Freedom of Information request: 2019/0062

Thank you for your freedom of information request received on the 27th February 2019, in which you requested information regarding the data is collected once a Knowledge Transfer Partnership (KTP) has finished.

Our response

I can confirm UKRI hold information in relation to your request. Please see attached

1) Post KTP, how is feedback gathered from each of the three partners: company, knowledge and Associate? Please give a copy of any survey questions or interview questions used in this process

Please see the response for question 2.

2) Post KTP, what time frames are used for any data collection and how are the data gathering tools disseminated?

An end of a partnership a questionnaire is disseminated through the KTP portal to the business, the associate and the Knowledge Transfer Advisor. Each person completes a separate section of the questionnaire and a report is generated. Please find attached the report ‘Example final report’ that is produced. Please note that this has redacted sections, unfortunately due to the way the questionnaire is set up I was unable to procure a blank form. As this is the case attached is a live form where the responses have been redacted.

Innovate UK also surveys the business 3 years and 5 years after completion, please find the ‘Project Completion Form’ attached. This is disseminated via email.

Appendix B of the impact review carried out in 2015 by Warwick Economics and Development also shows the questionnaires used: https://www.gov.uk/government/publications/the-knowledge-transfer-partnership-programme-an-impact-review

3) Post KTP, if data is collected how is data analysed?

The last impact review was commissioned by Innovate UK in 2015 and was independently carried out by Warwick Economics and Development. Information on how the data analysed can be found in the report, which is available in the public domain. Please see the link below to view the impact review.
The data collected is now being stored pending periodic analysis, the next analysis is scheduled to take place in 2020/21.

4) Post KTP, how many responses have you had from any attempts to collect data from either of the three partner in the past 3 years and past 5 years? (Can you give a copy of the responses)

The questionnaire mentioned in question 1 and 2 of your request must be completed before a final payment can be made. As this is the case this has an almost 100% response rate. In regard to the survey sent to businesses 3 and 5 years after completion, this information can be found on the impact review in linked in question 3. For responses since 2015 this has yet to be analysed.

You have also asked for copies of the responses received by Innovate UK. We consider this request to fall under the exemption contained in Section 41 of the FOIA information provided in confidence.

Under Section 41 of the FOIA, information provided in confidence we are exempting the above information. To explain further, companies respond to Innovate UK in confidence and with the expectation that their feedback will be kept in confidence. If released we believe this would result in an actionable breach of confidentiality. As this exemption is absolute there is no requirement to conduct a public interest test.

We also believe this falls under the scope of Section 43 (2) of the FOIA. This exemption is used when we believe disclosure would result of likely result in a person’s (an individual, a company the public authority itself or any other legal entities) commercial interests being prejudiced. To explain further, this is a qualified exemption, meaning that a test was carried out to determine whether public interest outweighs the requirement for commercial confidentiality. The outcome of this test was that the need for confidentiality outweighed the public interest.

It would be in the public interest to view the questionnaires and surveys received on the impact of the KTP programme as public monies are used to fund this activity. As this is the case it is important that the programme has a positive impact and is beneficial to all parties involved. Seeing copies of the responses enable the public to independently assess the impact of the KTP.

However, the questionnaires and surveys completed contain commercially sensitive information such as salary information and business plans, which are disclosed to Innovate UK in confidence. The agreement we have with participants in our programmes is that we will not release any confidential information without their permission. Releasing the responses to the survey and questionnaire data could be taken advantage of by competitors in planning competing strategies for further business opportunities.

We also considered the impact on Innovate UK if commercially sensitive information of companies we and engage with were disclosed. We believe it would damage the trust in Innovate UK and likely impact our ability to carry out our role and manage our current and future investments.

It is also the case that the aggregated data from the surveys and questionnaires are to be analysed by an independent company in 2020/2021. The information will be anonymised and we believe that the impact report and conclusions will be made available in the public domain in the same manner as the 2015 independent impact assessment has been.

Hence, taking the above arguments into account, we reached the decision that the need for commercial confidentiality outweighed the need of public interest; therefore, the information is exempt from disclosure.

5) What recommendations or best practice have been identified from analysis of data collected in the past 5 years?

