

APC8 GUIDANCE FOR APPLICANTS

Anchoring low carbon technology in the UK –
Accelerating sustainable change



Department for
Business, Energy
& Industrial Strategy

Innovate UK



**ADVANCED
PROPULSION
CENTRE**

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1 Introduction

The Advanced Propulsion Centre (APC) was formed in 2013 from a commitment between the government and automotive industry, to position the UK as a global centre of excellence for low carbon vehicle development and production. The APC is a central automotive support pillar of the Automotive Council Industrial Strategy, to help accelerate the development of low carbon advanced propulsion systems and vehicle weight reduction.

What is APC8?

APC8 is the eighth of a regular series of grant competitions opening at approximately six-monthly intervals throughout the year. Grant funded projects must develop technologies that:

1. Deliver significant reductions in vehicle CO₂ and other harmful emissions compared to current best-in-class technologies
2. Align with Automotive Council Technology Group Roadmaps, and their strategic technologies
3. Develop the UK's supply chain and capability in the field of low carbon vehicle propulsion or light weight systems technology.

APC8 is a single-stage competition that opens for applicants on **10th July 2017**. The deadline for registration to the competition is at noon on **20th September 2017** and the deadline for submission of full applications is at noon on **27th September 2017**. For a timeline of key activities see Section 3.

Who is involved?

APC Competitions are formally delivered in partnership between the APC, Innovate UK and the Department for Business, Energy and Industrial Strategy (BEIS).

The APC will:

1. Work with consortia to support bid development.
2. Support the competition process, hosting both launch and guidance events and interviews.
3. Act as advocates for consortia to improve future competitions.
4. Support project delivery once contracts are awarded, through APC staff
5. Act as a source of guidance for consortia during the key critical project start-up phase, and while projects are running.
6. Monitor the impact of the project portfolio.

Innovate UK will:

1. Deliver the competition process and technical assessment framework.
2. Support and manage applicant queries about the competition process.
3. Issue and manage grant contracts.
4. Provide formal assurance that projects are meeting their commitments once they are running (known as Project Monitoring).
5. Approve financial claims and issue funds.

BEIS will:

1. Assess the benefit that the proposed project will deliver to the UK economy, through value for money assessment if that benefit meets an acceptable level and all other assessment criteria are met, BEIS will make a recommendation to Ministers to support funding.
2. Formally monitor delivery of economic outputs during and after delivery of the project.

How do I know if my project or consortia is suitable?

To help you understand whether your proposed project fits the objectives and scope for APC8, see section 2 of this document. This can be accessed via the APC website

www.apcuk.co.uk/competitions/apc8

or the competition page at <https://www.gov.uk/government/collections/innovation-grants-for-business-apply-for-funding#open-funding-competitions>

How much funding could the project receive?

Provisionally, we have been allocated up to £35 million funding to match fund a limited number of collaborative R&D pre-production projects that address the technical challenges outlined in the scope.

Total eligible project costs are expected to be between £5M and £40M. Projects are expected to last between 18 and 42 months. Should your project fall outside any of these limits please contact the APC in advance of applying for an assessment of suitability and approval to submit?

APC funding is for:

1. Industrial Research (see glossary), in which a large business partner will generally attract up to 50% public funding for their total eligible project costs (60% for Medium and 70% for Small/Micro enterprises).
1. Experimental Development, with a business partner attracting 25% funding for their total eligible project costs (35% for a medium and 45% for a Small/Micro enterprise).

Overall, each project will attract no more than 50% public funding of the total eligible project costs. The consortia must decide how to balance funding such that the total grant request for the project does not exceed this. At least 70% of the total eligible project costs must be incurred by commercial organisations. Projects are assessed competitively in value for money terms. As such, it may not be in the consortia's best interest to request the maximum allowable grant under the rules of the competition. The grant requested should reflect the minimum amount of funding that is required to enable the project to proceed.

Overall, each project will attract no more than 50% public funding of the total eligible project costs

Detailed guidance providing reference information on the different categories of funding and the associated rules arising from the state aid framework employed in this programme is provided in [Appendix 1: Funding Rules](#).

How long will it take to apply?

