The application questions and the guidance to what each question is expected to contain can be found on the specific competition guidance. This guidance also gives details on the eligibility and scope requirements. Please find the link below to the guidance provided for the competitions you entered:

December sector competition: Open
Open programme funding competition round 1

Please also find attached the slides for the Applicant Briefing which has a section on how the competition is assessed.

Innovate UK’s Open programme is highly competitive and received a large volume of applications, as this is the case, the quality of successful applications is extremely high. Please see below information on each of the competitions:

<table>
<thead>
<tr>
<th>Duration</th>
<th>No of application</th>
<th>No of successful applications</th>
<th>Funding threshold</th>
<th>Highest score</th>
<th>Success rate</th>
<th>Amount of Innovate UK funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to 12 Months</td>
<td>243</td>
<td>17</td>
<td>81.4</td>
<td>84.6</td>
<td>7.00%</td>
<td>£2,673,536</td>
</tr>
<tr>
<td>13 - 24 Months</td>
<td>182</td>
<td>29</td>
<td>79.8</td>
<td>86.75</td>
<td>15.90%</td>
<td>£12,008,561</td>
</tr>
<tr>
<td>25 - 36 Months</td>
<td>23</td>
<td>8</td>
<td>70.2</td>
<td>81</td>
<td>34.80%</td>
<td>£3,547,395</td>
</tr>
<tr>
<td>TOTAL</td>
<td>448</td>
<td>54</td>
<td>N/A</td>
<td>N/A</td>
<td>12.05%</td>
<td>£18,229,492</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Duration</th>
<th>No of application</th>
<th>No of successful applications</th>
<th>Funding threshold</th>
<th>Highest score</th>
<th>Success rate</th>
<th>Amount of Innovate UK funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to 18 Months</td>
<td>333</td>
<td>55</td>
<td>79.2</td>
<td>88.3</td>
<td>16.50%</td>
<td>£13,362,511</td>
</tr>
<tr>
<td>Up to 36 Months</td>
<td>155</td>
<td>6</td>
<td>85.4</td>
<td>87.4</td>
<td>3.90%</td>
<td>£3,601,615</td>
</tr>
<tr>
<td>TOTAL</td>
<td>488</td>
<td>61</td>
<td>N/A</td>
<td>N/A</td>
<td>12.50%</td>
<td>£16,964,126</td>
</tr>
</tbody>
</table>

If you require assistance with any future applications to Innovate UK the Knowledge Transfer Network (KTN) will be happy to help.
If you have any queries about this response please contact me, or if you are unhappy with the service you have received in relation to your request and wish to request a review of our decision, please write to:

**Complaints Officer**  
UK Research and Innovation  
Polaris House  
North Star Avenue  
Swindon  
SN2 1FL  
Email: foi@ukri.org

Please quote the reference number above in any future communications.

If you are still not content with the outcome of the review, you may apply to refer the matter to the Information Commissioner for a decision. Generally, the ICO cannot make a decision unless you have exhausted the review procedure provided by UKRI. The Information Commissioner can be contacted at:

**Information Commissioner**  
Wycliffe House,  
Water Lane  
Wilmslow  
Cheshire  
SK9 5AF

Enquiry/Information Line: Between 9am and 5pm Monday to Friday 0303 123 1113 or 01625 545745. Further information about the Office of the Information Commissioner can be found at [http://www.ico.gov.uk/](http://www.ico.gov.uk/)

Yours sincerely,

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**Information Manager**  
UK Research and Innovation, Information Governance Team  
Email: foi@ukri.org
Open programme funding competition round 1

Applicant Briefing
14th May 2018
Welcome and Introductions

– Portfolio Manager
– Portfolio Manager
– Innovation Lead
• Scope Introduction
• Q&A
• Eligibility Criteria
• Application process – the Innovation Funding Service
  - Project details
  - Application questions
• Finances
  - Project costs – academic partners
• Funding Rules
• Assessment and selection
• Project set-up for successful applicants
• Q&A
Scope
Open R&D funding programme

Innovate UK

Innovate UK is part of UK Research and Innovation
• We are evolving and simplifying our foundation/sector funding to better suit business needs by being more open.

• This will create more opportunities to apply, moving to more flexibility on scope, greater flexibility on the grant requested, making larger grants available for single company applicants, and making our funding available to companies when it best suits their business cycles.

• The new-style Open R&D competitions will start after the current Open competition closes on 9 May.

• We will run two rounds of the new competitions and then review and refine eligibility if necessary.

