

**Guide to**

**Technology Strategy Board**

**Collaborative Research and Development**

**Competitions**

With thanks to the Transport KTN for writing this document

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## 1.0 Introduction

### 11 About this guide

This is a generic guide written by the Transport KTN on Technology Strategy Board Collaborative R&D competitions, i.e. those which involve multiple partners within a collaborative environment. A different process applies for other competitions such as SBRI, grant for single business R&D etc.

**Note that each competition will have different requirements for applying; if you are planning to submit an application, please ensure that you have read all the relevant information provided on the Technology Strategy Board's website competition pages:**

<http://www.innovateuk.org/competitions.ashx>

This will provide you with the competition:

- Scope – this includes information on the competition
- Guidance for Applicants – this outlines how to apply for the competition and how the submission will be appraised, including the:
  - competition outline,
  - funding levels and conditions,
  - finance criteria and
  - competition stages.

These become available when the competition opens, and can be downloaded by registering your interest in the particular call on the Technology Strategy Board's website.

### 12 About competitions

The role of the Technology Strategy Board is to help businesses understand and recognize opportunities where innovation can be applied in the marketplace and to encourage them to innovate. Through dialogue with the KTNs, industry, academia, research and government, the Technology Strategy Board identifies and funds competitions, which it is anticipated will expedite this process in key technological areas. Links to supporting TSB documentation can be found in Appendix 1.

The Transport KTN provides a key mechanism to enable quality submissions to the competition process, raising awareness, aiding networking and holding consortia---building events, disseminating information to potential participants, and providing advice on the scope of applications and the competition process. The KTN does not offer a proposal---writing service. Interested parties are strongly advised to join the Transport KTN and interest groups on \_connect, sign up for notifications, and keep their profiles up to date, as this is the first place we post information on competitions as well as our primary method for disseminating information. Keeping your profile up to date enables potential partners to identify and contact you.

Transport sectors face common challenges, and there is enormous scope for technology exchange to address these. As such, competitions that the Transport KTN promotes through collaboration events are open to potential participants regardless of industry sector. Those currently outside the road, rail and marine industries are particularly welcome.

### 1.3 Collaborative Research and Development ( R&D) projects

These are competitions for funding for up to 50% of total project costs, and therefore you will be competing with others for the same funding. You must consider how to sell your project concept. You must address how your project will make significant step change, providing an overall positive contribution in terms of economic, environmental and social impacts. You must also demonstrate how funding from the competition will add value.

#### 1.3.1 Criteria for applications

In order to be considered for funding, any project must:

- be business--led
- address specific requirements of the competition (read the scope document carefully. If in doubt, contact the competition hotline before committing any resource)
- be based on research conducted in the UK
- involve two or more collaboration partners located in the UK, at least one of which must be from industry.

The application forms submitted will then be assessed by an independent panel with the highest ranking applications recommended to the technology Strategy Board for funding.

#### 1.3.2 Funding levels

Funding levels apply to the project and not to each participant. It is up to each consortium to decide how the funding is allocated among the project participants. However there has to be a reasonable sharing of both costs and also grant received between the participants. Academic collaborators can be funded for up to 80% of their Full Economic Costs and no industry partner (except an SME, see below) can be funded more than 50% of its eligible project costs. SME can be funded up to 60% of its eligible project costs.

- Micro--companies (fewer than 10 employees) are treated as normal industry participants or collaborators. They must be able to show how the balance of the project costs will be funded.
- Sole traders and partnerships must have been trading for at least 12 months, VAT registered and maintain up to date "Books" or management of their accounts.

Type of Project	Research Category	Funding level as a % of eligible project costs
Collaborative research and Development projects involve industry only. B2B Collaborative R&D.	Basic Research	50%
	Applied Research	50%
	Experimental Development	25%
Involve collaborators from industry and Academic. S2B Collaborative R&D.	Basic Research	75%
	Applied Research	50%
	Experimental Development	25%

Projects can span more than one category of research. You need to identify the work packages in your project that fit within each category.