Information is provided to help you understand the scale of the task in Section 5.1. You will need to decide whether your consortia is ready to submit an application for this competition, and whether your technology and/or project is at the correct maturity level to proceed or whether it would be more appropriate to wait for a future round.

What help and advice is available?

For questions relating to the competition process or support systems (including secure file transfer website), refer to Innovate UK.

Contact Innovate UK at support@innovate.gov.uk or call +44 (0)300 321 4357

APC is able to help by:

- Providing general guidance regarding interpretation of competition rules and guidelines on an informal basis.
- Helping your consortia to structure the bid development process.
- Explaining common pitfalls.
- Answering questions regarding whether or not your project is within scope.

Note that the APC role is to provide indicative guidance rather than formal advice.

Contact APC at info@apcuk.co.uk or call +44 (0)24 7652 8700.

Further sources of information are listed at the end of this document, in the FAQs.

What should I do next?

Key dates for the competition are shown in Section 3.

You must register for this competition. You can register for APC8 via the [Gov.UK website](https://www.gov.uk), from the 10th July 2017. Following registration you will receive (by email):

- A uniquely numbered application form. It is vital that the form submitted is the form sent to the Lead Applicant when he/she registers.
- Login details for the Innovate UK secure file transfer site. You must use this site to submit and receive all key documents during the application process.

While the application form may look similar to a form you have used for another competition, the information that you need to submit and the assessment process could be very different. Please read all the guidance.

It is vital that the Lead Applicant be available to receive essential communications during the competition process. The Lead Applicant is a key role in the process and should be the person most able to receive and respond to queries in a timely manner, rather than a figurehead.

Registration details will be passed to the APC team, who may contact you to discuss your application. Please see section 3 for key competition dates.

2 Scope & Eligibility

2.1 Scope

As the global automotive industry addresses the challenge of producing lower-carbon transportation and improving air quality, a supply chain has yet to develop for the next generation of light weight vehicles and propulsion systems, not just in the UK, but internationally.

APC8 is seeking proposals for collaborative research and development projects that demonstrate the development of technologies based around one or more of the following technology areas:

- Alternative propulsion systems
- Electric machines and power electronics
- Energy storage and energy management
- Lightweight vehicle and powertrain structures
- Thermal Propulsion System

Projects are required to lead to significant reductions in vehicle CO₂ emissions and improvements in air quality under operational conditions. Both CO₂ and air quality improvements should be made with reference to comparable, best-in-class vehicles. Applicants must also clearly show, how the project will strengthen UK capability and develop the UK's supply chain in the field of low carbon vehicles.

The competition's aim is to develop on-vehicle technologies and vehicle infrastructure interfaces – for either on-road or off-road vehicles. Technologies that primarily reside off the vehicle, are out of scope.

Consortia must have a clear, demonstrable route to production and line of sight to market, within a short timeframe of project end. They must include at least one vehicle manufacturer and/or a tier 1 supplier, and at least one SME partner.

Consortia should have a clear strategy to realise economic benefits, these could include employment (new and safe-guarded jobs), new business activity or expansion of products and services and value for money delivered to customers.

Consortia should show how they will develop and accelerate the progression of automotive technology and manufacturing readiness. We expect the majority of the technologies included in the application to have been proven/demonstrated in a vehicle representative environment prior to submitting the project application.

Is my project in scope?

Projects must:

- Deliver significant reductions in vehicle CO₂ or other emissions impacting air quality compared to best-in-class technologies.
- Align with Automotive Council Technology Group roadmaps.
- Develop the UK's supply chain in the field of low carbon vehicle propulsion technology or lightweight vehicle structures.
- Be collaborative and business-led.
- Build and grow significant supply chain capability within the UK.

- Include a vehicle manufacturer or a tier 1 supplier and an SME partner.
- Achieve substantial advancement in technology and manufacturing maturity for technologies that have already been proven in a laboratory or vehicle environment.
- Show that the project delivers additional impact beyond what would be achieved through a 'business as usual approach'.
- Handle and secure intellectual property for exploitation by, and to the overall benefit of, UK-based organisations.
- Increase knowledge in people and grow expertise in the UK.
- Consider the performance, durability, integrity and safety of any proposed technology, applying the appropriate standards.