• The intention is to continue to run Open R&D competitions as a rolling programme.
Open R&D Funding Programme

• We have allocated **up to £20 million** to fund innovation for this round

• Successful applicants can apply for **grant funding as a proportion of** their eligible project **costs**

• The percentage of costs that we pay through a **grant depends on the type of research** being carried out **and size and type of organisation involved**

• **Value for money** will always be a consideration
• The Open competition is designed to support the best game changing and/or disruptive ideas or concepts with a view to commercialisation as soon as possible

• It is aimed at SMEs (including Micro) and Large enterprises, with opportunities for single companies or collaborative proposals depending on amount of grant requested and duration

• To lead a project you must:
  - be a UK based business or research and technology organisation (RTO)
  - carry out your project in the UK (this also applies to contractors and collaborators)
  - intend to exploit the results from the UK
  - work alone or in collaboration with others (businesses / research base / third sector)

• Proposals can be drawn from any technology (including arts, design, media or creative industries) and applied to any part of the economy

• It provides Innovation R&D funding from feasibility (including market research), through to technology / prototype testing and development stages up to (but not including) commercialisation
• The competition enables businesses to address high-growth opportunities when their concept or idea might fit one or more of the Innovate UK Challenge Areas, be based on a completely new area never addressed before, or when time is a critical factor.

• Proposals must demonstrate clear, considerable potential to significantly impact the UK economy and/or productivity - positively.

• Preference will be given to applications that demonstrate realistic, significant potential for global markets.

We particularly welcome proposals from innovation-based businesses with significant ambition and potential for growth or scale up.
To be in scope, a proposal must demonstrate:

- A **clear game-changing and/or disruptive innovative idea** leading to novel, new products, processes or services that are significantly ahead of others in the field, set for rapid commercialisation.

- A **strong and deliverable business plan** that addresses (and documents) **market potential** and needs.

- A team, business arrangement or working structure with the **necessary skills and experience** to run and complete the project successfully and on time.

- **Awareness of all the main risks** the project will face (including contractor / equipment failure; recruitment delays etc) with realistic management, mitigation and impact minimisation plans for each.

- **Sound, practical financial plans and timelines** that represent good value for money.

- A clear, evidence based plan to **deliver significant economic impact**, return on investment (ROI) and growth through commercialisation, as soon as possible following project completion.

Where possible, all projects should take customer and user needs into account to deliver more desirable and useful solutions.
Your proposal must:

- Demonstrate a **clearly cutting-edge, game-changing or disruptive** innovative concept or idea designed **for commercialisation** (ideally as soon as possible following completion)

- Aim to lead to **new products, processes or services** (or novel use of existing ones) that are deemed to be **significantly ahead** of anything similar in the field

- Be in line with the overview, terms and conditions outlined in the competition brief available on the .gov.uk website

- Have a **duration between 6 and 36 months**; and total (eligible) project **costs ranging from £25,000 to £2 million** depending on the type of R&D to be undertaken, with value for money always a consideration

(Applicants wishing to submit projects over £2 million as a permitted exception must contact customer services with full justification **at least 10 days before applying**)
• Project duration between **6-18 months** and total project costs between **£25K-£500K**; these can be either a **single or collaborative** application.

• Project duration between **19-36 months** and total project costs between **£25K-£2M**; these **must be collaborative**.

• Large companies can lead applications as long as an **SME** is part of the consortium.

• Applicants wishing to submit **projects over £2 million** as a permitted exception must contact customer services with full justification at least **10 days** before applying.

• An applicant can be part of 3 project applications per round - this applies to Businesses, Catapults and Academics.
• Grant dependent upon type of research and type of participant

• For feasibility studies (which may include market research) and industrial research projects, you could get funding for your eligible project costs of:
  - up to 70% if you are a small business
  - up to 60% if you are a medium-sized business
  - up to 50% if you are a large business

• For experimental development projects which are nearer to market, you could get funding for your eligible project costs of:
  - up to 45% if you are a small business
  - up to 35% if you are a medium-sized business
  - up to 25% if you are a large business
Research and Technology Organization / Academic participation

Within Innovate UK competitions, this means:

- universities (higher education institutions)
- non-profit research and technology organisations (RTOs) including catapults
- public sector research establishments (PSRE)
- research council institutes

• Please read details in the Competition Brief online – help is available (direct line and email – details later) if questions remain
We will not fund proposals that:

• do not meet the competition scope
• do not meet the size, potential for, and access to the market for the innovation
• cannot present evidence that their idea or concept has the potential to lead to significant return on investment (ROI), positive economic impact, growth and scale-up of the business
• have a current project funded through the Smart programme that will not have its project completion meeting before the close date for this competition

Standard resubmission rules still apply:

• Should an application be unsuccessful applicants may reapply with the same proposal once more in another round of this competition or another competition. In other words: applicants can only apply with the same proposal twice
Q&A
Eligibility Criteria
## Competition details

| Project Eligibility | • Be a UK-based business of any size or a research technology organisation (RTO)  
|                      | • Carry out your project in the UK  
|                      | • Intend to exploit the results from the UK  
|                      | • Work alone or in collaboration with others |
| Project cost | • 6 to 18 months: total costs must be between £25,000 and £500,000 (single company or collaborative)  
| | • 19 to 36 months: total costs must be between £25,000 and £2,000,000 (Must be collaborative) |
| Application form | 10 marked questions |
| Appendices | Yes – for Q2, Q3, Q7 & Q8 |
| J-eS output document (if applicable) | Yes |
Types of Organisation