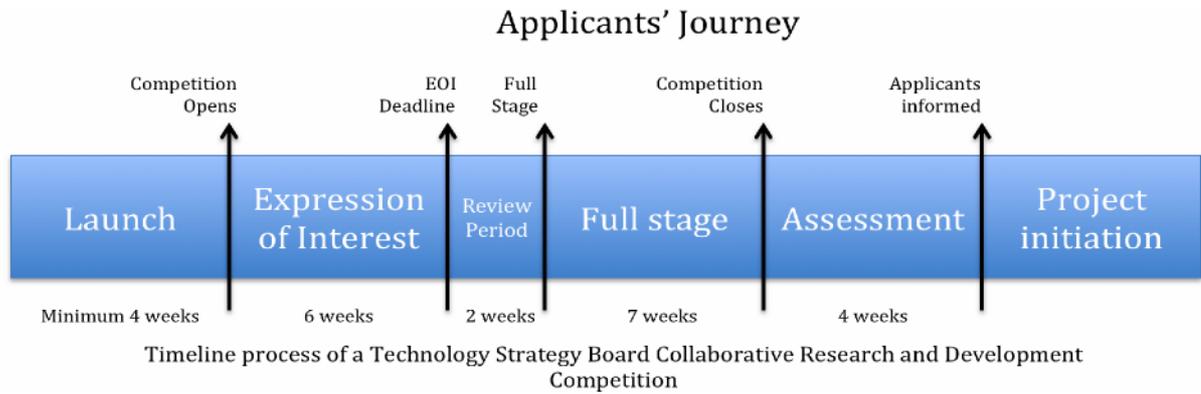
### 1.4 The Competition process

The process to seek funding from the Technology Strategy Board is undertaken using a competitive application process. It follows an efficient, streamlined process, which ensures quick responses to applicants within a stated timeframe. The criteria for appraisal are available to applicants and feedback is available to those that are unsuccessful in securing funding from the Technology Strategy Board.

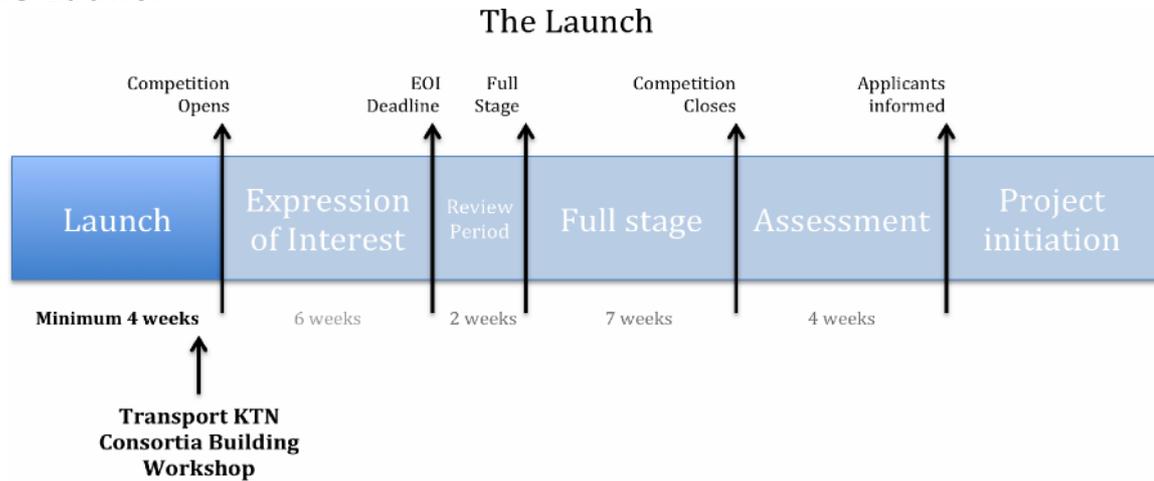
A typical competition lasts 19 weeks and requires two sets of documentation for each application:

1. Expression of interest (EOI) (approximately 6 weeks after the competition is launched)
2. Full Stage Application (approximately 9 weeks after submission of EOI)

The full competition timeline is outlined below, and each stage is detailed in the sections that follow.



