

# COMPETITION GUIDANCE NOTES FOR APPLICANTS

*for*  
**Home Office Competition:**

**Innovation Fund for PREVENT  
SBRI Phase 1**

**November 2015**

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## Guidance Notes

These Guidance Notes complement the Invitation to Tender (Document SBRI\_HO\_292\_001) and are designed to help with completing the Application Form (Document SBRI\_HO\_292\_004).

### Section 1: Key Dates

Timeline summary	
Competition opens	2 November 2015
<b>Final date for registration</b>	<b>November 2015</b>
<b>Submission deadline</b>	<b>2 December 2015</b>
Decision to applicants	<b>December 2015</b>
Contracts awarded	January 2016
Feedback provided	January 2016

#### Important Note:

*Please do not leave your submission to the last minute.*

If any technical difficulties arise or if you identify any errors in your submission, we will not be able to grant an extension to the above deadlines.

It is your responsibility to ensure you follow the competition guidance rules and in doing so allow sufficient time to complete all of the competition requirements described in this document.

### Section 2: Application Process



**REGISTER**

To enter this competition, the lead applicant for your project must register via the competition website at <https://interact.innovateuk.org/>

You will receive an email acknowledgement of your registration immediately and then an additional email containing a username and password for our secure upload facility, along with a unique application form and number. Following your registration acknowledgement, please allow up to 48 hours for receipt of your email application form.

**Please note: The last date to register for a competition is noon 7 days prior to the close date.**

#### Multiple project applications

If you wish to apply for funding for more than one project, you must register once and then request additional application forms by emailing an additional registration request to [support@innovateuk.gov.uk](mailto:support@innovateuk.gov.uk).

You will then be able to make separate submissions by completing a unique application form for each separate project, ensuring the appropriate application form is uploaded to the site under the correct application number.

If repeat applications for the same project are submitted, then the repeat applications will be ineligible and not assessed.



**DOWNLOAD**  
documents

Once you have received your unique username and password, you can log into the secure website to access additional documentation relevant to the competition. For this competition these are:

- SBRI\_HO\_292\_001 Invitation to Tender
- SBRI\_HO\_292\_002 Brief
- SBRI\_HO\_292\_003 Guidance (This document)
- SBRI\_HO\_292\_005 FAQs
- SBRI\_HO\_292\_007 Authority Contract
- SBRI\_HO\_292\_009 Phase 1: End Report

**Important note: please do not copy and paste your password into the website as the site will not allow this. You will need to manually enter the password from the email sent to you by the competitions team.**



**COMPLETE**  
documents

- The application form should be completed and submitted as directed using the information in this document and the Invitation to Tender.
- You may also submit two supporting appendices (please see Section 4 of this document for more information)



**UPLOAD**  
documents

Please ensure that you allow plenty of time to upload your completed documents for submission to the competition. Our submission close dates can be very busy which means that file uploads can take some time. We recommend that you upload your application in plenty of time as the deadline is final.

To upload your application documents, log on to the secure website using the details supplied with your secure username and password. See detailed instructions here:

<https://interact.innovateuk.org/-/submitting-your-application>

PLEASE DO NOT SEND COMPLETED APPLICATIONS BY POST OR BY ANY OTHER MEANS THAN AS DIRECTED.

You will be able to see that your application and any supporting appendices have been successfully uploaded as the documents will be visible to you in the Upload folder of your secure website. The file size of each document should be the same as the original documents before you uploaded them.



Once the competition submission deadline is reached, your application is sent for assessment. Once the assessment process is complete, we will notify you of the outcome of your application on the date stated in the timeline.

Notification is sent by email and is sent to the contact's email address entered in your application form.



You will be able to access feedback on your application from the assessors by logging into the secure site on or after the date published in the key dates section.

We will give feedback to unsuccessful applicants approximately 4 weeks after you have been notified of the decision. The lead applicant can access the feedback by logging on to the secure website where you uploaded your application documents. It is the responsibility of the lead partner to communicate the feedback with the rest of the consortia. No additional feedback can be provided and there will be no further discussion on the application.

