

This document contains the guidance and scoring used by the Assessors when reviewing your application. Assessors will review your answers for each scored question and mark each of them between 1 and 10 (1 being the lowest and 10 being the highest).

Any questions that are not scored will not be reviewed by the Assessor

**Question 1. Applicant location (not scored)**

You must state the name and full registered address of your organisation and any partners or subcontractors working on your project.

We are collecting this information to understand the geographical location of all applicants.

**Question 2. Animal testing (not scored)**

Will your project involve any trials with animals or animal testing?

You must select one option:

- Yes
- No

We will only support innovation projects conducted to the highest standards of animal welfare.

Further information for proposals involving animal testing is available at the [UKRI Good Research Hub](#) and [NC3R's animal welfare guidance](#).

**Question 3. Clinical trials (not scored)**

Will your project involve any human clinical trials?

You must select one option:

- Yes
- No

**Question 4. Permits and licences (not scored)**

Will you have the correct permits and licences in place to carry out your project?

We are unable to fund projects who do not have the correct permits or licences in place by your project start date.

You must select one option:

- Yes
- No
- In process of being applied for
- Not applicable

**Question 5. Specific theme (not scored)**

Select the area that best describes the focus of your application:

- advanced therapies (including gene and cell therapies)
- biosciences
- preclinical technologies and drug target discovery
- therapeutic and medicine development
- diagnostics
- medical technology and devices
- precision medicine
- digital health
- independent living

**Question 6. Need or challenge:**

What is the health or healthcare need, technology challenge, business or market opportunity behind your innovation?

Explain:

- the main motivation for the project
- the health, or healthcare, challenge this project addresses and the impacts your solution will have
- the current methods used to address this challenge, if any, and why they need to be improved
- whether you have identified any similar innovation and their limitations, including those close to market or in development
- any work you have already done to respond to this need, for example, if the project focuses on developing an existing capability or building a new one
- the wider economic, social, environmental, cultural or political challenges which are influential in creating the opportunity, such as incoming regulations

Provide:

- evidence that the health, or healthcare, challenge is real and has a market, both nationally and internationally, that will generate demand for your proposed solution
- any input you have received from healthcare professionals, patients, potential partners or representatives of the onward supply chain

## **Question 6. Assessor guidance and scoring**

Scores 9-10

The proposal articulates (with very strong and detailed supporting evidence) a clear and important health or healthcare challenge and provides a convincing argument of how their innovation will address this challenge.

The applicant has demonstrated a very good understanding of the wider economic, social, environmental, cultural or political challenges relevant to their innovation.

The applicant has demonstrated an excellent and substantiated understanding of the commercialisation opportunities for their innovation.

The applicant has clearly articulated how the proposed project will allow them to make significant progress towards the development of their final commercial innovation.

#### Scores 7-8

The healthcare challenge is clearly justified and is addressed by their innovation.

The applicant has reviewed the wider economic, social, environmental, cultural or political challenges relevant to their innovation.

The applicant has demonstrated a good understanding of the commercialisation opportunities for their innovation.

The outcomes of the proposed project have the potential to deliver a commercial innovation that has a beneficial impact on the healthcare challenge.

#### Scores 5-6

There are potential positive impacts of their innovation on the healthcare challenge, however these are not well defined or are minimal in nature.

The applicant has provided a limited review of the wider economic, social, environmental, cultural or political challenges relevant to their innovation.

The commercial opportunities for their innovations have some potential, but this has not been expressed and evidenced in a satisfactory manner.

The outcomes of the proposed project have the potential to deliver a commercial innovation that has a beneficial impact, but they have not been explained in sufficient detail.

#### Scores 3-4

The healthcare challenge is not clear and the potential impacts of their innovation are unrealistic, limited or poorly defined with significant gaps and inadequately evidenced.

The commercial opportunities for their innovation are tenuous and not well supported or described.

#### Scores 1-2

There is no healthcare challenges or project outcomes.