## 2.0 The Launch

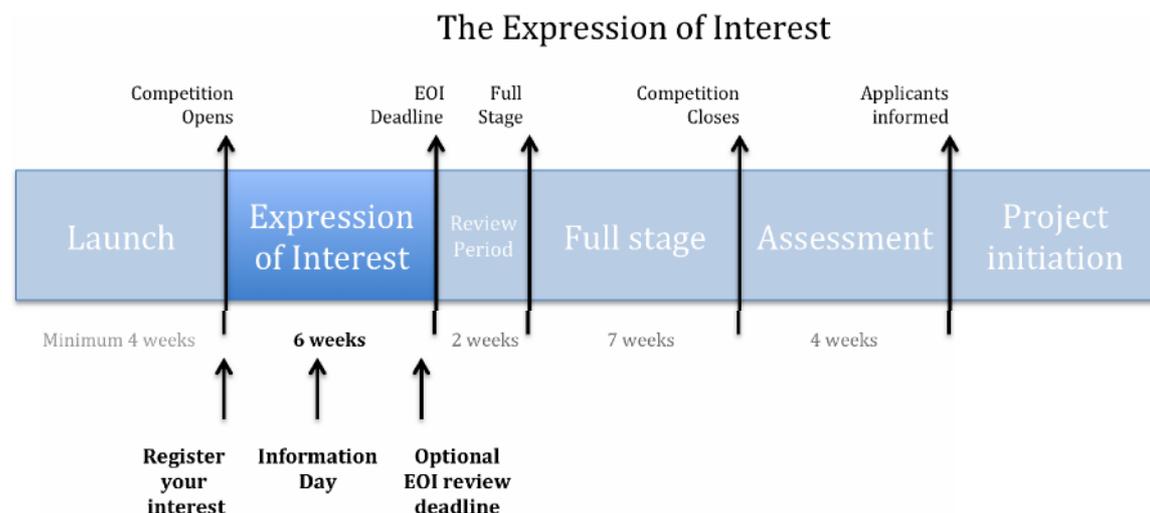


### 2.1 The Launch process

The following information will guide you through the Launch stage of a Technology Strategy Board competition.

- A minimum of 4 weeks prior to the competition opening, the Technology Strategy Board will formally announce the competition.
- Ensure that you have registered with the Transport KTN to automatically receive these announcements. Sign up to the relevant interest groups as well, as we send topic-specific notifications to these; it also enables potential partners on these topics to contact you.
- Ensure that your profile on \_connect is completed. This will enable other people to search and find you for your particular area of expertise in this competition, and other competitions.
- Sign up to the competition page for this particular call. Members of this group will receive all the news on activities first.
- **The Transport KTN will run the main “Brokerage and consortia building information day” on this competition. Although this is optional, it is highly recommended that if you are interested in the competition, you make the time to register and attend.**
  - This will provide detail on the scope of the competition
  - Further background information to what is behind the scope, and how the scope was produced.
  - What is included and what is not included
  - Opportunity to talk to the Technology Strategy Board on the competition scope
  - Option to talk to the Transport KTN to help source potential consortia members for your project
  - Opportunity to present to the group about your organization, what it has to offer, and any project ideas. People can then meet you during the day
  - Networking sessions on themes of the competition to aid consortia building
- To obtain copies of the forms you must go to the competitions page <http://www.innovateuk.org/competitions.ashx> and then select the competition that you are interested in. You can then download the brief for that particular competition.

### 3.0 The Expression of Interest (EOI)



#### 3.1 The Expression of Interest process

The following information will guide you through the Expression of Interest stage of a Technology Strategy Board competition.

- **Use the Transport KTN** to help find consortia and help on projects
  - The Transport KTN does not participate in any projects, and can provide impartial advice on the competition. We are more than happy to sign confidentiality agreements if required.
  - The role of the Transport KTN is to assist you in finding consortia partners, and discuss your project ideas. We can reach across our KTN and access the other KTNs to help find a suitable partner with specific expertise that you are requiring.
  - The Transport KTN will not assist in writing EOI submission.
- Register your interest online
  - Registration is required to enter the competitions, and it is extremely important that you register your interest at least one week before the competition application deadline. Visit the Technology Strategy Board competitions page, select the competition that you are interested in, and register for it.
  - Once you have registered, you will have access to the Applicants' Guide and the EOI form for this competition.
- Technology Strategy Board information day
  - This will be a "guide to applicants" day to assist you through the EOI process. This day will walk you through the application submission process; provide information on common pitfalls, and an indication of what they are expecting to see on the EOI form.
- It is very important for you to consider the following when submitting a project:
  - What is innovative about your project – both commercially and scientifically?
  - Commercialisation and exploitation of the project at the end of the grant. Does the consortia have a route to market at the end of the project What is the business opportunity?
- Consortia Partners
  - This is the EOI stage of the competition, and the Technology Strategy Board fully understand that you may not have your consortia finalised and agreed. Make this

clear in the EOI form, and clear on the type of partner you would be looking for, and the work ( and costs ) that the partner would need to contribute to the project. ○