### **Section 3: Guidance on Completing the Application Form**

This section explains the structure of the application form and offers guidance on the information to include in each section. These notes should be read in conjunction with the application form and are designed to help you to provide the information required.

It is important that you address and respond to each question clearly. To help you, the guidance below provides an explanation of what is required for each question. The guidance notes are not intended to be exhaustive; you should develop your own responses based on your own skills, knowledge and experience.

When completing the application form it is important to take into account that the space provided is to enable you to give the specific amount of information for each question as you feel appropriate for the application. You are encouraged, therefore, to utilise fully all available space and any appendices at your disposal.

Keep the use of acronyms to a minimum. Only use acronyms where a term is mentioned frequently throughout the proposal. If you do choose to use an acronym, do not assume that the

reader knows what it means, and be sure to define it, bearing in mind that individual sections of the application may be read separately during the selection process.

Please ensure that you upload the final and complete version of your application by the deadline. It is your sole responsibility to ensure you upload the application form intended for submission and assessment and not a blank or incomplete application form.

**Important: Please note the following process requirements for the application form:**

- You may only use the application form provided. It contains specific information including a unique reference number for your project.
- The application form contains specific fields and it is important that you complete each field and present a fully completed form. Incomplete forms will be rejected.
- The application form must not be altered, converted or saved as a different version of Microsoft Word.
- The space provided in each field of the form is fixed and you must restrict the content of your responses in each of the fields to the space provided. The typeface, font size and colour are predetermined and cannot be changed. Illustrations and graphics cannot be included in the application form. Please check your completed application form in PRINT VIEW: any text that can't be seen in this view or when the form is printed will not be assessed.
- The light grey shaded fields are completed automatically from other information entered on the form, e.g, the total columns of a table. These cannot be overwritten.

**Application details (mandatory)**

Field	Guidance
Project Title	Please provide the title for the project. This should be both clearly descriptive and concise. It should contain keywords relevant to the project
Project Duration	Phase 1 is of a maximum duration of 4 months.
Total Contract Cost (£s)	Proposed projects can request a total cost of up to £100,000 (contract value) including VAT.
Proposed Start Date	Please provide your proposed start date.
What is the best way to describe your Innovation?	Please select from the options.
Company Details	Please submit the Company name, and other details as requested on the Application Form.
Contact Details	<p>Please submit the lead applicant's name, post held, company name, position etc. Lead applicants are expected before submitting applications, to have discussed their proposals with their own company or any other body whose co-operation will be required in the conduct of the project. By submitting the application you are confirming that the information given, in this application, is complete and that you are actively engaged in this project and responsible for its overall management and agree to administer the award if made.</p> <p>Lead applicants are expected before submitting applications, to have discussed their proposals with their own company or any other body whose co-operation will</p>

be required in the conduct of the project. By submitting the application you are confirming that the information given, in this application, is complete and that you are actively engaged in this project and responsible for its overall management and agree to administer the award if made.

In addition, please provide details of where you heard about the competition.

## Title and Abstract for Publication (mandatory, not scored)

### Question

If your application is successful, we may publish the following brief description of your proposal. Provision of this description is mandatory but will not be assessed.

### Guidance

To comply with Government practice on openness and transparency of public-funded activities, Innovate UK has to publish information relating to funded projects. Please provide a short description of your proposal in a way that will be comprehensible to the general public. Do not include any commercially confidential information, for example intellectual property or patent details, in this summary.

We reserve the right to amend the description before publication if necessary, but will consult you about any changes.

**Whilst this section is not assessed, provision of this public description is mandatory. Funding will not be provided to successful projects without this.**

## Questions (mandatory)

### Question

**Description of Proposed Idea / Technology**

### Guidance

The assessment criteria for this section is referenced in the ITT as:

- How well does the proposal address the challenge?
- To what extent does the proposed project have commercial potential to lead to a marketable product, process or service?

Avoiding the use of unnecessary technical jargon, describe clearly how the proposed project will deliver the outcomes as described in the competition documentation. Please indicate the extent to which your proposed solution meets the scope as specified in the Competition Brief.