The Warwick Economics and Development report confirmed that KTP delivers a good return on investment and a range of benefits to the business, university and associate. For the full report please see the link in question 3 of your request.
6) How has results from question 5 impacted on KTP policy.

Policy change is evidence based. Post-KTP data is one evidence base explored when considering changes to the programme. Recent changes to KTP include: increases to associates salary, introduction of flexible working and a review of recruitment practices.

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/

Yours sincerely,

UK Research and Innovation, Information Governance Team
Email: foi@ukri.org
**Partnership:**

**KNOWLEDGE BASE PARTNER**

**Institution name:**
Department: 

**Lead academic**
Name: 
Address 1: 
Address 2: 
Address 3: 
Town: 
Postcode: 
Telephone: 

**COMPANY PARTNER**

**Company name:**
Parent group name: 
Company contact: 
Address 1: 
Address 2: 
Address 3: 
Town: 
Postcode: 
Telephone: 
Company size (or Group if applicable): 

**ASSOCIATE(S)**

Associate 1: 

All information provided through this form will be treated in confidence.

*IF NECESSARY CONFIDENTIAL REPORTS ON BEHALF OF INDIVIDUAL PARTIES MAY BE SUBMITTED SEPARATELY.*

The completed form must be received within one month of the end of the Knowledge Transfer Partnership.

**Grant details (for office use)**

Associate profile: 
Start date: 
KTP grant contribution (£): 
Official end date: 
Company contribution (£): 
Actual end date: 
Total (£): 
KTP Adviser: 
KTP Contribution:
1. **Please give an overall account of the Partnership, setting out**
   a. its original aims (as stated on the Application Form)
   b. the rationale behind it
   c. the main events and achievements for both Partners and for the Associate(s), including problems encountered and solutions adopted.

   There is no need to duplicate here details given on subsequent pages - this section should be used to highlight any other points considered important. It is therefore suggested that you complete this question after you have completed the rest of the form.

2. **Did the aims of the Partnership, as stated above, change during the course of the Project(s), and if so, how?**
3. What is the Company's and (if appropriate) the Group's business? Has this changed as a result of the Knowledge Transfer Partnership?

4. How has the Knowledge Transfer Partnership contributed to the Company's and (if appropriate) the Group's strategy?

5. Describe how the external factors arising during the period of the Knowledge Transfer Partnership have impacted on the Company's and (if appropriate) the Group's strategy. Have these external factors impacted on the Knowledge Transfer Partnership?

6. What specific business opportunity or need of the Company has the Knowledge Transfer Partnership addressed?

7. What new knowledge and capabilities have the Company and its staff acquired as a result of the Knowledge Transfer Partnership?

8. Describe how the new knowledge and capabilities acquired through the Knowledge Transfer Partnership has been embedded into the business e.g. preparation of Process instructions, staff training.
9. **Please provide below a summary of company performance whether or not related to Knowledge Transfer Partnership**

<table>
<thead>
<tr>
<th>Year prior to commencement of KTP (from application form)</th>
<th>Most recent annual figure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sales Turnover</td>
<td></td>
</tr>
<tr>
<td>Exports, by sales value</td>
<td></td>
</tr>
<tr>
<td>Profit before tax</td>
<td></td>
</tr>
<tr>
<td>Number of employees</td>
<td></td>
</tr>
<tr>
<td>Percentage market share</td>
<td></td>
</tr>
</tbody>
</table>

10. **Please provide below information on the change in the Company’s competitive position resulting from the Knowledge Transfer Partnership.**

11. **Summarise how any increase in annual profits shown above relate to the following.**

   - New markets for existing products
   - New products in existing markets
   - New products for new markets
   - Improved production or operational efficiency
   - Improved quality

   100%

12. **Has the Knowledge Transfer Partnership improved the Company's operation in other ways, eg by changing company culture?**

13a. **Please indicate any areas in which social and/or cultural benefits have or will be achieved as a result of this Knowledge Transfer Partnership.**

13b. **Please assess the nature and significance of the impact on your activities achieved through the KTP below. Please describe and, if possible, quantify each impact.**