#### The optional Expression of Interest Process

- **The Transport KTN strongly recommends that you use this process. It will provide valuable feedback to you prior to the EOI deadline, and probably improve your overall application.**
- All applicants are given the opportunity to submit a draft Expression of Interest form before submitting a final Expression of Interest Form.
- This must be submitted online by the lead organisation.
- The Technology Strategy Board officials will provide feedback on the optional Expressions of Interest forms within 3 working days of your submission. This will be confined to the scope of the submission and whether the form as seen appears to address the required questions. Please note that this **does not** pre-empt or forecast the recommendations of the independent panel.
- You can use this process as many times as you like, up to the optional Expression of interest process deadline, which is normally one week before the EOI deadline.
- You **MUST** then convert your Optional Expression of Interest to a full Expression of Interest and submit it. Optional Expression of Interests will not be accepted as full EOIs after the EOI deadline.
- Normally the Competition closes mid-day. Any submissions after this date and time, for instance 12:01, will be rejected, **without exception**.
- If possible, don't risk leaving it until the last minute. You are strongly advised to submit your EOI a few days before the EOI deadline. People still do submit the morning of the deadline, to find that they are having problems, or the IT system for accepting submissions is overloaded and taking time.
- As long as you have submitted your EOI electronically a few days before the deadline, you know that you have something submitted. You can then update your EOI as many times as you like; the final one that will be reviewed will be the last one uploaded before the deadline.
- The lead partner will receive an acknowledgement by e-mail from the technology Strategy Board confirming receipt of each form submitted via the competition website. If you have not received confirmation within 24 hours of submitting your form, please contact the competitions helpline on 0300 321 4357 [or Competitions@tsb.gov.uk](mailto:Competitions@tsb.gov.uk).

### 3.2 The important Expression of Interest Gateway question

The Expression of Interest Form will contain a gateway question, for instance:

**“How does the application align with the specified competition?”**

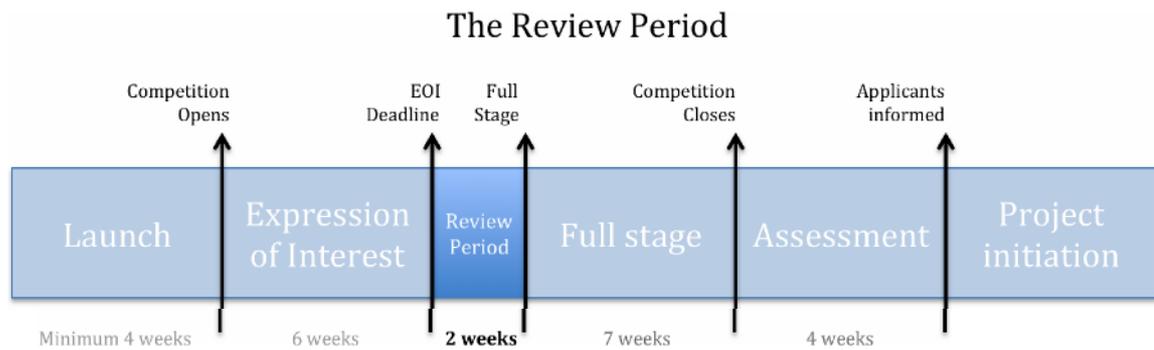
To demonstrate this, applicants need to show that a clear majority of the project's objectives and activities are aligned with the specific competition. In forming their judgment on this, the assessors will also consider whether the application addresses the research objectives and topics it claims to.

**If the review panel consider that the answer to this question is “It doesn't” or “Not enough”, then your application will not pass the Expression of Interest stage.**

### 3.3 The Expression of Interest Form

- You may only use the EOI form provided to you when you register your interest, as this contains your unique reference number.
- Any incomplete fields risk the application being rejected
- Each field has a certain space allocated to it. Use it wisely, but be as comprehensive as possible within the space allocated.
- Appendices cannot be submitted with the EOI form.
- If the Question is “Quantify” then the answer is a number.