• Business – Small/Micro, Medium or Large (EU definition)

• Research Organisation (RO):
  • Universities (HEIs)
  • Non profit distributing Research & Technology Organisation (RTO) including Catapults
  • Public Sector Research Establishments (PSRE)
  • Research Council Institutes (RCI)

• Public sector organisations and charities doing research activity
Participation Rules

- The aim of our State Aid scheme is to:
  - optimise the level of funding to business and
  - recognise the importance of research base to project

- At least 70% of total eligible project costs must be incurred by business

- The maximum level (30% of project costs) is shared by all research organisations in the project
In all collaborative projects there must be:

- at least two organisations claiming grant
- a **business** or **RTO**-led consortium, which may involve both business and the research base and
- evidence of **effective collaboration**
  - *we would expect to see the structure and rationale of the collaboration described in the application.*
Making more than one application and resubmissions

• An applicant can only be part of 3 project applications per competition round, either as a lead or partner. If more than 3 applications per round are submitted, only the first 3 applications will be considered for assessment.

• Research and technology organisations can lead an application. There must be at least two other UK businesses (at least 1 SME) claiming grant.

• If an application is unsuccessful, you can use the feedback received to reapply for the same project into either another round of this competition or another competition. A project proposal can only be submitted twice.
<table>
<thead>
<tr>
<th>Timeline</th>
<th>Dates</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competition Opens</td>
<td>10\textsuperscript{th} May 2018</td>
</tr>
<tr>
<td>Briefing Event</td>
<td>14\textsuperscript{th} May 2018</td>
</tr>
<tr>
<td>Submission Deadline</td>
<td>11\textsuperscript{th} July 2018 at 12:00pm</td>
</tr>
<tr>
<td>Applicants informed</td>
<td>28\textsuperscript{th} September 2018</td>
</tr>
</tbody>
</table>
Application process
How is the Innovation Funding Service (IFS) different?

- It’s digital.
- No registration required. Each participant creates an account, linked to the organisation they are representing
- Each lead and collaborative partner enters their own project costs
- All competition guidance is now part of the service
  - There are no PDFs or brief documents to download for competitions run using IFS
- IFS calculates your eligible grant
- IFS provides
  - The ability to format your answers
  - Spell checking via your web browser
  - A word count for each answer
- IFS validates your application
  - You cannot submit an application with incomplete sections
  - IFS validates your research organisation participation
Search for a funding competition and review criteria

Innovate UK

Innovation competitions

Filter competitions

Keywords

Innovation area

Update results

Funding competition

Open programme funding competition round 1

Open programme funding competition round 1

Competition opens: Thursday 10 May 2018
Competition closes: Wednesday 11 July 2018 12:00pm

Who can apply

Summary Eligibility Scope Dates How to apply Supporting information

Description

This competition is open to the best cutting edge or disruptive ideas or concepts with a view to commercialisation.

These can come from any area of technology, science or engineering, including arts, design, media or creative industries, and be applied to any part of the economy.

They can fit into, or be outside of, any one or more of Innovate UK’s Challenge Areas.
Applicant: create an account
The application: invite participants

Innovate UK
Inviting and working with collaborators

Application team

View and manage your participants in the application. If an individual is 'pending' they have not yet joined the application.

To change the lead applicant please email Innovate UK support@innovateuk.gsi.gov.uk.

EMPIRE LTD, Lead organisation

Applicant Email
Roger Blue roger.blue@eis@gmail.com Lead

Update EMPIRE LTD

Barry Shaw Experts Ltd

Applicant Email
Barry Shaw bm.shaw@lwe.co.uk

Update Barry Shaw Experts Ltd

University of Bath

Update EMPIRE LTD

You are able to invite and remove contributors. Only the lead organisation and lead applicant cannot be removed.

EMPIRE LTD, Lead organisation

Applicant Email
Roger Blue roger.blue@eis@gmail.com Lead

Please enter a name.

Add new applicant

Remove

Once you update the organisation, your changes will take effect. Invites will be sent to all new applicants.
Answering a question

Need or challenge

1. What is the business need, technological challenge or market opportunity behind your innovation?

- Spell check using your web browser
- assign the question to a collaborator
- online guidance
- Formatting for your content
- Word count
The application form

Application progress

Project details
Please provide Innovate UK with information about your project. These sections are not scored but will provide background to the project:

- Application details ✓ Complete
- Project summary ✓ Complete
- Public description ✓ Complete
- Scope ✓ Complete

Application questions
These are the 10 questions which will be marked by assessors. Each question is marked out of 10 points.

1. Need or challenge ✓ Complete
2. Approach and innovation ✓ Complete
3. Team and resources ✓ Complete
Application process

Application – project details
Application details

• This section contains 5 points to complete
• Application title
• Estimated timescales
  • The proposed start date and duration of your project
• Research category
  • Select from
    • Experimental development
    • Industrial research
    • Feasibility studies
• There are multiple Innovation areas
• Is your application a resubmission (y/n)
Provide a short summary and objectives of the project including what is innovative about it.