There is little or no commercial drive to the project and no supporting evidence provided.

### **Question 7. Approach and innovation**

How does your project address the stated needs and challenges, and what is innovative about your idea from a commercial, scientific and technical perspective?

Explain:

how you will respond to the healthcare need, challenge or opportunity identified, and the nature of the outputs you expect from the project, for example, report, demonstrator, know-how, new process, product or service design

- what is innovative about your approach, how does this address the health or healthcare challenge in a novel way
- what is the underpinning scientific or technical evidence to support your solution
- all relevant prior experimental or technical evidence and explain how this links to the proposed study, including any preclinical or clinical work conducted to date and the outcomes
- what the existing products are, current gold standards and practices that are currently in use, and how your innovation compares
- how this innovation will fit into the current standard of care; will the innovation focus on existing technologies in new areas, the development of new technologies for existing areas or a totally disruptive approach
- the technical and commercial benefits and shortcomings of your approach
- the characteristics of a minimal viable product (MVP), if applicable

This list is not exhaustive and you can include the results of competitor analyses and literature surveys.

You can submit one appendix to support your answer. It can include diagrams and charts. It must be a PDF no larger than 10MB. It can be up to four A4 pages but must be in 11 point font size.

### **Question 7. Assessor guidance and scoring**

Scores 9-10

The outputs and deliverables of the project are well defined with a cogent explanation of how they will help to address the stated healthcare challenge.

The project is extremely innovative from a commercial, scientific and technical perspective with solid evidence presented to substantiate the level of innovation, for example, literature surveys, patent searches and competitor analyses.

There is a convincing explanation of how the innovation will be deployed in practice and how it would be superior to current approaches, if applicable.

There is a clear review of their activities in developing their innovation so far, showing how the proposed project will build on this work.

Scores 7-8

The outputs and deliverables of the project are reviewed and should help to address the stated healthcare challenge.

There is clear evidence that the project is innovative from a commercial, scientific and technical perspective.

There is a review of how the innovation will be deployed in practice and how it would be superior to current approaches, if applicable.

There is a clear review of their activities in developing their innovation to this point.

Scores 5-6

The outputs and deliverables of the project are not reviewed in sufficient detail to demonstrate how they will address the healthcare challenge.

There is some evidence that the project is innovative from a commercial, scientific and technical perspective.

There is some explanation how their innovation would be superior to current approaches, if applicable.

Scores 3-4

The outputs and deliverables of the project are not clearly defined.

There is limited evidence that the project is innovative from a commercial, scientific and technical perspective.

Scores 1-2

The outputs and deliverables of the project are not reviewed.

There is no evidence that the project is innovative from a commercial, scientific and technical perspective.

### **Question 8. Team and resources**

Describe how the team has the right skills, experience and access to facilities, to deliver your project and exploit it?

Explain:

- the roles, skills, experience and track record of all members of the project team, including collaborators and subcontractors, to demonstrate their ability to deliver your project and exploit the output
- the resources, equipment and facilities needed for the project and how you will access them
- the current relationships and any previous activities between project partners, and how these will change as a result of the project, if your project is collaborative
- any roles you will need to recruit for and how this process will be managed
- how your project supports or builds on the existing UK supply chain and addresses end user needs

You can submit one appendix, with a short summary of the main people working on the project to support your answer. It must be a PDF no larger than 10MB. It can be up to two A4 pages but must be in 11 point font size.

### **Question 8. Assessor guidance and scoring**

Scores 9-10

The expertise and track record of the project participants, including collaborators and subcontractors, demonstrates excellent capability to deliver the project and to exploit the output.

The project has access to the optimal facilities for the project.

For collaborative projects, the consortium's configuration and objectives are very clear, with strong justification provided to support the applicant's choices of any subcontractors.

The management of future recruitment or resources is well defined, if applicable.

Scores 7-8

The expertise and track record of the project participants, including collaborators and subcontractors, demonstrates good capability in delivering the project and to exploit the output.

The project has access to the appropriate facilities.