<table>
<thead>
<tr>
<th>Impact</th>
<th>None</th>
<th>Low</th>
<th>Med</th>
<th>High</th>
</tr>
</thead>
<tbody>
<tr>
<td>Increased breadth of information or extent of dissemination</td>
<td>Î©</td>
<td>Î©</td>
<td>Î©</td>
<td>Î©</td>
</tr>
</tbody>
</table>
14. Please describe and quantify any investments the company has made or will make to implement the results of the Knowledge Transfer Partnership. In the case of future investments, please indicate the likely timescales.
15. Describe and quantify any investment the company has made or will make in Research and Development to exploit the outcomes of the Knowledge Transfer Partnership. In the case of future investments, please indicate the likely timescales.

16. Looking into the future, what further impact are the outcomes of the Knowledge Transfer Partnership expected to have on the Company's performance?

17. Overall, how significant do you believe are the results of the Knowledge Transfer Partnership to:
   The Company's present performance?
   
   The Company's future performance?

18. How has your experience of involvement in a Knowledge Transfer Partnership matched up to your expectations?

   Please explain in what way it has exceeded or failed to meet your expectations:

19. Overall, which of the following in your view best describes the contribution that the Knowledge Transfer Partnership has made to the Company's business.

   If 'None of these' is selected then please describe below:
CP1. If you are willing, please provide a sentence or two on your experience of the Knowledge Transfer Partnership that can be used in KTP promotional material.

Please name the person who is responsible for the wording provided above.
Partnership:

Partners:

20. How has the Knowledge Transfer Partnership contributed to the development of the institution's staff? How important would you rate this effect?

21. What effect has the Knowledge Transfer Partnership had on the institution's teaching (e.g. in terms of curriculum development, case studies material)? How important would you rate this effect?

22. How has the Knowledge Transfer Partnership benefited the institution’s research? How important would you rate this effect?
23. How many students research projects have been established as a result of the Knowledge Transfer Partnership?

Undergraduate: 
Postgraduate:

24. Has the IPR agreement been established between the Knowledge Transfer Partners?

25. If 'Yes', is it anticipated that any commercial benefits to either party will result in the agreement?

Please describe and quantify the benefits to the institution:

Total Benefit: £,000

26. What other benefits have been gained by the institution and its staff as a result of the Knowledge Transfer Partnership?

27. Have your expectations of the KTP Programme been...

Please explain in what way KTP has exceeded or failed to meet your expectations:

28. Overall, which of the following in your view best describes the contribution that the Knowledge Transfer Partnership has made to the development of the institution?

If 'None of these' is selected then please describe below:
KBP1. If you are willing, please provide a sentence or two on your experience of the Knowledge Transfer Partnership that can be used in KTP promotional material.

Please name the person who is responsible for the wording provided above.
PARTNERS FINAL REPORT FORM - OFFICE VERSION

RESULTS FOR THE KNOWLEDGE TRANSFER PARTNERSHIP ASSOCIATE(S)

Partnership:
Partners:

RESULTS FOR THE KNOWLEDGE TRANSFER PARTNERSHIP ASSOCIATE(S)

THIS SECTION TO BE COMPLETED BY THE KNOWLEDGE BASE PARTNER

Our records show that you had 1 Associate(s) employed on the Knowledge Transfer Partnership.

30. Which of the Associates employed on the Knowledge Transfer Partnership have completed their NVQ Level 4 / Diploma in Management Level 5?
   e

31. Which of the Associates employed on the Knowledge Transfer Partnership have received higher degrees directly as a result of their work? (If no degree has been received then please leave this question blank)

   MSc  e  MBA  e  MPhil  e  PhD  e  Other  e

32. How many more higher degrees are expected to be awarded to Associates as a result of the Knowledge Transfer Partnership?

33. Which of the Associates employed on the Knowledge Transfer Partnership were offered continuing employment by the Company Partner?

34. Which of the Associates offered employment above have accepted the Company partner's offer?

35. What are the main job functions of the KTP Associates offered continuing employment by the Company Partner, if applicable?
36. Of the Associates not employed by the Company Partner, how many were employed in each of the following fields?