This summary is not scored, but provides an introduction to your proposal for the benefit of Innovate UK staff and assessors only. It will not be used for any public dissemination. It should cover, in brief:

• need or challenge. The business need, technological challenge or market opportunity to be addressed

• approach and innovation. The approach to be taken and how this will improve on current state-of-the-art

• outcomes. The difference the project will make to the competitiveness and productivity of the partners involved
If your application is successful, Innovate UK will publish this brief description of your proposal. Provision of this description is mandatory but will not be assessed.

- To comply with government practice on openness and transparency of public-funded activities, Innovate UK has to publish information relating to funded projects.
- Funding will not be provided to successful projects without this.
- This question is not scored.
How does your project align with the scope of this competition?

- To show how your project aligns with the scope of this competition, you need to:
  - read the competition brief in full
  - understand the background, challenge and scope of the competition
  - address the research objectives in your application
  - match your project's objectives and activities to these
  - If your project is not in scope, it will be ineligible for funding
Application Questions
<table>
<thead>
<tr>
<th>Application form</th>
<th>Appendix</th>
</tr>
</thead>
<tbody>
<tr>
<td>Question 1 Need or challenge</td>
<td>Q2</td>
</tr>
<tr>
<td>Question 2 Approach and innovation</td>
<td>Q3</td>
</tr>
<tr>
<td>Question 3 Team and resources</td>
<td></td>
</tr>
<tr>
<td>Question 4 Market awareness</td>
<td></td>
</tr>
<tr>
<td>Question 5 Outcomes and route to market</td>
<td></td>
</tr>
<tr>
<td>Question 6 Wider impacts</td>
<td></td>
</tr>
<tr>
<td>Question 7 Project management</td>
<td>Q7</td>
</tr>
<tr>
<td>Question 8 Risks</td>
<td>Q8</td>
</tr>
<tr>
<td>Question 9 Additionality</td>
<td></td>
</tr>
<tr>
<td>Question 10 Costs and value for money</td>
<td></td>
</tr>
</tbody>
</table>
What is the business need, technological challenge or market opportunity driving your innovation?

- What is the main motivation for the project?
- What is the nearest current state-of-the-art? Have you considered those near market and/or in development?
- Describe any work you have already done to address this need.
- Identify the wider economic, social, environmental, cultural and/or political challenges which are influential in creating the opportunity. Our Horizons tool can help here: http://horizons.innovateuk.org/
Question 2: Approach and innovation

What approach will you take and where will the focus of the innovation be?

- How will you address the need, challenge or opportunity identified?
- Explain how it will improve on the nearest current state-of-the-art identified
- Where will the focus of the innovation be in the project and do you have freedom to operate?
- Explain how this project fits with your current product/service lines/offerings
- Describe the nature of the outputs you expect from the project and how these will take you closer to addressing the need, challenge or opportunity identified

You may upload an appendix PDF document (max 1MB, 2 A4 pages) of graphics/diagrams to demonstrate the innovation in your technology/product/service

Innovate UK
Question 3: Team and resources

Who is in the project team and what are their roles?

- Describe the roles, skills and relevant experience of all members of the project team
- State the resources, equipment and facilities required for the project and how you will access them
- Provide details of any key external parties, including sub-contractors
- (if collaborative) describe the current relationships between the project partners and how these will change as a result of the project
- Are there any gaps in the team that will need to be filled?

You may upload an appendix PDF document (max 1MB, 4 A4 pages) to describe the skills and experience of the main people who will be working on the project
Question 4: Market awareness

What is the market(s) (domestic and/or international) that you will be targeting in the project and any other potential markets?

You should consider:

- the size of the addressable market(s) for the project outcome(s)
- the structure and dynamics of the market, and predicted growth rates within clear timeframes
- the main supply/value chains and business models in operation
- the current UK position in addressing this market

For highly innovative projects, where the market may be unexplored, explain:

- what the route to market could or might be
- what its size might be
- how the project will seek to explore the market potential

For other markets, briefly describe the size and key features of those
How do you propose to grow your business and increase your productivity into the long term as a result of the project?

- What is your current position in the market(s) and your route to market?
- Who are your target customers and/or end users, and what is the value proposition to them?
- Tell us how you will profit from the innovation and how it will impact your productivity and growth
- Describe how you will protect and exploit the outputs of the project
- Outline your strategy for addressing the other markets identified during or after the project
- For any research organisation activity in the project, outline your plans to disseminate project research outputs over a reasonable timescale
What impact might this project have outside the project team?

- What are the economic benefits from the project, to those outside the project?
- Highlight the expected social and/or environmental impacts, either positive or negative
- Explain any expected regional impacts of the project
How will you manage the project effectively?

- Outline the main work packages of the project, indicating for each:
  - The relevant research category
  - The lead partner assigned
  - The total cost of each package
- Describe your approach to project management and the management reporting lines
- Outline your project plan in sufficient detail to identify any links or dependencies between work packages or milestones

You may upload a project plan/Gantt chart in PDF format (max 1MB, 2 A4 pages) as an appendix
Question 8: Risks

What are the main risks for this project?