In addition, you may attach **Appendix A** showing diagrams or other graphics provided this does not exceed 2 sides of A4.

This section scores up to 30% of the total score.

<p><b>Current State of the Art and Intellectual Property (IP)</b></p>	<p>The assessment criteria for this section is referenced in the ITT as:</p> <ul style="list-style-type: none"> <li>• What is innovative about this project? To what extent does the project develop or employ novel concepts, approaches, methodologies, tools, or technologies for this area?</li> <li>• If relevant, how significant is the competitive advantage which this technology affords over existing/alternate technologies that can meet the market needs?</li> </ul> <p>Please provide details of any competing technologies / market alternatives and the relative benefits of the proposed technology. Include details of any existing IP and its significance to your freedom to operate.</p> <p>This section scores up to 15% of the total score.</p>
<p><b>Project Plan and Methodology</b></p>	<p>The assessment criteria for this section is referenced in the ITT as:</p> <ul style="list-style-type: none"> <li>• How effectively will the project be managed?(NB project activity needs to be undertaken by 31 March 2016).</li> <li>• What are the risks (technical, commercial and environmental) to project success? How effectively will these be managed?</li> </ul> <p>The proposal should demonstrate that there is a clear management plan which will enable the resources, including manpower to be used to maximise high quality outputs. The project plan should identify the major packages of work within the project, with well defined milestones and deliverables. The plan for Phase 1 should be comprehensive. The emphasis throughout should be on practicality – we are seeking evidence that the proposed concept works, can be made into a viable project or product and can achieve the proposed benefits. Appropriate record-keeping and reporting are essential but reports are not in themselves the main goal of the project.</p> <ul style="list-style-type: none"> <li>• A Gantt chart should be supplied in <b>Appendix B</b> (in PDF format, max 2 A4 pages)</li> <li>• Please provide an indication of how any IP which might arise during the project would be handled.</li> </ul> <p><b>Project Management (Mandatory)</b></p> <p>Identify the project management processes that you will use to ensure that milestones are achieved in a timely manner. In addition, also provide details of identified risks and mitigation actions.</p>

	<p>If you are applying from a non-commercial organisation, please include details of your plan for commercialisation of the results of your project.</p> <p>This section scores up to 25% of the total score.</p>
<p><b>Technical Team and Expertise</b></p>	<p>The assessment criteria for this section is referenced in the ITT as:</p> <ul style="list-style-type: none"> <li>To what extent does the company appear to have the right skills to deliver the intended benefits?</li> </ul> <p>A detailed description of the skills and expertise and track record of the team, including the relevant knowledge and skills of each member and the proportion of their time that will be spent on the project. Relevant commercial and management expertise should also be included.</p> <p><b>NB Please submit the Chief Executive’s name, and the name of Chair of Trustees if a charity.</b></p> <p>This section scores up to 15% of the total score.</p>
<p><b>Application Finances</b></p>	<p>The assessment criteria for this section is referenced in the ITT as:</p> <ul style="list-style-type: none"> <li>How appropriate is the proposal financially? Is the overall budget realistic and justified in terms of the aims and methods proposed?</li> </ul> <p>Applicants are instructed that the costs quoted must reflect actual costs at a “fair market value” and profit should not be included.</p> <p>Please provide a summary of costs for Phase 1. All costs should include VAT. In addition, please provide a justification of the costs. If there is significant use of subcontractors, please explain how these will be used and the costs of each. Please note the Assessors are required to judge the application finances, in terms of value for money i.e. does the proposed cost for effort and deliverables reflect a fair market price.</p> <p>The costs should cover the following, as applicable.</p> <p><b>Directly Incurred Costs:</b></p> <p>These are costs that are specific to the project that will be charged to the project as the amount actually spent, fully supported by an audit record in justification of a claim. They comprise:</p> <ul style="list-style-type: none"> <li>Labour costs for all those contributing to the project broken down by individual</li> <li>Material Costs (inc consumables specific to the project)</li> <li>Capital Equipment Costs</li> <li>Sub-contract costs</li> </ul>