For collaborations, the consortium's formation objectives are clear.

The management of future recruitment or resources is reviewed, if applicable.

Scores 5-6

The expertise and track record of the project participants, including collaborators and subcontractors, demonstrates some capability in delivering the project and to exploit the output.

It is unclear that the project has access to the appropriate facilities.

For collaborations, the consortium's formation objectives are unclear.

The management of future recruitment or resources is unclear, if applicable.

Scores 3-4

Evidence of the applicants having access to the right skills and experience are unrealistic or poorly defined.

The project does not have access to the appropriate facilities.

Scores 1-2

There is little or no supporting evidence that the applicants has access to the right skills and experience to deliver the identified benefits.

The consortium is not capable of either carrying out the project or exploiting the results.

### **Question 9. Market awareness**

What does the market or markets you are targeting look like?

Describe:

- the target markets for the project outcomes and any other potential markets, either domestic, international or both
- the size of the target markets for the project outcomes, backed up by references where available
- the structure and dynamics of the target markets, including customer segmentation, together with predicted growth rates within clear timeframes
- the target markets' main supply or value chains and business models, and any barriers to entry that exist



- the current UK position in targeting these markets
- the size and main features of any other markets not already listed

If your project is highly innovative, where the market may be unexplored, describe or explain:

- what the market's size might be
- how your project will try to explore the market's potential

### **Question 9. Assessor guidance and scoring**

#### Scores 9-10

The applicant has demonstrated an excellent and substantiated understanding of the potential markets for their innovation.

The size of the market and growth potential is significant and compelling.

There is a detailed and highly credible analysis of the market structure and dynamics.

If applicable, the current UK position in targeting these markets is reviewed in detail.

#### Scores 7-8

The applicant has a clear understanding of the potential markets for their innovation.

The size of the market and growth potential is reviewed in detail.

There is a detailed analysis of the market structure and dynamics.

If applicable, the current UK position in targeting these markets is reviewed.

#### Scores 5-6

The applicant has provided a limited review of the potential markets for their innovation.

The size of the market and growth potential is not reviewed in sufficient detail.

There is a limited analysis of the market structure and dynamics.

#### Scores 3-4

The market claims for this innovation are unrealistic or ill-defined.

Scores 1-2

There is no market for this innovation.

### **Question 10. Outcomes and route to market**

How are you going to grow your business and increase long term productivity as a result of the project?

Explain:

- your target customers or end users, and how the project outcomes relate to the value propositions needed for them to use or purchase your innovation
- your route to market, channel, geographies and the projected or target market share gains over time from the intended project outcomes
- your current position in the markets and supply or value chains outlined, and whether you will be extending or establishing your market position
- the long-term potential economic benefits to the UK in terms of increasing revenue, profitability, job creation
- the regulatory requirements for the innovation you are developing and the strategies to demonstrate conformity
- how you are going to profit from the innovation, including increased revenues or cost reduction
- how the innovation will affect your productivity and growth, in both the short and the long term
- how you will protect and exploit the outputs of the project, for example, through know-how, patenting, designs or changes to your business model
- your strategy for targeting the other markets you have identified during or after the project

If there is any research organisation activity in the project, describe:

- your plans to spread the project's research outputs over a reasonable timescale
- how you expect to use the results generated from the project in further research activities

### **Question 10. Assessor guidance and scoring**

#### Scores 9-10

The market is well understood with a detailed review of targeted customers and the potential barriers to commercial exploitation or adoption.

There is a compelling explanation of how the principle exploitable outputs of the project relate to the drivers and value propositions of the targeted customers.

There is a clear, realistic, and achievable route to market, including a detailed review of their current market position.

ROI predictions for the company and the UK are thoroughly evidenced.

#### Scores 7-8

The market is reviewed in detail in terms of targeted customers and the potential barriers to commercial exploitation or adoption.

There is a clear explanation of how the principle exploitable outputs of the project relate to the drivers and value propositions of the targeted customers.