Applications must show how a commercially viable path to production and volume manufacture will be achieved, with a clear strategy for commercialisation and market entry at a globally competitive piece price.

Applicants are strongly encouraged to demonstrate senior management commitment to the success of the project and consortium, in part by showing that the consortium's collaboration agreement is well advanced at the point of submission.

The APC recognise a key factor for the growth of UK Automotive companies is through increased competitiveness. As such the APC are supporting the National Manufacturing Competitiveness Levels (NMCL) initiative. We strongly encourage all industrial participants to participate in this assessment, unless they can clearly demonstrate that this is being achieved through other sources. For further information please contact the APC.

<https://www.nmcl.co.uk/>

Projects that will accelerate disruptive technologies towards market entry are particularly encouraged, as are projects that follow on from activities that have already received funding from Innovate UK.

2.2 Eligibility

Successful applicants can attract grant funding towards their eligible project costs. The percentage of costs supported varies, depending on the type of research being carried out, the type of organisation involved, and the outcome of a value-for-money economic assessment carried out by BEIS. Detailed guidance providing reference information on the different categories of funding and the associated rules arising from the state aid framework employed in this programme is provided in [Appendix 1: Funding Rules](#)

Important notes:

- Changes to the State Aid rules on 1st April 2015 include increases to the thresholds for grants that can be awarded to research and development projects under a General Block Exemption Scheme. For this competition, the thresholds for grants to individual businesses will be as follows:

Industrial research – maximum EUR 20M (previously EUR 10M)

Experimental development – maximum EUR 15M (previously EUR 7.5M)

See [Appendix 1: Funding Rules](#)

- In line with the guidance laid down by the UK Automotive Council in its Industrial Strategy, APC UK will be jointly funded by Government and Industry. The Department for Business, Energy and Industrial Strategy will provide funding to the APC, equivalent to 3.5% of total value of grants agreed by APC UK Ltd. In addition, APC UK will invoice all project partners for an equivalent level of funding.
- Under European Law, projects cannot be funded into the commercialisation phase. Definitions of allowable 'experimental development' and 'industrial research' can be found in the glossary at the end of this document.
- Non-UK based companies and research organisations are eligible to apply for funding provided that prior to the project starting they have set up a UK active transactional base from where the funded work will be carried out. They must also provide evidence that they intend to expand their R&D activity in the UK beyond the life of the specific project. Non-UK based companies who wish to join consortia without requesting grant funding are welcome.
- Projects should support the development of the UK supply chain capability. Where overseas subcontracting is required evidence must be provided to demonstrate why this cannot take place within the UK, and how the funding of overseas contractors will benefit the UK Economy.
- We reserve the right to apply a portfolio approach to ensure the distribution of technology and funds across APC strategic priorities.

3 Competition Timeline

Deadlines are all at noon on the given date, and are absolute and final. In case of technical difficulty it will not be possible to grant an extension, so please allow sufficient time.