   If 'Other', please specify here

37. How many Associates left the Knowledge Transfer Partnership three months or more before the end of their contracts?
38. Give details of any changes in Company partner, Knowledge Base partner and Associate personnel directly involved in the Knowledge Transfer Partnership during its lifetime.

Company Partner
Knowledge Base Partner
Associate(s)

39. How many LMC meetings have been held to manage the Knowledge Transfer Partnership?

40. Explain any difficulties encountered in managing the Knowledge Transfer Partnership, their effects on the results, and solutions adopted.

41. To what extent has the LMC helped in determining the solutions adopted above?

42. Give details of any changes in the value or duration of the Knowledge Transfer Partnership and explain their circumstances.

43. Please give your views on the support provided to the Knowledge Transfer Partnership by the TSB and its Advisers and by the KTP Offices/Centres, and how this support might be improved.
44. How might the KTP Programme be improved from the user's point of view?
45. **How many papers on the results of the Knowledge Transfer Partnership have been published in, or submitted to, refereed journals by:**

<table>
<thead>
<tr>
<th>Category</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>KTP Supervisors</td>
<td>0</td>
</tr>
<tr>
<td>KTP Associates</td>
<td>0</td>
</tr>
<tr>
<td>Jointly</td>
<td>0</td>
</tr>
</tbody>
</table>

46. **How many papers on the results of the Knowledge Transfer Partnership are in preparation for submission to refereed journals by:**

<table>
<thead>
<tr>
<th>Category</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>KTP Supervisors</td>
<td>0</td>
</tr>
<tr>
<td>KTP Associates</td>
<td>0</td>
</tr>
<tr>
<td>Jointly</td>
<td>0</td>
</tr>
</tbody>
</table>

47. **How many other publications have arisen from the Knowledge Transfer Partnership, written by:**

<table>
<thead>
<tr>
<th>Category</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>KTP Supervisors</td>
<td>0</td>
</tr>
<tr>
<td>KTP Associates</td>
<td>0</td>
</tr>
<tr>
<td>Jointly</td>
<td>0</td>
</tr>
</tbody>
</table>

48. **How many other publications arising from the Knowledge Transfer Partnership are being prepared by:**

<table>
<thead>
<tr>
<th>Category</th>
<th>Count</th>
</tr>
</thead>
<tbody>
<tr>
<td>KTP Supervisors</td>
<td>0</td>
</tr>
<tr>
<td>KTP Associates</td>
<td>0</td>
</tr>
<tr>
<td>Jointly</td>
<td>0</td>
</tr>
</tbody>
</table>

49. **What other steps have been taken or are planned to disseminate the results of the Knowledge Transfer Partnership?**
50. Are you willing for the results of this Knowledge Transfer Partnership to be published as a Case Study (subject to protecting commercial interests)?

Please provide any additional comments to support your answer, if you wish.
51. Do the Partners have any other plans for further cooperation?

If 'Yes', please describe below. Please include continued joint working as well as continued participation in KTP of individual Partners.
**Statement of Grant Expenditure**

**Partnership:**

**Partners:**

---

**Statement of Grant Expenditure**

*This section to be completed by the Knowledge Base Partner*

Please give an account of expenditure on the Knowledge Transfer Partnership. All figures are for the KTP contribution and exclude industrial contributions against each heading. These figures will inform the assessment process and, if necessary, may be indicative only. Precise final figures are required when completing Schedule 3, which must accompany the final claim. If the "grant provisions" are incorrect, please contact the KTP Programme Office.

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**Full Economic Cost (fEC) Budget**

<table>
<thead>
<tr>
<th></th>
<th>KTP Grant Provision (£)</th>
<th>KTP Expenditure (£)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Associate(s) Employment Costs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Associate(s) Development</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Associate(s) Travel &amp; Subsistence</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consumables</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Directly Incurred Costs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Knowledge Base Supervisor</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Associate(s) Estate Costs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mentoring Support</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Directly Allocated Costs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Indirect Costs</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Additional Associate Support</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Innovate UK

Introduction

Please read the information below before completing the survey. This information includes key information regarding the submission of this survey.