There is a viable route to market, including a review of their current market position.

ROI predictions for the company and the UK are clear.

#### Scores 5-6

The market is reviewed in limited detail in terms of targeted customers and the potential barriers to commercial exploitation or adoption.

There is a limited explanation of how the principle exploitable outputs of the project relate to the drivers and value propositions of the targeted customers.

The route to market is unclear.

#### Scores 3-4

The exploitation methods described are unrealistic or ill-defined.

#### Scores 1-2

The exploitation method is missing or implausible and unlikely to succeed.

### **Question 11. Intellectual property (IP) and freedom to operate (FTO)**

What is the IP position of your innovation, and how will it be managed?

Describe:

- any existing IP which may affect, or which is relevant to, the project delivery and exploitation, both internal and external
- the current state of IP ownership and, where necessary, how rights have been assigned
- your freedom to operate and who conducted any FTO analysis if applicable
- any IP that you expect to be generated as a result of your project
- your strategy for protecting the knowledge and IP resulting from your project, and if it is a collaborative project how will you assign IP rights to project partners
- where IP is limited for your project what strategies will be used to stop exploitation by external parties

You must provide evidence that you have freedom to operate and that you can work without infringing other patents, for example, by summarising the results of patent searches.

### **Question 11. Assessor guidance and scoring**

Scores 9-10

Existing IP which may affect the project delivery and exploitation is detailed and assigned.

Details of the intellectual property to be generated as a result of the project are provided.

The strategy for protecting the knowledge arising from the project is thorough.

Freedom to operate is clear and fully evidenced.

Scores 7-8

Existing IP which may affect the project delivery and exploitation is reviewed and assigned.

Intellectual property to be generated as a result of the project is reviewed.

The strategy for protecting the knowledge arising from the project is appropriate.

There is high confidence that there is freedom to operate.

Scores 5-6

Existing IP which may affect the project delivery and exploitation is not fully captured.

Information on intellectual property to be generated as a result of the project is not satisfactory.

The strategy for protecting the knowledge arising from the project is not clear.

There is some evidence to substantiate the freedom to operate but the situation is not entirely clear.

Scores 3-4

The management of IP is unclear or not covered.

Evidence for freedom to operate is poorly presented or poorly understood by applicant.

Scores 1-2

There is no exploitable route due to the presence of existing IP, so no freedom to operate.

## **Question 12. Project management**

Please provide an overview of the technical approach including the main objectives of the work with enough detail for the assessors to understand tasks involved and resources required.

Describe:

- the current status of your innovation and where you expect to be at the end of your project
- your approach to project management, identifying any major tools and mechanisms you will use to get a successful and innovative project outcome
- how the method and technical approach is appropriate to the needs of the project and the timescale
- the main work packages of your project, indicating the lead partner assigned to each and the total cost of each one

- your project plan in enough detail to identify any links or dependencies between work packages or milestones
- how any study design is robust and that key milestone timings are realistic
- your resources and capability to undertake the project
- clear management reporting lines
- If relevant, compare and contrast alternative R&D strategies and describe why your proposed approach will offer the best outcome

You must provide justification for the use of animal or human subjects and the numbers of animals and samples to be tested.

You must submit a project plan or Gantt chart as an appendix to support your answer. It must be a PDF no larger than 10MB. You can also include a study design, protocol or approach. It can be up to four A4 pages but must be in 11 point font size.

### **Question 12. Assessor guidance and scoring**

Scores 9-10

The project plan is fully described; clearly defines appropriate or realistic milestones and go, no-go decision points, and the Gantt chart reflects this adequately.

The project is achievable in the timeframe.

There is a very clear, detailed, and realistic management plan of the activities, and resource management profile.

The applicant has compared alternative R&D strategies.

If applicable, the use of patients, animals or other tissues has been fully justified.

Scores 7-8

The project plan is well described; defines realistic milestones and go, no-go decision points, and the Gantt chart reflects this adequately.

The project is likely to be achieved in the timeframe.