## 4.0 The Expression of Interest Review Period



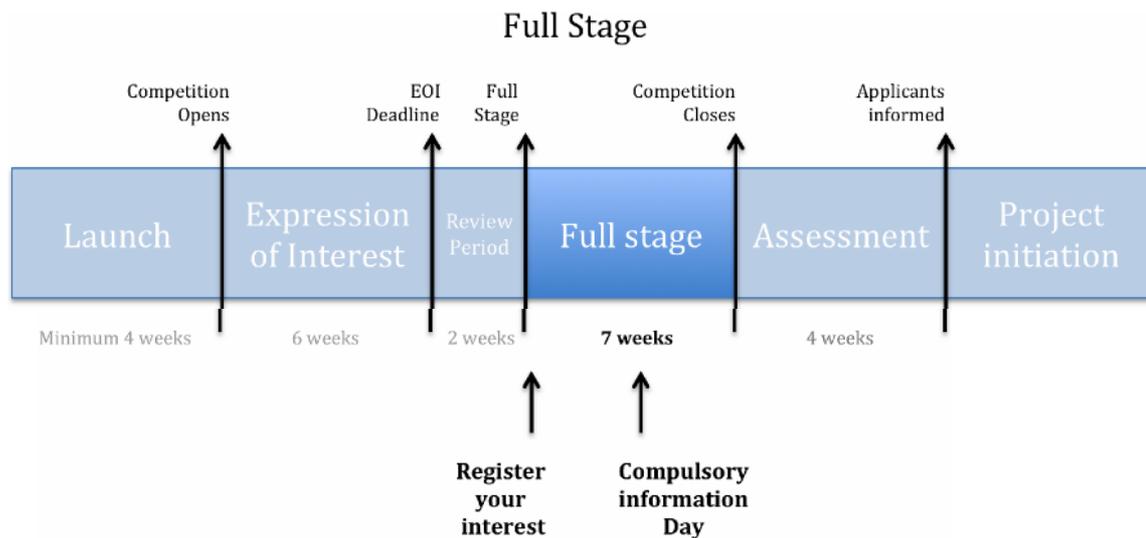
### 4.1 The Technology Strategy Board Review period process

The following information will let you know the process that the Technology Strategy Board undertakes during the EOI Review.

- The Technology Strategy Board appoints independent reviewers for each competition. The Technology Strategy Board preserves reviewers anonymity, and the Transport KTN *do not* know who the reviews are.
- All reviewers are required to sign confidentiality agreements and to declare any potential conflicts of interest, and they are required to treat applications in the strictest of confidence.
- The reviewers only receive submission forms after the Expression of Interest deadline.
- All submissions will be assessed on the following criteria :---
  - The business proposition
  - Project details
  - Funding and added value
- The review process
  - Each reviewer is required to submit their comments for each application they are assigned to review.
  - An independent panel meeting is held to review and discuss all EOI forms and agree a ranked list.
  - The panel also agrees any comments and/or advice that will be fed back to applicants.
  - The Technology Strategy Board will then invite the highest ranking applications to submit a full stage application, in strict order. Usually this would be in the region of 200% of the indicative funding allocation.

For instance, if the competition has £10M available, they will invite £20M worth of projects through to the full submission. This means that if you are invited back to the full stage submission you have approximately 50% change of being funded.

If you are unsuccessful at the EOI stage, please **DO talk to the Transport KTN as soon as possible**. We can provide individual advice if other suitable funding is available, and may be able to help you find alternative partners who would be willing to take the project on. In some cases, a Knowledge Transfer Partnership (KTP) may be suitable for a particular part of the project.



### 5.1 The Full Stage Application process

The following information will guide you through the Full Stage of a Technology Strategy Board competition.

- Only applicants who have been successful at the Expression of Interest stage will be invited by the Technology Strategy Board to submit a Full Stage Application.
- You will need to register your intention to submit a Full Stage Application at least one week before the deadline. Our advice is to register as soon as possible, enabling you to download the Full Stage submission forms. Failure to submit a registration of intent will result in your application being rejected.
- Use the Transport KTN to help find consortia and help on your project. **It is extremely important** to engage with us early during the full stage process. In the past, people have approached us with 1 week to go, and it is virtually impossible to find a suitable partner in agreement who will sign the forms.
- **Use the Transport KTN to help find consortia and help on projects**
  - The Transport KTN does not participate in any projects, and can provide impartial advice on the competition. We are more than happy to sign confidentiality agreements if required.
  - The role of the Transport KTN is to assist you in finding consortia partners, and discuss your project ideas. We can reach across our KTN and access the other KTNs to help find a suitable partner with specific expertise that you are requiring.
  - The Transport KTN will not assist in writing the full stage submission.
- The Technology Strategy Board will run a compulsory Briefing day for during the Full Stage. You will need to send one (or more) representatives from your consortium to attend this event.
- The Transport KTN recommendation is to submit your Full Stage Application and Industry Partner finance forms well before the competition deadline, and update it as required by resubmitting before the deadline.
- The lead partner will receive an acknowledgement by e-mail from the Technology Strategy Board confirming receipt of each form submitted via the competition website. If you have