Each participant is required to submit the completed survey within **20 working days** of the project ending. Please export a copy of the completed form at the end of the survey and submit via your monitoring officer. When the form is completed you are provided with a summary of your responses. Please click ‘download PDF’ using the link provided.

You will be able to access the survey from where you left off for a period of **7 days** as long as you are using the **same device**. After this the form will reset and all your answers will be lost. You do not need to click ‘save’ in the form and there is no option to do so, the information will save automatically for a period of up to **7 days**. Once the form is completed it will automatically reset.

As a publicly funded organisation, Innovate UK needs to be able to demonstrate how funding for innovation is used. This survey replaces the final report template as defined in your award letter and enables us to monitor: grant funded activities, outputs and outcomes. The evidence you provide by responding to this survey will be crucial in our ability to provide consistent monitoring of how we utilise public money to further support innovation.

Inevitably, assessing the benefit of an R&D project involves questions
about profitability and Intellectual Property Rights. You should use your best efforts to answer these questions, but do not disclose any information which:

- Would breach any statute or regulation, especially those relating to or limiting the disclosure of financial information;
- would jeopardise any patent or other Intellectual Property applications could damage any ongoing commercial negotiations.

Data will be used in aggregate form for performance reporting and for research and evaluation on project impact for the UK economy. All data will be processed and stored following Innovate UK’s standard data processing terms. Individual responses will never be published or made publicly available. Innovate UK shall apply the same security measures and degree of care to the confidential information received as applied to its own confidential information, which warrants as providing adequate protection from unauthorised access, disclosure, copying or use.

**About Organisation Question Block**

**What is your project number?**

*This is the six digit number on your grant confirmation documents.*
What was your role in the project?

- Lead
- Collaborator
- Academic

What is your organisation name?

What is your Company Registration Number?

In the latest financial year was your enterprise part of an enterprise group?

Enterprise Group Definition: An enterprise group is an entity formed by multiple enterprises in which one or more have the right of control over other
enterprises in the same group, forming a parent company–subsidiary relationship.

In which Country is the head office of your enterprise group located?

What is the full name of your parent company?

What is the companies house registration number of the parent company (if UK based)?
Project Period Questions

Was there a delay on the start of the project?
- Yes
- No

Was there an extension required for this project?
- Yes
- No

By how many months was the start date delayed?

Length of delay

By how many months was the project extended?

Length of extension
Has the project terminated early?

- Yes
- No

What was the reason for the project terminating early?

Project Questions

Has the intended project result been successfully achieved?

- Yes
- Partially
- No
What is the reason you responded ${q://QID21/ChoiceGroup/SelectedChoices} to the previous question?


Does this project relate to any other project funded by Innovate UK (For example: Has your organisation worked on another project where this technology has been developed?)

- Yes
- No

Please enter the project number of the related project or projects.
Project Questions 1

Please characterise the main type of innovation this project aimed to develop?

You can only select one answer to this question.

- Improved Product
- Improved Service
- Improved Process
- Improved Organisational Method

Other, please specify

Is this "New to Firm" or "New to Market"?

New to Firm: New to the firm, but not new to other organisations.

New to Market: Something created by the firm that has not already been done by other organisations.

- New Product to Firm
- New Product to Market
- New Process to Firm
- New Process to Market
- New Service to Firm
Please highlight any other types of innovation this project aimed to develop which are secondary to the main one?
Please tick all that apply.

- Improved Product
- Improved Service
- Improved Process
- Improved Organisational Method
- New Service
- New Process
- New Organisational Method
- Other, please specify
- New Product

Did funding for this project result in the development of new skills or improvement of existing skills for your work force in any of the following areas?

<table>
<thead>
<tr>
<th></th>
<th>Develop</th>
<th>Improve</th>
<th>No Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Technical Skills/Knowledge</td>
<td>○</td>
<td>○</td>
<td>○</td>
</tr>
<tr>
<td>Problem Solving</td>
<td>○</td>
<td>○</td>
<td>○</td>
</tr>
<tr>
<td>Business Planning</td>
<td>○</td>
<td>○</td>
<td>○</td>
</tr>
</tbody>
</table>
Which of the following best describes the state of the project at the following stages? If there were multiple work packages, please think about the primary objective of the project.