There is a realistic management plan of the activities, and resource management profile.

The applicant has acknowledged alternative R&D strategies.

If applicable, the use of patients, animals or other tissues has been justified.

Scores 5-6

The project plan is described; but milestones and go, no-go decision points are not clear.

The project appears unlikely to succeed in the timeline.

There are gaps in the management plan of the activities, and resource management profile.

Limited acknowledgement of alternative R&D strategies.

If applicable, the use of patients, animals or other tissues has only been partially justified.

Scores 3-4

The project plan has serious deficiencies or major missing aspects.

The plan has little chance of meeting the objectives of the project.

If applicable, there is little justification for the use of patients, animals, or tissues.

Scores 1-2

The plan is totally unrealistic or fails to meet the objectives of the project.

If applicable, there is no justification of the use of patients, animals, or tissues or it is impossible to understand whether their use is appropriate from the information given.

### **Question 13. Risks**

Innovate UK recognises that projects of this type are risky, we expect that your project has adequate arrangements for identifying and managing these risks.

What are the technical, commercial and environmental risks to project success?

Explain:

- your project's risk management strategy
- the main risks and uncertainties of your project and provide a detailed risk analysis for your project's content and approach, including a risk register
- the technical, including regulatory, commercial, managerial and environmental risks as well as other uncertainties, such as ethical issues associated with your project
- the potential impact of these risks and how your project would mitigate them
- the project management tools and mechanisms that will be used to minimise operational risk
- any project inputs that are critical to completion, such as resources, expertise, and data sets
- any output likely to be subject to regulatory requirements, certification, ethical issues and other requirements identified, and how you will manage this

You must submit a risk register as an appendix using an international standard, such as [ISO 14971](#), where possible to support your answer. It must be a PDF no larger than 10MB. It can be up to two A4 pages but must be in 11 point font size.

### **Question 13. Assessor guidance and scoring**

Scores 9-10

Key risks and uncertainties of the project are clearly identified in a detailed risk analysis, including the technical, regulatory, commercial, managerial, and environmental risks.

If appropriate, other uncertainties, for example, ethical issues associated with the project, are detailed.

A comprehensive risk register is provided, identifying the main risks as high/medium/low (H/M/L).

The potential impact of these scenarios is comprehensively explored.

Good mitigation of all significant and relevant risks is provided.

Scores 7-8

Key risks and uncertainties of the project are clearly identified in a risk analysis, including the technical, regulatory, commercial, managerial, and environmental risks.



If appropriate, other uncertainties, for example, ethical issues associated with the project, are captured.

A good risk register is provided, identifying the main risks as high/medium/low (H/M/L).

The potential impact of these scenarios is appropriately demonstrated.

The applicant has defined reasonable mitigation of all significant and relevant risks.

Scores 5-6

There are gaps in the risks and uncertainties of the project.

If appropriate, other uncertainties, for example, ethical issues associated with the project, are not fully captured.

A risk register is provided, but incorrect assessment has been applied in identifying the potential impact of these scenarios.

The applicant has insufficiently applied appropriate control to the all the risks identified.

Scores 3-4

The risk analysis is poor or misses major areas of risk.

The mitigation and management plans are poor.

Scores 1-2

The risk analysis is superficial.

There is minimal mitigation or management suggested.

#### **Question 14. Added value**

How will this public funding help you to accelerate or enhance your approach to developing your project towards commercialisation? What impact would this award have on the organisations involved?

Explain:

- what advantages public funding would offer your project, for example, appeal to investors, more partners, reduced risk or a faster route to market

- why you are not able to wholly fund the project from your own resources or other forms of private-sector funding, including the avenues of alternate funding you have explored and the responses
- how failure to secure public funding for your project would affect the R&D activity undertaken by the project partners and related spend profile, including your plan should public funding not meet any or all of your request
- any claims for activity performed by senior and C-suite staff, why this activity could not be performed by lower cost members of staff and clarify the value of this activity to the project outcomes

Describe any other benefits to the UK and wider UK innovation ecosystem if your project was funded, including:

- any expected impact on government priorities
- any expected environmental impacts, either positive or negative
- any expected regional impacts of the project
- any expected social impacts such as quality of life, social inclusion, public empowerment, health and safety, diversity

#### **Question 14. Assessor guidance and scoring**

Scores 9-10

The project will significantly increase the industrial partners' R&D spend during the project and afterwards.