- Identify the key risks and uncertainties of the project, including the technical, commercial, managerial and environmental risks
- Explain how these risks will be mitigated
- List any project inputs on the critical path to completion (such as resources, expertise, data sets)
- Are the outputs likely to be subject to regulatory requirements, certification, ethical issues, etc.? If so how will you manage these?

You may upload a risk register in PDF format (max 1MB, 2 A4 pages) as an appendix
Describe the impact that an injection of public funding would have on this project.

- Tell us if this project could go ahead without public funding. If so, what difference would the public funding make (such as faster to market, more partners, reduced risk)?
- Describe the likely impact of the project on the businesses of the partners involved
- Why are you unable to wholly fund the project from your own resources or other forms of private-sector funding?
- Explain how this project would change the nature of the partners’ R&D activity (and related spend)
Question 10: Costs and value for money

How much will the project cost and how does it represent value for money for the team and the taxpayer?

• Justify the total project cost and the grant being requested, in line with the project goals
• How will the partners finance their contributions to the project?
• Explain how this project represents value for money for you and the taxpayer.
• Justify the balance of costs and grant across the project partners
• Describe any sub-contractor costs and why they are critical to the project
Application Finances
Your finances

Finances
Please complete your project finances.

- Not requesting funding

Your project costs

<table>
<thead>
<tr>
<th>Your organisation</th>
<th>Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your funding</td>
<td>Complete</td>
</tr>
</tbody>
</table>

Finance summary

This is a breakdown of your project costs and sources of funding for this project.

<table>
<thead>
<tr>
<th>Total project costs</th>
<th>% Grant</th>
<th>Funding sought</th>
<th>Other public sector funding</th>
<th>Contribution to project</th>
</tr>
</thead>
<tbody>
<tr>
<td>£316,642</td>
<td>70%</td>
<td>£221,649</td>
<td>£0</td>
<td>£94,992</td>
</tr>
</tbody>
</table>
**Your project costs**

Provide the project costs for 'EMPIRE LTD'

Only your organisation can see this level of detail. All members of your organisation can access and edit your finances. We recommend assigning completion of your finances to one member of your team.

<table>
<thead>
<tr>
<th>Description</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labour</td>
<td>£222,414</td>
</tr>
<tr>
<td>Overhead costs</td>
<td>£44,483</td>
</tr>
<tr>
<td>Materials</td>
<td>£11,750</td>
</tr>
<tr>
<td>Capital usage</td>
<td>£13,000</td>
</tr>
<tr>
<td>Subcontracting costs</td>
<td>£36,795</td>
</tr>
<tr>
<td>Travel and subsistence</td>
<td>£3,000</td>
</tr>
<tr>
<td>Other costs</td>
<td>£0</td>
</tr>
</tbody>
</table>

'EMPIRE LTD' Total project costs £331,442
Labour costs

If you have multiple people in the same role, enter this here

Eligible:
• Staff working directly on project.
• Paid by PAYE
• NI, pension, non-discretionary costs.

Ineligible:
• Dividends
• Bonuses
• Non productive time
Innovate UK’s definition:
Additional costs and operational expenses incurred directly as a result of the project. These could include additional costs for administrative staff, general IT, rent and utilities.

Overhead costs

You can incur overhead costs associated with those directly working on the project as well as indirect (administration) overheads. To be eligible both overhead categories need to be directly attributable to the project. The indirect overheads need to be additional as well as directly attributable. Note that there are certain cost categories/activities which are not eligible. To find out which costs are ineligible/eligible refer to our project costs guidance.

- Overheads costs guidance

- No overhead costs
- 20% of labour costs
- Calculate overheads
Calculate Overheads

Indirect (administration) overheads
• please ensure they are additional and directly attributable to the delivery of the project

Direct overheads
• E.g. office utilities, IT infrastructure, laptop provision not covered by capital usage
• must be directly attributable to the project
• Provide detailed breakdown together with methodology/basis of apportionment
Material costs

Please provide a breakdown of the materials you expect to use during the project

<table>
<thead>
<tr>
<th>Item</th>
<th>Quantity</th>
<th>Cost per item</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Crates of widgets</td>
<td>20</td>
<td>500</td>
<td>£10,000</td>
</tr>
<tr>
<td>project items</td>
<td>5</td>
<td>350</td>
<td>£1,750</td>
</tr>
</tbody>
</table>

Total materials costs: £11,750

Eligible:
Directly used in the project
Capital equipment usage

Eligible:
• Used in the project or shared with day-to-day production
• Resale value