not received confirmation within 24 hours of submitting your form, please contact the competitions helpline on 0300 321 4357 [or Competitions@tsb.gov.uk](mailto:Competitions@tsb.gov.uk).

- All Academic participants must submit an on-line "Standard Proposal" by the deadline.

This is an on--line form which must be completed and submitted via the Research Councils' Joint electronic submissions (Je---s) website by each academic partner.

- Normally the Competition closes mid---day. Any submissions after this date and time, for instance 12:01, will be rejected, **without exception**.

## 5.2 The important Full Stage Gateway question

The Full Stage Application form will contain a gateway question, for example:

**“How does the full stage application align with the specified technology priority?”**

To demonstrate this, applicants need to show that a clear majority of the project’s objectives and activities are aligned with the specific competition. In forming their judgment on this, the assessors will also consider whether the application addresses the research objectives and topics it claims to.

**If the review panel consider that the answer to this question is “It doesn’t” or “Not enough”, then your application will not be successful.**

## 5.3 The Full stage forms

### 5.3.1 The full stage application Form

- You may only use the Full stage Application form provided online, as this contains your unique reference number. The form must not be altered, converted or renamed.
- Any incomplete fields upon submission risk the application being rejected.
- Each field has a certain space allocated to it. Use it wisely, but be as comprehensive as possible within the space allocated.
- If the Question is “Quantify” then the answer is a number.
- Annexes **can** be submitted with the Full Stage Application
- Illustrations and graphics cannot be included in the full stage application form, but can be included in the Annexes.

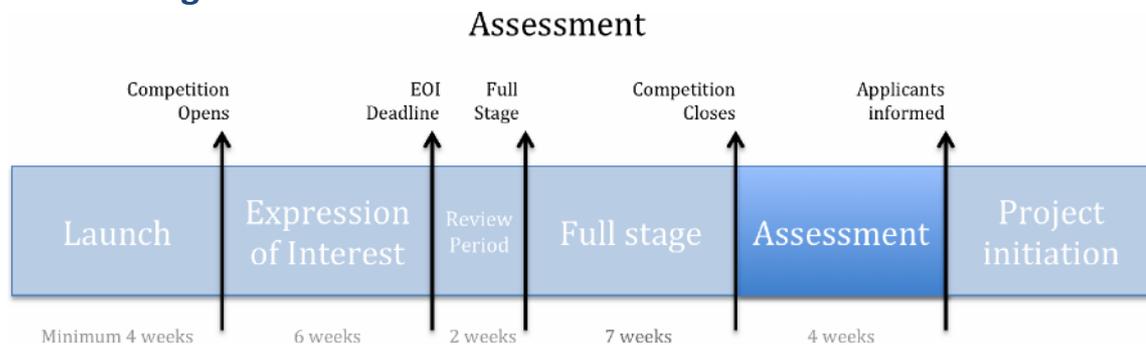
### 5.3.2 The Full Stage Finance Form

- Each industry partner must complete an Industry Partner Finance Form even if they are not seeking funding from the Technology Strategy Board.
- These can be downloaded online by the lead partner and sent out. The completed forms need to be collected by the lead partner, and submitted on---line before the competition closes.

### 5.3.3 The Full Stage Annexes A, B & C

- These must be uploaded online with the full stage application form.
- This must be named **exactly** as indicated in the Full Stage Application form
- They must be submitted as a single file in either MS---Word ( .doc, .docx), MS---Excel (.xls, .xlsx), MS---PowerPoint (.ppt, .pptx) or Portable Document Format ( .pdf).
- The document **must** be legible at 100% Zoom/magnification.
- After receipt, annexes may be printed or photocopied in black and white. Therefore their colour should not be used as the sole method of conveying important information.
- Annex A: **up to** five sides of A4.
- Annex B: **up to** five sides of A4 (or up to seven slides of A4 for Science to Business applications).
- Annex C: Half a side of A4 for each partner and subcontractor.