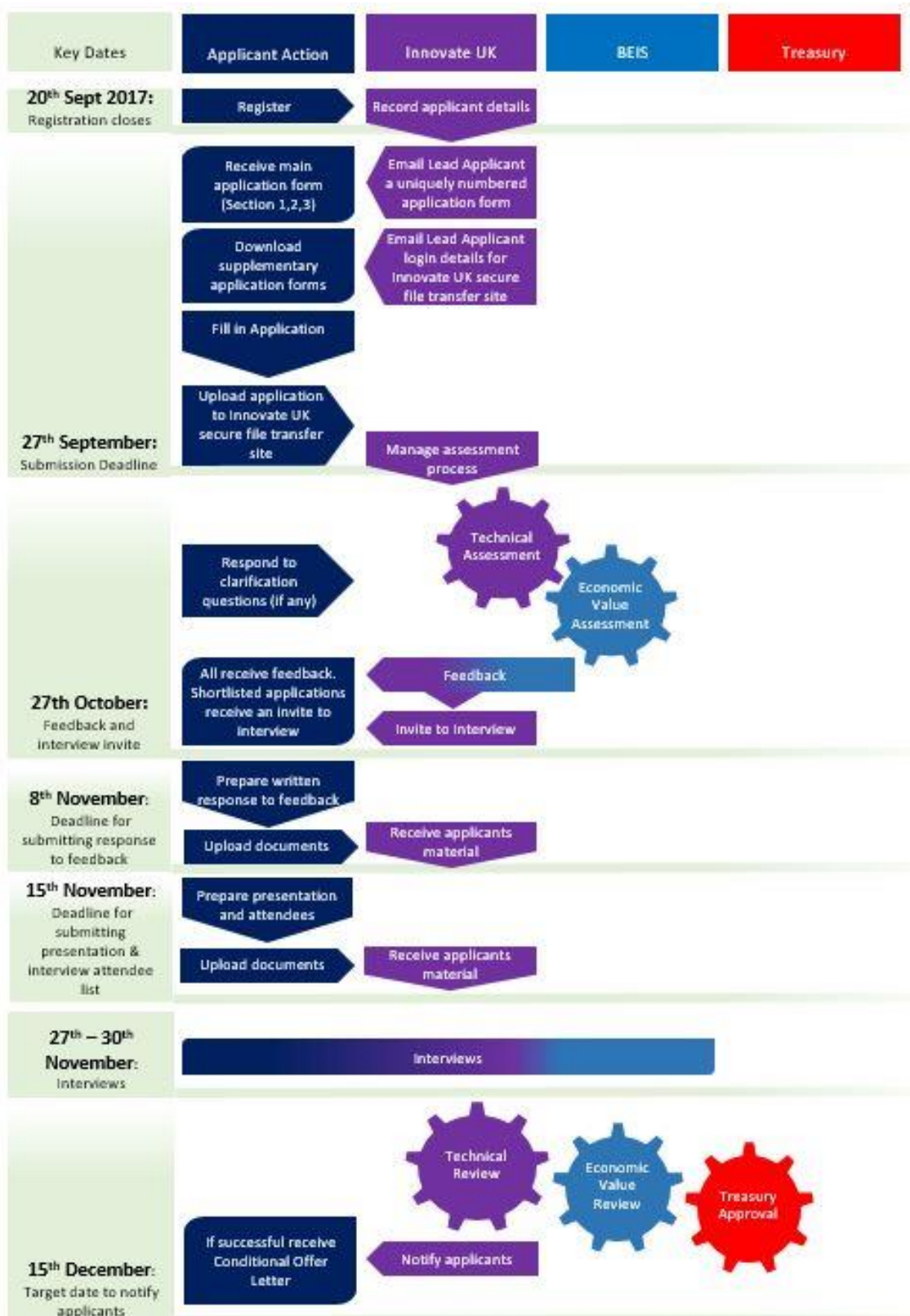


Figure 1: Competition Timeline

4 How Applications are assessed

Information requested to support a grant application enables both technical and economic assessment to be undertaken, and must reflect all members of the consortium. Significant scrutiny and due-diligence will be undertaken to ensure appropriate use of public funding.

This is a competitive process, and assessors will score your application, and this will be used to rank the project against others. Ensure that your application is clear, and statements are supported by evidence. The assessors can only score based on the information that you provide in the documents you submit. They cannot make assumptions and will not take into account any previous knowledge of company performance, other funded projects, experience, or expertise unless it is described in the application. If your track record is of benefit to the project, explain how and why in the application.

The guidance in Section 5.3 highlights the information the assessors need to assess and therefore score the application, it is essential you cover all these points to receive a good score.

The application is assessed in two ways:

Technical Assessment

Innovate UK manage the technical assessment process including sourcing the Technical Assessors. Your application will be assessed by up to five assessors, who are industrial subject matter experts. They work under strict confidentiality agreements, and will be excluded from assessing any application where there could be a conflict of interest.

The Technical Assessors evaluate and score each application against the scope defined in the competition brief. The scores they award are collated and an average is used to rank all of the applications. Where appropriate, a moderation panel will be used to review any applications that fall just below the threshold for invitation to interview.

Top ranking applicants are then invited to interview. If selected for interview, you will receive your written technical feedback from assessors and have the opportunity to supply a written response containing supplementary information. This document must be submitted prior to interview, see section 3.