- Item description: Machine
- New or existing item: New
- Depreciation period (months): 36
- Net present value at the start of your project or the price you bought it for (£): 36000
- Residual value at end of project (£): 10000
- Utilisation (%): 50
- Net cost: £13000
<table>
<thead>
<tr>
<th>Subcontractor name</th>
<th>Robotics experts ltd</th>
</tr>
</thead>
<tbody>
<tr>
<td>Country where the subcontractor will work</td>
<td>UK</td>
</tr>
<tr>
<td>Role of the subcontractor in the project and description of the work they’ll do</td>
<td>Facilitation and availability of robotics labs</td>
</tr>
<tr>
<td>Cost</td>
<td>36795</td>
</tr>
</tbody>
</table>
Travel and subsistence costs

Eligible:
Directly linked to the project

<table>
<thead>
<tr>
<th>Purpose of journey or description of subsistence cost</th>
<th>Number of times</th>
<th>Cost each (£)</th>
<th>Total (£)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel to robotics labs for testing</td>
<td>12</td>
<td>100</td>
<td>£1,200</td>
</tr>
<tr>
<td>monthly project meetings</td>
<td>12</td>
<td>150</td>
<td>£1,800</td>
</tr>
</tbody>
</table>

Total travel & subsistence costs £3,000

Remove
Add another travel cost
Other costs

Please provide details of any project costs which cannot be covered by the other cost categories.

- Other costs guidance

Please note that legal or project audit and accountancy fees are not eligible and should not be included as an 'other cost'. Patent filing costs of new IP relating to the project are limited to £7,500 for SME applicants only. Please provide estimates of other costs that do not fit within any other cost headings.

<table>
<thead>
<tr>
<th>Description and justification of the cost</th>
<th>Estimated cost (£)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

Add another cost

Eligible:
- Costs that could not be added under previous headings.
- Do not double count
Finances – your organisation

Your finances

Finances
Please complete your project finances.

- Not requesting funding

<table>
<thead>
<tr>
<th>Your project costs</th>
<th>☑ Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Your organisation</td>
<td>☑ Complete</td>
</tr>
<tr>
<td>Your funding</td>
<td>☑ Complete</td>
</tr>
</tbody>
</table>

Finance summary
This is a breakdown of your project costs and sources of funding for this project.

<table>
<thead>
<tr>
<th>Total project costs</th>
<th>% Grant</th>
<th>Funding sought</th>
<th>Other public sector funding</th>
<th>Contribution to project</th>
</tr>
</thead>
<tbody>
<tr>
<td>£316,642</td>
<td>70%</td>
<td>£221,649</td>
<td>£0</td>
<td>£94,992</td>
</tr>
</tbody>
</table>
What we ask you:

- Organisation size
- Date of last financial year
- Financial overview
  - Annual turnover
  - Annual profits
  - Annual export
  - R&D spend
- No. full time employees

Your organisation

<table>
<thead>
<tr>
<th>Organisation size determines funding</th>
</tr>
</thead>
<tbody>
<tr>
<td>The organisation size is used to calculate your funding level in the application. Changing this selection will reset your funding level.</td>
</tr>
</tbody>
</table>

Organisation size

To determine the level of funding you are eligible to receive please provide your business size using the [EU definition](https://example.com) for guidance.

- Micro / small
- Medium
- Large

End of last financial year

Enter the date of your last financial year.

- Month: 03
- Year: 2017

Financial overview

Details relating to your organisation over the last financial year.

<table>
<thead>
<tr>
<th>Section</th>
<th>Last financial year (£)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual turnover</td>
<td>0</td>
</tr>
<tr>
<td>Annual profits</td>
<td>0</td>
</tr>
<tr>
<td>Annual export</td>
<td>0</td>
</tr>
<tr>
<td>Research and development spend</td>
<td>0</td>
</tr>
</tbody>
</table>

Full time employees

How many full-time employees did you have on the project at the close of your last financial year?

9
Academic Partners
Why Je-S?

• The Research Councils Joint Electronic Submission System (Je-S) is being used to collect ALL academic finances.

• Also to collect project finance details from non-HEIs (e.g. RTOs) that are claiming they are carrying out academic quality work and want to be funded on an FEC basis.

• The Je-S system automates the collection of Full Economic Costs (FEC) based costs from academic partners and tells them exactly what numbers should be used in the application form for their costs.

• Using Je-S enables Research Councils to easily co-fund Innovate UK projects.
### Project costs – academic partners

**TSB reference**  
This number is found at the top of your Je-S form.  

- Enter the TSB reference number here

**Financial resources**  
Please enter the following costs from the summary of resources section on your Je-S form.  

<table>
<thead>
<tr>
<th>Directly Incurred</th>
<th>TSB Contribution (please refer to the TSB contribution column)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
<td>11</td>
</tr>
<tr>
<td>Travel &amp; subsistence</td>
<td>22</td>
</tr>
<tr>
<td>Other costs</td>
<td>33</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td><strong>£66</strong></td>
</tr>
<tr>
<td>Directly allocated</td>
<td></td>
</tr>
<tr>
<td>Investigators</td>
<td>44</td>
</tr>
<tr>
<td>Estates Costs</td>
<td>55</td>
</tr>
<tr>
<td>Other costs</td>
<td>66</td>
</tr>
<tr>
<td><strong>Subtotal</strong></td>
<td><strong>£165</strong></td>
</tr>
</tbody>
</table>