	<ul style="list-style-type: none"> <li>• Travel and subsistence</li> <li>• Indirect Costs</li> <li>• Other costs specifically attributed to the project</li> </ul> <p><b>Indirect Costs:</b> Indirect costs should be charged in proportion to the amount of effort deployed on the project. Applicants should calculate them, using their own cost rates. They may include:-</p> <ul style="list-style-type: none"> <li>• Library services/learning resources</li> <li>• Typing/secretarial</li> <li>• Finance, personnel, public relations and departmental services</li> <li>• Central and distributed computing</li> <li>• Cost of capital employed</li> <li>• Overheads</li> </ul> <p>Itemisation of costs and methods of calculation may be requested to support the application at a later date.</p> <p><b>An indication of potential costs for deployment of the project/product which results from the Home Office funding.</b></p> <p>*As part of the application process, the organisation will need to agree to sign the British Values test, to ensure that we do not allow funds to be accessed by organisations with links to extremist organisations.</p> <p>This section scores up to 15% of the total score.</p>
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### Declarations (mandatory)

The lead applicant is expected to have discussed the application within their own company and any other body whose co-operation will be required to deliver the project.

The lead applicant will need to obtain consent from an authorised officer or appropriate signatory who will sign the contract if successful; we will provide a contract for review. The contract is a legally binding document and subject to the outcome of this competition.

By submitting the application you are confirming that the information given, in this application, is complete and that you are actively engaged in this project and responsible for its overall management and agree to administer the award if made. You are also confirming that you have read and understood the relevant explanatory materials i.e. the Invitation to Tender and the Guidance Notes.

## Section 4: Project Appendices

Appendices are submitted with the application form. It is important to note that these are intended to contain supporting information and not substantive elements of answers to the application form questions. Do not, therefore, use the appendices as an overflow to the application form.

In order that assessors can open and read the appendices, each appendix must:

- conform to the maximum length specifications listed below
- be submitted in Portable Document Format (.pdf)
- be legible at 100% zoom/magnification
- display prominently the 'Project title' as entered on page 1 of the application form
- be named as per the specifications given in the guidance 'Submitting your Application' click here: <https://interact.innovateuk.org/-/submitting-your-application>

If you submit appendices longer than specified below, they will be truncated and the excess discarded.

Appendices may be printed or photocopied in black and white, so colour should not be used as the sole method of conveying important information.

Appendix	Guidance
<b>Appendix A</b> <b>Up to 2 sides of A4</b> <b>PDF format</b>	Use Appendix A to provide additional information to support question 5 'Description of Proposed Idea / Technology', with pictures, diagrams or a brief technical document to support your response to this question.
<b>Appendix B</b> <b>Up to 2 sides of A4</b> <b>PDF format</b>	Use Appendix B to provide a Gantt chart to support question 8 'Project Plan and Methodology'

## Section 5: How to find out more

Questions and comments are very welcome while the competition is open. Question on the overall SBRI programme or on the challenges and scope of this competition should be addressed to [sbri@innovateuk.gov.uk](mailto:sbri@innovateuk.gov.uk) quoting ref:HO292.

For any queries relating to how to submit your application, please contact Innovate UK's Customer Support Services on:

E-mail: [support@innovateuk.gov.uk](mailto:support@innovateuk.gov.uk)

Tel: 0300 321 4357

Innovate UK complies with the requirements of the Data Protection Act 1998 and is committed to upholding the data protection principles. Further details with regards to the collection, storage, processing and disclosure of personal information by Innovate UK is accessible from the above link.

## Section 6: What we do with your personal data

Innovate UK complies with the requirements of the Data Protection Act 1998 and is committed to upholding the data protection principles, and protecting your information. Further details with regards to personal data can be found here:

<https://interact.innovateuk.org/terms-and-conditions#personaldata>

The Information Commissioner's Office also has a useful guide, for organisations, which outlines the data protection principles. The link to this guide can be found here:

<https://ico.org.uk/for-organisations/guide-to-data-protection/>