The technical interview panel will consist of up to 5 independent assessors. The panel will have read your application, your response to feedback and will have seen your presentation slides in advance. Following your presentation and question and answer session each panel member will score your application against competition criteria and make a recommendation whether or not to fund. The majority of the assessor panel must recommend your project for funding for it to proceed.

Economic Value Assessment

The Economic Value assessment is conducted by professional economists employed by BEIS. They assess the predicted value for money of the project from the perspective of taxpayers and UK PLC. In order for the HM Treasury to release funds for grants, the value for money of each project must reach an acceptable threshold.

Value for money, or cost benefit ratio, in this case is defined as:

$$\text{Cost Benefit Ratio} = \frac{\text{Net Economic Benefit to the UK}}{\text{Cost to the exchequer}}$$

The Net Economic Benefit to the UK consists of:

Economic benefits

1. R&D and Innovation.
2. Employment:
 - a. Newly created jobs.
 - b. Safeguarded jobs.
 - c. Indirect supply chain jobs.
3. Upskilling.
4. Wider benefits:
 - a. CO₂ savings and other air quality improvements.
 - b. Benefits to those outside of the consortium, such increased fuel savings to UK consumers, increased UK supply chain content and sales.

Note that increased profits for consortium members are not included within the value for money assessment

Benefits will be discounted considering:

1. Additionality – to what extent would these benefits occur without government support? For example, would the project happen but over a slower timescale, would it take place abroad, or happen on a smaller scale?
2. Displacement – to what extent is a project displacing employment, investment and economic activity in other parts of the UK?
3. Risk – what is the risk of the project not achieving stated economic benefits? This depends on:
 - a. Project and consortium complexity
 - b. The investment required
 - c. Risk management strategy
 - d. The technology itself

The cost to the exchequer is the size of the grant requested in the application and any other public funding required to achieve the benefits you highlight in this application

The Economic Value assessment is conducted by a team of economists who assess the application and provide a view of their analysis to a review panel. This analysis is heavily quality assured by senior economists within BEIS to ensure the judgement is an accurate and independent reflection of the information that has been provided.

If you are invited to interview, BEIS economists may require further information beyond what has been presented in your application. Prior to interview applicants will receive their written feedback from BEIS economists (in tandem with feedback from technical assessors) and have the opportunity

to supply a written response containing supplementary information. This document must be submitted prior to interview.

A successful project application will:

- Clearly illustrate how the project addresses the core objectives of the competition, as defined in the Competition Scope and Eligibility.
- Provide sufficiently detailed technical description of the technology in the project to allow industry experts to make an assessment of suitability. We recommend providing architecture diagrams in an appendix, where appropriate.
- Provide sufficient detail to allow for a thorough value for money appraisal.
- Provide supporting evidence to validate the arguments that are made within the application. Examples of supporting evidence could include letters of support, copies of board meeting minutes, evidence of successfully delivered relevant projects, Internal Rate of Return analysis with and without APC funding.
- Utilise the available space to provide quality information.
- Provide a clear strategy to ensure the successful management and conclusion of the project on time and on budget.

We reserve the right to take a portfolio approach in final selection.

5 Your Written Application

5.1 Planning your Application

How long will it take to prepare my application?

Every project is different, and the time to develop a bid can vary greatly. Based on feedback from applicants to early APC competitions, our data indicates that consortia development, project definition and bid preparation can take in excess of 20 calendar weeks in total. As such, you may decide that you do not have the time to put together a credible bid for the next competition. If this is the case, APC will be happy to work with you now to support bid development for a future competition.

Consortia development, project definition and bid preparation can take in excess of 20 calendar weeks in total

The APC team will be pleased to explain a 'typical' bid development process in more detail, and can help you plan the key activities.

Bid development time will increase when:

- The consortium is large.
- The project involves consortium members who haven't worked together before.
- Boundaries of responsibility are unclear or could overlap.

The application goes far beyond a technical justification and includes full financial data that supports the investment required. Considerable time is required for the bid leader to collate and harmonise all participant information.

APC are working to ensure that the competitions remain active far into the future. By getting in touch with APC to discuss your proposed project and timescale for application, you are helping APC illustrate to Government ongoing demand for the APC competitions.