<table>
<thead>
<tr>
<th></th>
<th>Develop</th>
<th>Improve</th>
<th>No Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Thinking</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Management</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fund raising</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leadership</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Collaborating and Partnering</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Consortium Questions

Were you part of a consortium on the grant application?

○ Yes
○ No
How satisfied were you with the effectiveness of the consortium in delivering the project?

- Very unsatisfied
- Unsatisfied
- Neither satisfied or unsatisfied
- Satisfied
- Very satisfied

Are you expecting to continue collaboration with the rest of the participants?

- Yes
- Maybe
- No

Other Organisations

Have you worked with any of the following on current project (excluding consortium members)? And have you worked with them previously?
Please tick all that apply.
<table>
<thead>
<tr>
<th>Current Project</th>
<th>Previously</th>
</tr>
</thead>
<tbody>
<tr>
<td>Knowledge Transfer Network (KTN)</td>
<td>□</td>
</tr>
<tr>
<td>Enterprise Europe Network (EEN)</td>
<td>□</td>
</tr>
<tr>
<td>Catapults</td>
<td>□</td>
</tr>
<tr>
<td>Innovation and Knowledge Centres (IKCs)</td>
<td>□</td>
</tr>
<tr>
<td>Research and Technical Organisations (RTOs)</td>
<td>□</td>
</tr>
<tr>
<td>UKTI</td>
<td>□</td>
</tr>
<tr>
<td>Design Council</td>
<td>□</td>
</tr>
<tr>
<td>Growth Hubs or LEPs</td>
<td>□</td>
</tr>
<tr>
<td>Universities</td>
<td>□</td>
</tr>
<tr>
<td>Competitors</td>
<td>□</td>
</tr>
<tr>
<td>Investors</td>
<td>□</td>
</tr>
<tr>
<td>Devolved Administrations (Northern Ireland, Scotland, Wales)</td>
<td>□</td>
</tr>
</tbody>
</table>
For those you worked with on the current project, do you expect to continue working with these organisations in the future?

- [ ] Yes  All of them
- [ ] Yes  Some of them
- [ ] No  None of them

You have worked with a Catapult or IKC on the current project, please specify which one(s).

**IP Questions**
Did your organisation have the rights to use any required IP for this project?

- Yes
- No
- No relevant intellectual property
- Don’t know

Where did this IP originate?

- Originated by a member of the consortium
- Purchased/Licensed from a company
- Purchased/Licensed from an academic institution
- Owned by this organisation
- Other, please specify

What stage are you at regarding the protection of the IP used on this project and are you considering protecting IP with any other organisations involved in the project?
Please provide any relevant patent numbers, separated by commas.

Academic only questions

How many new academic publications have been developed as a result of participation in this project?
Please enter '0' if no publications have been planned or produced.

Planned

Produced

Please provide title(s) and DOI number(s) where relevant

Has involvement in this project increased the possibility of an academic spin out being formed?

- Yes, created
- Yes, planned
- Possibly in the future
- No
- Don't know

Please provide the company name and CRN.
What other audiences would be interested in your outputs from the project, apart from the other members of the consortium?
Please tick all that apply.

- [ ] Policymakers/ Politicians
- [ ] Professional practitioners
- [ ] General public
- [ ] Students
- [ ] Third sector organisations
- [ ] Other academic institutions
- [ ] Other businesses
- [ ] No other audiences
- [ ] Other, please specify

Has your organisation received any awards or recognition as a result of this project?

- [ ] Yes
- [ ] No
- [ ] Don’t Know
Has participation in this project increased the use of university facilities and resources by other organisations?

- Yes
- No
- Don’t know

**Market Impacts**

Thinking about market impacts, do you expect this project to result in?