- Enter the TSB Contribution column figures from your J-eS output document into the project costs section of the application

- Upload the Je-S with council status form as a PDF at the bottom of the screen
Normal Je-S application elements

- Not just the financials
  - E.g. Justification of resources
  - E.g. Pathways to impact
- Full details on the Je-S system
- Queries about Je-S via the Je-S Helpdesk
  - JeSHelp@rcuk.ac.uk
  - 01793 444164
If a partner wishes to collaborate but does not wish to claim a grant:

- Lead must invite partner to join the application
- Partner must select “not requesting funding” option in finances section of IFS
- Partner must complete “Your project costs” section to provide value of their contribution
- Partner will not be named in the Grant Offer Letter if your project is successful
Finances – your funding

Your finances

Finances
Please complete your project finances.

- Not requesting funding

Your project costs

Your organisation

Your funding

Finance summary
This is a breakdown of your project costs and sources of funding for this project.

<table>
<thead>
<tr>
<th>Total project costs</th>
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<tr>
<td>£316,642</td>
<td>70%</td>
<td>£221,649</td>
<td>£0</td>
<td>£94,992</td>
</tr>
</tbody>
</table>
Funding rules

- The level of funding awarded will depend upon the type of organisation and the type of research being undertaken in the project
- Funding is calculated by project participant

IFS will calculate your grant % based upon your answers to:

- Type (and size) of organisation
- Research category defined by the lead applicant in the Application Details section of the application
### Funding dependent upon type of organisation

<table>
<thead>
<tr>
<th>Organisation / Type of Activity</th>
<th>Technical Feasibility Studies and Industrial Research</th>
<th>Experimental Development</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Business (economic activity)</strong></td>
<td>Micro/Small – 70% Medium – 60% Large – 50%</td>
<td>Micro/Small – 45% Medium – 35% Large – 25%</td>
<td></td>
</tr>
<tr>
<td><strong>Research Organisation (non-economic activity)</strong></td>
<td>Universities – 100% (80% of Full Economic Costs)</td>
<td>Other research organisations must: • be <strong>non-profit distributing</strong> and • disseminate the project results &amp; • explain in the application form how this will be done</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Other research organisations can claim <strong>100%</strong> of their project costs – see note:</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Public Sector Organisation or Charity (non-economic activity)</strong></td>
<td><strong>100%</strong> of eligible costs</td>
<td>Must be: • Be <strong>performing research activity</strong> &amp; • disseminate project results &amp; explain in the application form how this will be done • ensure that the eligible costs do not include work / costs already funded from other public sector bodies</td>
<td></td>
</tr>
</tbody>
</table>
Each organisation must accept the grant terms and conditions

The lead applicant will not be able to submit the application without all organisations accepting the grant Ts and Cs.
Submitting your application
All organisations can see a summary of project costs

<table>
<thead>
<tr>
<th></th>
<th>Total</th>
<th>Labour</th>
<th>Overhead costs</th>
<th>Materials</th>
<th>Capital usage</th>
<th>Subcontracting costs</th>
<th>Travel and subsistence</th>
<th>Other costs</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Barry Shaw Experts Ltd</strong></td>
<td>£230,162</td>
<td>£94,052</td>
<td>£16,810</td>
<td>£90,550</td>
<td>£0</td>
<td>£35,000</td>
<td>£3,750</td>
<td>£0</td>
</tr>
<tr>
<td><strong>EMPIRE LTD</strong></td>
<td>£331,442</td>
<td>£222,414</td>
<td>£44,483</td>
<td>£11,750</td>
<td>£13,000</td>
<td>£36,795</td>
<td>£3,000</td>
<td>£0</td>
</tr>
<tr>
<td><strong>University of Bath</strong></td>
<td>£19,762</td>
<td>£8,104</td>
<td>£5,731</td>
<td>£412</td>
<td>£0</td>
<td>£0</td>
<td>£504</td>
<td>£5,011</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>£581,366</td>
<td>£314,570</td>
<td>£67,024</td>
<td>£102,712</td>
<td>£13,000</td>
<td>£71,795</td>
<td>£7,254</td>
<td>£5,011</td>
</tr>
</tbody>
</table>

This is the level of cost detail that the assessors will see during the assessment process.
Validating project costs

IFS checks

- all organisations have marked their finances as complete
- research organisation participation is no greater than 30% of the total project costs
Review application before submission

IFS will validate your application

All questions must be “marked as complete”

Leave plenty of time to validate your submission

Deadlines are absolute
This is your final chance to make changes to the application.
You will not be able to access the application after this point. Are you sure you want to submit?

Yes, I want to submit my application  Cancel
IFS will send the Lead applicant an email to confirm the application has been submitted.

IFS informs you about what happens next.