There is a compelling explanation of why alternative funding sources were not viable for this project.

There is a clear explanation of the options to progress the innovation if not funded via this call.

Any activities requiring senior staff is justified in terms of costs and value to the project, if applicable.

Scores 7-8

The project will increase the industrial partners' commitment to R&D.

There is an explanation of why alternative funding sources were not viable for this project.

There is a review of the options to progress the innovation if not funded via this call.

Any activities requiring senior staff is reviewed in terms of costs and value to the project, if applicable.

Scores 5-6

The project will improve the industrial partners' commitment to R&D.

There is a limited review of why alternative funding sources were not viable for this project.

There is a limited review of the options to progress the innovation if not funded via this call.

There is a limited review of activities requiring senior staff, if applicable.

Scores 3-4

It is unlikely that the project will enhance the industrial partner's commitment to R&D.

The additionality arguments are poor or not sufficiently justified.

Scores 1-2

The work should be funded internally and does not deserve state funding.

### **Question 15. Costs and value for money**

What are the resources required to deliver your project and how much will they cost?

You must:

- explain the total eligible project costs and the grant requested, from each of the project partners
- provide justification of the breakdown of your costs, for example, any quotations you have received
- the balance of costs and grant across the project partners
- any subcontractor costs and why they are critical to your project
- include all internal and external costs for your project (costs must be consistent with the category of R&D being undertaken)
- describe how each partner will finance their contributions to your project including how funding will be available to cover cash flow pending quarterly reimbursement of costs from Innovate UK
- explain the resources required to carry out your project including materials, capital equipment and people

This information should complement the financial summary table in the application form.

### **Question 15. Assessor guidance and scoring**

#### Scores 9-10

The applicant has clearly set out with very strong and detailed supporting evidence a realistic and entirely appropriate total costs and budget breakdown of the project in line with the project plan.

The applicant has clearly demonstrated with very strong and detailed supporting evidence the minimum amount necessary to deliver the project.

For projects seeking to leverage private investment to support the matched element there is strong evidence of investor engagement and ability to convert interest quickly into commitment.

The applicant has realistic plans for management of cash flow.

All large subcontracts have been fully justified, are appropriate and provide good value for money.

#### Scores 7-8

The applicant has set out with good supporting evidence an appropriate total costs and budget breakdown of the project including its key component parts in line with the project.

The applicant has demonstrated with good supporting evidence the minimum amount necessary to deliver the project.

For projects seeking to leverage private investment to support the matched element there is good evidence of investor engagement and potential ability to convert interest quickly into commitment.

The applicant has realistic plans for management of cash flow.

Subcontracts are well justified and appropriate.

#### Scores 5-6

The applicant has provided some supporting evidence of the total costs and budget breakdown of the project including its key component parts which are broadly in line with the project.

There is some supporting evidence that the amount is the minimum necessary to deliver the project.

There may be some concerns on the appropriateness of subcontractors or other costs.

The match funding element is clearly described and accessible.

The applicant has indicated that funding will be available to cover cash flow.

Scores 3-4

The level of funding commitment required for the project is unrealistic, either too high or low, or poorly defined and not well aligned with the project.

The evidence supporting the level of funding required is limited and ability to cover cash flow is unclear.

There is no justification for subcontracting costs.

It is unclear whether the business will have the ability to raise the match funding element.

Scores 1-2

There is little or no supporting evidence of the level of funding commitment required for the project.

The costs are not appropriate or justified.

The business has not evidenced where it will obtain the match funding element or be able to cover cash flow.