When defining the start date of the project please be realistic. As an indicator, on average our projects start within 2 months after announcement of the application being successful.

5.2 Preparing your Application

The following illustration shows how the application forms and additional documents fit together to form the full application.

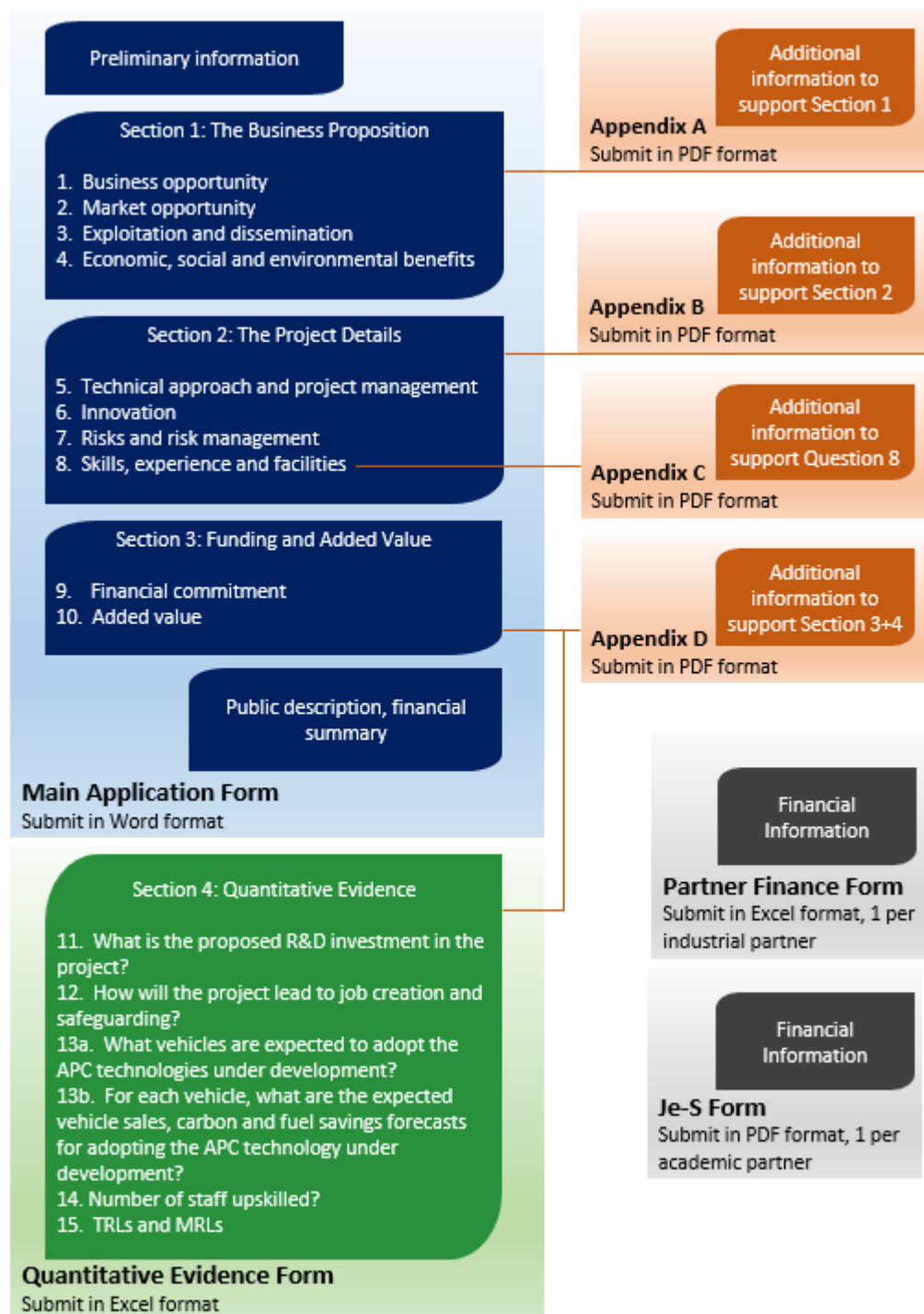


Figure 2: The Application

5.3 The Main Application Form in Detail

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	
Field	Guidance
Competition	This field will show the full name of the competition to which the form applies. You do not need to enter anything here
Project title	Enter the full title of the project.
Project timescales	Enter a realistic estimated start date and planned duration. These are indicative at this stage and are not guaranteed. It is acceptable to request a start date that allows a period of time after competition conclusion to establish the team.
(Lead) organisation name	Enter the full registered name of the (lead) organisation for the project and the company number (as provided by Companies House).
(Lead) organisation contact details	Enter the full name, postcode, e-mail address and telephone number. Please note that this will be the main point of contact for all competition communications, and must be someone who is available to respond to queries.
Document ID	This is completed automatically.
Applicant number	This is completed automatically and is the reference that you should use on all correspondence (this is the 5 or 6 digit number after the dash). This is sometimes referred to as the TP number.
Appendices	The specific requirements for Appendices are provided in Section 4 of this document.

Summary of proposed project (not scored)

Question	Guidance
Please provide a short summary of the content and objectives of the project including what is innovative about it.	<p>This is an opportunity to provide a short summary of the key objectives and focus areas of the project. It is important that this summary is presented in reference to the main outline of the project, with sufficient information to provide a clear understanding of the overall vision of the project and its innovative nature.</p> <p>This summary is not scored, but provides an introduction of your proposal for the benefit of the assessors.</p>

Gateway question: Scope (not scored, Yes/No answer)

Important note:

If the majority of assessors consider that the answer to the Scope Gateway question is 'No', then the application will not be approved for funding. Guidance on the 'Gateway Question: Scope' is therefore critically important and is provided below.

Question	Guidance