## 6.0 The Full stage Assessment



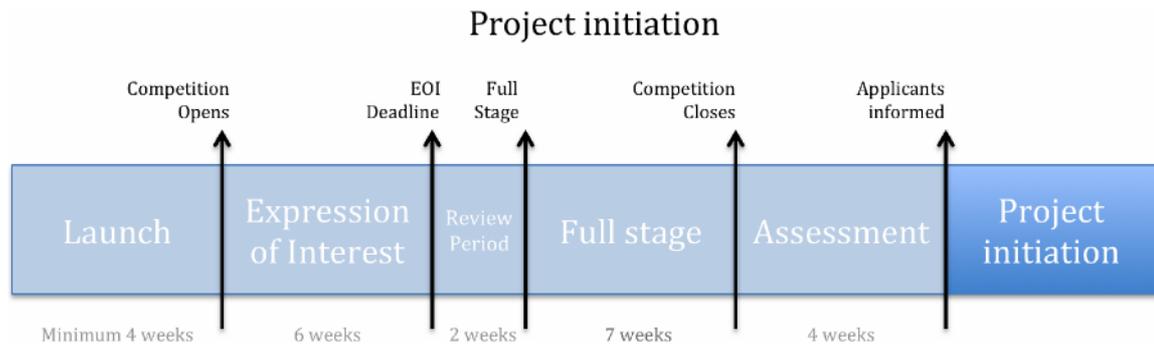
### 6.1 The Technology Strategy Board Assessment process

The following information will let you know the process that the Technology Strategy Board undertakes during final assessment.

- The Technology Strategy Board appoints independent reviewers for each competition. The Technology Strategy Board preserves reviewers anonymity, and the Transport KTN *do not* know who the reviews are.
- All reviewers are required to sign confidentiality agreements and to declare any potential conflicts of interest, and they are required to treat applications in the strictest of confidence.
- The reviewers only receive submission forms after the Full Stage deadline.
- At the independent panel review meeting
  - An assessor, known as the speaker, is allocated to lead the discussion on each application at the panel meeting.
  - The assessors agree appropriate final scores for all the applications.
- After the meeting, the conclusions are recorded in a Panel report, which recommends a ranked list of applications that the assessment panel considers could be funded by the Technology Strategy Board.
- The Technology Strategy Board will then start to allocate their funding to the highest ranked project, then the next project, and so on. This process is continued until all of the funding is allocated to projects. Once the funding is allocated, subsequent projects will not be funded.
- The Technology Strategy Board will inform you whether your application has been successful, subject to the final agreement of the Offer Letter.

If you are unsuccessful in receiving funding, please **DO talk to the Transport KTN as soon as possible**. We can provide individual advice if other suitable funding is available, and may be able to help you find alternative partners who would be willing to take the project on. In some cases, a Knowledge Transfer Partnership (KTP) may be suitable for a particular part of the project.

## 7.0 The Project initiation



### 7.1 The Technology Strategy Board Project Initiation Process

The following information will guide you through the Project Initiation stage of a Technology Strategy Board competition.

- **Congratulations!** You have been selected for funding. The Technology Strategy Board will confirm the terms and conditions of the offer in a formal Offer Letter.
- The Technology Strategy Board will require the Offer Letter to be returned within two months and the Collaboration Agreement signed by all participants, by the end of the third month.
- The Collaboration Agreement should be the only agreement (in addition to the offer letter) between the project participants and it should incorporate the operation and exploitation of the outcomes of the project.
- The Collaboration Agreement can take some time to reach agreement within the consortia partners, especially if there is involvement of the participants' legal and finance departments. It is strongly advised that participants allow sufficient time for this work, and familiarise themselves with the information provided in the Lambert Agreement website at [www.innovation.gov.uk/lambertagreements/](http://www.innovation.gov.uk/lambertagreements/)
- Your project **must** commence within six months of the acceptance of offer date.
- If you do not return a signed copy of the Offer letter to the Technology Strategy Board by the deadline, **the Offer will be withdrawn** and funding will not be provided.

## 8.0 Appendices

### 8.1 Technology Strategy Board Background documentation

**Please copy and paste these links into your browser to download them.** The reason for this is that on some systems we have found that if these are clickable hyperlinks, they return errors instead of the document – a weird “Word” thing.