You may view or print your submitted application at any time.
Your dashboard

Set up your project

**Medical device feasibility studies**
Project number: 92
Competition: Biomedical catalyst feasibility studies

Application in progress

**Robotic wine waiter**
Application number: 85
Competition: Emerging and enabling
Application & Assessment
Application assessment

All applications are assessed by independent assessors drawn from industry and academia

What do they look for?

• **Clear** and **concise** answers
• **The right amount of information**
  • not too much detail
  • no assumptions
• **Quantification** and **justification**
• That the applicant (team) has presented a **viable opportunity for growth**, a level of **innovation** that necessitates public sector **investment** and an **appropriate team and approach** to take it forward
Assessor feedback

Medical device feasibility studies

Feedback overview

Congratulations, your application has been successful.
Scores and written feedback from each assessor can be found below.

Application details
Assessors do not provide scores on these sections of the application.

<table>
<thead>
<tr>
<th>Project title</th>
<th>Project timescales</th>
</tr>
</thead>
<tbody>
<tr>
<td>Medical device feasibility studies</td>
<td>Project start date: 1 July 2017</td>
</tr>
<tr>
<td>Application number</td>
<td>Duration: 6 months</td>
</tr>
<tr>
<td>92</td>
<td></td>
</tr>
<tr>
<td>Lead organisation</td>
<td>Total project cost</td>
</tr>
<tr>
<td>EMPIRE LTD</td>
<td>£150,706</td>
</tr>
</tbody>
</table>

Need or challenge

1. What is the business need, technological challenge or market opportunity behind your innovation?

Your answer:
This medical device will save the NHS millions by reducing patient recovery time. It will have use worldwide, not just in the UK.

Average score: 7/10

Your assessors’ feedback

Assessor 1
The applicant has aptly described the need and challenge which this project seeks to resolve. There has clearly been some market research, however, the application shows a lack of understanding of the wider market to which this project applies.

Assessor 2
Project setup for successful applicants
IFS for successful applicants

• We recognise that successful applicants wish to start their projects as quickly as possible
• We have simplified the process
• All collaborators can view the process using IFS and enter their details using their account
• IFS provides a digital view of the process
• 7 steps to complete
Project set-up steps

1. Project details
   • Lead applicant nominates the Project Manager and a finance contact
   • Lead applicant confirms the project location and start date of the project
   • Collaborating partners nominate a finance contact

2. Innovate UK will assign a Monitoring Officer

3. All partners must provide their bank details

4. Innovate UK will conduct financial reviews on partner finances
   • Finance contacts may be asked for additional supporting information
   • Innovate UK will confirm approved finances for each partner

5. All partners must profile their approved project costs

6. Project Manager must upload other documents
   • Collaboration agreement
   • Exploitation plan

7. Innovate UK will release a Grant Offer Letter which is signed by the Lead organisation on behalf of all project partners
Step 4: financial reviews

Our project finance team conducts finance checks on partner finances.

Applicant **viability checks**
- to ensure that the company legally exists, and to assess whether it can meet its financial obligations for the project.
- reviewing; audited accounts, management accounts, cash flow forecast, working capital, current ratios, etc.

Project cost **eligibility checks**
- Ensuring costs meet eligibility/State Aid/competition rules
- involves reviewing partner project costs to check that they meet the published eligibility criteria.
Step 6: other documents

Collaboration Agreement

- Original agreement signed by all participants
- Key Features:
  - Who is in the Consortium?
  - What are the aims, and how is the work divided up?
  - Ownership of IPR
  - Management of consortium

Note: Negotiating a Collaboration Agreement can be complex and time consuming. Start work on this at an early stage in the process, ideally before submitting your full application.
Step 7: Grant Offer Letter

Grant terms and conditions
- Project lead organisation
- Total grant amount
- Project title
- Terms & Conditions of offer
- Confidentiality and Intellectual Property
- Exploitation
- Acceptance of Offer
- Dispute Resolution

• Each participant must accept the grant terms and conditions when entering project costs as part of the application.
• The terms and conditions are available for review in the application.
• This process replaces the former Conditional Offer Letter (CoL).
• Project Set-up handles all other steps previously outlined in the CoL.
• The Grant Offer Letter is signed by Lead organisation on behalf of all project partners.
Grant claims and payments

- All grants are claimable **quarterly in arrears**
- Claims can only be made for costs **incurred and paid** between the project start and end dates
- Claims may be subject to an **independent audit** (including all academic partners) according to grant size
- Claims are only paid once quarterly reporting and necessary audits are complete
- Projects over 6 months are **monitored on a quarterly basis** including a visit from the appointed Monitoring Officer. Anything outside of this will be discussed on a case by case basis.
- The monitoring will be carried out against a detailed project plan and financial forecast
Q&A – Application process and finances
Contact us:

Customer Support Services: 0300 321 4357 (Mon-Fri, 9am-5:30pm)
support@innovateuk.gov.uk

Knowledge Transfer Network:
https://ktn.innovateuk.org

Innovate UK:
https://www.gov.uk/government/organisations/innovate-uk
Thank You