Gateway question: Scope - How does this application align with the specific competition scope?	<p>All applications must align with the specific competition scope criteria as described in the relevant Competition Brief.</p> <p>Note: To demonstrate alignment, you 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. It is important, therefore, for you to fully understand the background, challenges and scope of the competition, as outlined in the Competition Brief.</p> <p>You can find the competition scope in section 2 of this document.</p>

Section 1 – 3 should be completed in the main application form and submitted in Word format.
Please number your responses within the form.

Section 1	The Business Proposition (10 points per question = 40 points in total)
Question	Guidance
1. What is the business opportunity that this project addresses?	<p>Outline the business opportunity and what the project team needs to do to successfully address it within the desired timeframe and cost.</p> <p>Describe the nature of the problems or issues facing you and/or your potential customers and how the intended outputs of the project will address these problems and issues.</p>
2. What is the size of the market opportunity that this project might open up?	<p><i>[Please identify PART A and PART B in your answers]</i></p> <p>PART A</p> <p>Describe the size of the market opportunities that this project might open up, including details of:</p> <ul style="list-style-type: none"> • The current nature of the specific market(s) at which the project is targeted (e.g. is it characterised by price competition amongst commoditised suppliers? Is it dominated by a single leading firm?). • The dynamics of the market including quantifying its current size, actual and predicted growth rates. • The projected market share for the project outcome, with justification in the light of any potential competitors. • The potential to create value-add for the UK and/or the European Economic Area (EEA). • Please justify the length of time of benefits with reference to the manufacturing life span of the technology or technologies. <p>Discuss the size of the market opportunity for the technologies developed in the consortium, giving projections and identifying key dependencies. If your technology is being purchased by an OEM or prime outside the consortium then give details on who the buyers will be and submit any evidence of future purchasing commitments e.g. letters of support.</p> <p>Describe and clearly quantify the return on investment that the project could achieve and provide relevant source data references.</p> <p>Where possible, provide evidence for your statements about the addressable market for project outcomes and outline your strategy for developing market share.</p> <p>For highly innovative projects (see question 6) where the market may be unexplored, explain:</p> <ul style="list-style-type: none"> • What the route to market could or might be.