- Protect current market position
- Expand your market position in the UK
- Expand your market position outside the UK

<table>
<thead>
<tr>
<th></th>
<th>Now</th>
<th>Expected</th>
<th>Never</th>
</tr>
</thead>
<tbody>
<tr>
<td>Protect current market</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>market position</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Expand your market</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>position in the UK</td>
<td></td>
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<td></td>
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<tr>
<td>Expand your market</td>
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<td></td>
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<tr>
<td>position outside the</td>
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<tr>
<td>UK</td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Do you expect to introduce any new products, services or processes as a result of this project?
Thinking of the likely impact of these new products, services and processes, what do you expect the future average annual financial impact in pound sterling (whether positive or negative), to be on the following? The figures provided should refer to income or cost savings generated specifically from your participation in this project. You should try and report them in isolation from other sources of income and revenue. Please enter your best estimate as a numerical figure only.

<table>
<thead>
<tr>
<th>Category</th>
<th>Within a year</th>
<th>1-3 Years</th>
<th>3-5 Years</th>
<th>5+ Years</th>
<th>Never</th>
<th>Don’t know</th>
</tr>
</thead>
<tbody>
<tr>
<td>Products</td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Services</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Processes</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

Sales Revenue

Licensing Revenue

Cost Reduction (e.g. spending on goods & services, salary costs, materials)
For how long do you expect these impacts to last?

Years

How do you think your commercial opportunity has changed as a result of this project?

☐ Greatly Increased
☐ Moderately Increased
☐ No Change
☐ Moderately Decreased
☐ Greatly Decreased
Can you provide a short explanation for why this is the case?

How does your organisation plan to ultimately exploit the product, service or process being developed? Please tick all that apply.

<table>
<thead>
<tr>
<th>Option</th>
<th>UK</th>
<th>Overseas</th>
</tr>
</thead>
<tbody>
<tr>
<td>Create (spin out) a new commercial entity to develop the innovation</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>further</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sell the IP to another organisation or business</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Enter into licensing agreements with another organisation or business</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Produce and sell the product or service using contracted manufacturers</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Produce the product or service using own manufacturing facilities</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Process innovation to reduce costs</td>
<td>☐</td>
<td>☐</td>
</tr>
<tr>
<td>Process innovation to improve</td>
<td>☐</td>
<td>☐</td>
</tr>
</tbody>
</table>
What barriers to exploitation remain?
Please tick all that apply.

- [ ] Further Technical, Scientific or Engineering challenges
- [ ] Availability of Finance
- [ ] Cost of Finance
- [ ] Accessing UK based markets/customers
- [ ] Accessing export markets
- [ ] Lack of qualified personnel/skills
- [ ] None of these
- [ ] High levels of competition from new market entrants
- [ ] UK Government Regulations
- [ ] EU Regulations
- [ ] Lack of or inappropriate industry standards
- [ ] Protecting or exploiting IP
- [ ] Market dominated by established business

UK

Overseas
Are you planning on conducting further R&D to commercially exploit this project?

☐ Yes
☐ No

Are you planning on conducting further R&D to continue this project?

☐ Yes
☐ No

How much additional funding in total do you expect to spend on this R&D and for how long?

Amount (£ Sterling)  

Time to complete (Years)
How are you planning on financing this R&D?

☐ Business Funds
☐ Debt Finance
☐ Business Angels
☐ Venture Capital
☐ Crowd funding

☐ Existing investors
☐ Innovate UK support
☐ Other UK public support
☐ EU support
☐ Other, please specify

You selected "Innovate UK support" or "Other UK public support". Please could you specify any programmes you are currently considering to finance this R&D?
Company Impacts

This section asks for information relating to finances, employment and exports. Full Time Equivalency (FTE) is a measure of worker involvement in an activity. For example, a company with 10 full time employees has an FTE of 10, whilst a company of 10 half time employees will only have an FTE of 5 (pro rata).

Please specify (for the most recent full financial year) your organisation's:

- Annual Turnover
- Annual Net Profit
- Annual Exports
- R&D Spend
- Employment (FTE)
- Active R&D Projects
Please state the final month and year of the financial year you are reporting on?

Month (MM)  

Year (YYYY)  

Please state how many FTE jobs were retained in your organisation as a result of participation in this project? Please report the jobs on a cumulative basis. (i.e: please include any jobs that still exist from 'During the project' and 'Expected in 3 years' in the 'Expected in 5 years' figure.)
Please state how many FTE jobs were created in your organisation as a result of participation in this project?