- The Technology Strategy Board have written a four page document on innovation: “What does your business need to innovate?”

[www.innovateuk.org/assets/pdf/corporate-publications/tsb\\_what\\_does\\_business\\_need\\_intro\\_brochure.pdf](http://www.innovateuk.org/assets/pdf/corporate-publications/tsb_what_does_business_need_intro_brochure.pdf)

- The latest Technology Strategy Board’s strategy for 2011–2015: “Concept to Commercialisation”.

[https://ktn.innovateuk.org/c/document\\_library/get\\_file?uuid=f442b9d3-9d73-402a-93de3fb6d33ae916&groupId=47265](https://ktn.innovateuk.org/c/document_library/get_file?uuid=f442b9d3-9d73-402a-93de3fb6d33ae916&groupId=47265)

- The previous Technology Strategy Board’s Strategy for 2008–2011: “Connect and Catalyse”.

[http://www.innovateuk.org/assets/pdf/corporate-publications/technology\\_strategy\\_board\\_connect\\_and\\_catalyse.pdf](http://www.innovateuk.org/assets/pdf/corporate-publications/technology_strategy_board_connect_and_catalyse.pdf)

### 8.2 Frequently Asked Questions

The Technology Strategy Board have a competition FAQ on their website, which you can access [using this link](http://www.innovateuk.org/competitions/competitonfaqs.aspx).

<http://www.innovateuk.org/competitions/competitonfaqs.aspx>

#### 1. What can I do if my project proposal exceeds the Maximum project spend allocation?

If your application is for funding in excess of that stated on the scope document ( normally £3M ) of public sector support then you must contact the competitions helpline on 0300 321 4357 [or Competitions@tsb.gov.uk](mailto:Competitions@tsb.gov.uk) to discuss your application. This will be classified as a “Large Project”. If you do not contact the helpline, **your application will not be accepted**. The reason is that applications for funding on “Large Projects” will follow a different application and assessment process, though must still submit an EOI.

#### 2. Can the project apply for other public funding?

A project can obtain other sources of public funding, however it MUST be considered as part of the overall project costs. This will be taken into account, with the Technology Strategy Board’s **funding reduced** into the project to compensate for the other public funding. This is to ensure that a “Double Bubble” does not occur, and that the level of Public Funding on a project is maintained.

### 3. What are the Eligible Costs for a project?

If you are unclear how to record your likely costs, you should contact the Competition helpline. The cost estimate must include the costs for the total project, i.e. all collaborators and participants involved in the project.

- a. Labour costs
- b. Reasonable overheads
- c. Materials consumed
- d. Capital equipment
- e. Sub---contracts, consultancy Fees
- f. Reasonable travel and subsistence
- g. Other costs, for example project management (by the lead organisation) training, technical reports, feasibility studies, licensing new technologies, software, certification

### 2. What are Ineligible Project costs for a project?

- a. Project audit, legal and accounting costs
- b. Input VAT
- c. Interest charges, bad debts, profits, entertaining
- d. Hire purchase interest and associated service charges
- e. Advertising and marketing costs or activities
- f. Profit earned by a subsidiary or by an associate undertaking work sub---contracted out under the project
- g. Inflation and contingency allowances expressed as an overall arbitrary percentage, additional to eligible costs. However, reasonable inflation rates can be included in labour and material cost estimates.
- h. The value of existing assets such as IP, data, software programmes and other exploitable assets that any of the collaborators contribute towards the project.
- i. Any of the remaining 20% of Full Economic Costs from academic collaborators

### 3. Please can you clarify IPR within a project?

All IPR generated within the project stays with the project and does not belong to the Technology Strategy Board. Project consortia retain any intellectual property developed during the project and are required to develop and maintain a consortium agreement to manage IP rights between the partners.

### 4. How are Academic Collaborators funded?

- a. All academic collaborators must calculate their project costs on the basis of Full Economic Costs (FEC) as defined by the research councils. Technology Strategy Board funding for successful projects will be provided at 80% FEC, in line with Research Council Funding.
- b. The remaining 20% of FEC costs do not constitute a contribution to the project by the academic partner and must **not** be included in any total project costs provided by the academic partner. Further, it is not allowable for any other partner to provide any of that 20% to the academic or indeed for any partner to provide any of the costs of any other partner within their project costs in any way.