Please report the jobs on a cumulative basis. (i.e: please include any jobs that still exist from 'During the project' and 'Expected in 3 years' in the 'Expected in 5 years' figure.)

Retained during the project

Expected retained in 3 years

Expected retained in 5 years

Created during the project

Expected created in 3 years

Expected created in 5 years
Did your organisation export any goods or services prior to involvement in this project?

- Yes
- No

Has participation in this project increased the likelihood of your organisation exporting goods or services?

- Yes
- No
- N/A

What percentage of any additional revenue coming from this project is expected to come from exports? (Not including that as a result of sales to another participant)

[Blank Space]
Thinking about your organisation’s participation in this project, what do you think would have happened if the project had not received Innovate UK funding?

Please tick all that apply.

☐ Project would have not gone ahead
☐ Project would have gone on unchanged in the UK
☐ Project would have gone on unchanged outside the UK
☐ Project would have proceeded at a smaller scale/scope
☐ Project would have proceeded at a slower pace
☐ Project would have proceeded without this organisation’s participation
☐ We would have diverted funds to an alternative project with less risk
☐ Sought grant funding from an alternative provider, please specify
☐ Other, please specify

Have you diverted resource away from other activities in order to complete the funded project and if so what proportion of this project’s total costs were diverted?

Please state the % amount.
Further Funding

Please complete the information about the project costs for your organisation in pound sterling.

- Total cost of project for your organisation
- Innovate UK Funding received by your organisation
- Other Public Funding received by your organisation
- Private Funding (own resources)
- Private Funding (external, including debt finance)
Please complete the information about the project costs for your organisation in pound sterling.

Total cost of project for your organisation

Innovate UK Funding received by your organisation

Other Public Funding received by your organisation

As a result of your participation in this project, has your organisation been able to raise further funds, in addition to the match funding?

Please tick all that apply.

- Internal Funds
- Existing Investors
- Debt Finance
- Business Angel
- Venture Capital
- Corporate Venture Funds
- Initial Public Offering
- Other, please specify
- No
You indicated you did receive further funding, please specify the total value of this funding.

Value of funding (£ Sterling)

What was this further funding for?
Please tick all that apply.

- [ ] Further R&D on the same project
- [ ] Production capacity related to the project
- [ ] Delivery and/or Process capacity
- [ ] Market Testing/Launch related to this project
- [ ] General investment in the business
- [ ] Other, please specify

How was the project monitoring provided by Innovate UK?

- [ ] Very Dissatisfied
- [ ] Dissatisfied
- [ ] Neutral
- [ ] Satisfied
During the scoping, designing or implementation of the project did you attend any Innovate UK events?

○ Yes
○ No

Please specify key events


Did you find these events helpful?

○ Yes
○ No

Would you like to be contacted by Innovate UK regarding possible publication of a success story, based on your project?

Very Satisfied
Text Questions

This is an opportunity to provide further information around key areas of the project. This section uses free text space.

Please provide a description of the project's activities and outcomes, covering:

If you would like to upload a PDF of any graphs or charts with additional information, please do so here. This is not a requirement and will not be visible to your Monitoring Officer, however, it may be used for the purposes of evaluation.

The main challenges addressed by the project, and a summary of the key achievements/outcomes?
If the outcome was not in line with expectations, how has it helped to inform the change in the direction of your future R&D?

How will you take the project forward? What barriers to exploitation remain? Will partners be needed?
Has the project had any impact on external relationships, e.g. has it led to new opportunities for future collaboration, new investors or contacts for commercial exploitation?
Are there any wider benefits which you have gained as a result of the grant-funded project? (For example, these could include developing relationships with organisations you might not otherwise have worked with, gaining wider business experience or expertise, or working across boundaries – sectoral or otherwise – which wouldn’t have otherwise happened).

How did Innovate UK’s support enable you to achieve things you might not have otherwise achieved?
Are you happy that all applicable questions have been answered and are correct to the best of your knowledge?

☐ Yes

Thank you for taking the time to complete these questions. Please do not forget to download a copy of your responses on the next page and submit these to your monitoring officer.