	<ul style="list-style-type: none"> • What the barriers to entry might be. • What the market size might be, with calculations and assumptions underpinning this view made clear. • How the project will seek to explore the market potential. <p>PART B</p> <p>Please identify any competitors in the market you intend the technology to compete with and indicate those who are UK based.</p> <p>Discuss the likely impact on those competitors of the bid being successful: positive and negative. Where possible include changes in market share and the level of business you expect to win from these competitors as a result of receiving grant funding</p> <p>Discuss the geographical location of the markets you expect to sell in and estimate the proportion of the technology you expect to export. Make reference to vehicle class and price bracket</p> <p>Describe where you will be recruiting any new staff from (e.g. from the unemployed, universities, other businesses etc.), how highly skilled you expect the roles to be, and what level of demand you expect there to be in the market place for these staff</p> <p>Describe what area you will be locating in and your primary reason for locating there.</p>
3. How will the results of the project be exploited and disseminated?	<p>List or describe the potential exploitable outputs of the project such as:</p> <ol style="list-style-type: none"> 1. Products or services. 2. Processes. 3. Applications. <p>Describe how these outputs will be exploited by partner including, where applicable: the route to market; protection of intellectual property rights; supply chain benefits; reconfiguration of the value system; changes to business models and business processes and other methods of exploitation and protection.</p> <p>In answering this question, discuss the phasing of the project and your intentions for manufacturing locations of the technology or technologies developed as part of the project. For UK based manufacturing, please justify why this would occur in the UK and identify any risks to this occurring. Describe the follow on investment needed.</p> <p><i>[Note: Risks associated with accessing investment should be captured in the risk analysis (Question 7), and risk table in Appendix B. If you have any evidence of your intention for</i></p>

	<p><i>manufacturing in the UK, for example letters of intent, please include these in Appendix A.]</i></p> <p>Where helpful to the exchange of best practice, and not damaging to commercial interests, the results from this work should be made public on a voluntary basis and a strategy for dissemination of generic outputs from the funded project should be included.</p> <p>PLEASE NOTE: Where research organisations are involved in a project and funded for undertaking non-economic activity, we will expect you to include evidence of plans to disseminate their project outputs over a reasonable timescale. The requirement for dissemination of research results intends to secure wider benefit from the higher level of public support given to research organisations. For further information, please see Appendix 1: Funding Rules</p>
4. What economic, social and environmental benefits is the project expected to deliver to those inside and outside of the consortium, and over what timescale?	<p>Explicitly identify the benefits that will accrue inside and outside of the consortium as a result of the proposed project.</p> <p><i>[This question should be answered in conjunction with Section 4 of the application. Please use this question as an opportunity to explain or justify the assumptions used in preparing the quantitative data that you will include in Section 4: Quantitative Evidence, Questions 11, 12, 13a & b and 14. Where possible reference relevant studies, reports, company data or previous projects where used as evidence that underpin your estimates. You can use the Notes column in Questions 11, 12, 13a & b and 14 to explain assumptions and/or reference this narrative]</i></p> <p>Benefits to partners inside and outside the consortium should be considered and you should make a clear distinction between the two where relevant.</p> <p>Job creation and safeguarding</p> <p>Explain the phasing and duration of the job figures quoted in Section 4: Question 12, making a distinction between newly created and safeguarded jobs. Make the link between the different phases of R&D, pilot and production clear. Justify why those jobs safeguarded, if there are any, would be lost in the absence of the project. Explain and quantify how likely this is to occur. Explain the likely timings of this risk, differentiating between the short-term (<2years) and longer term.</p> <p>Explain any upskilling that consortium members undertake and which is quantified in Question 14. Indicate how many jobs are expected to be supported in the supply chain as a result of the project, and show their value. Where possible, list specific companies or suppliers that are likely to gain indirect jobs or if a multiplier is used this should be justified with supporting evidence.</p>

	<p>Carbon Savings</p> <p>Explain how CO₂ benefits will be delivered beyond those which are mandated by regulation, or achieved by current best in class vehicles. See guidance for Question 13 for more detail on requirements for measuring CO₂ savings.</p> <p>Explain how the technologies employed will deliver the anticipated CO₂ savings. Where multiple technologies will be employed, explain and quantify how each will contribute to the CO₂ reduction.</p> <p>Expected fuel savings for consumers.</p> <p>Explain how fuel savings will arise for customers as a result of applicants going beyond existing regulations, or current best in class. See guidance for Section 4: Question 13 for more detail on requirements for measuring fuel savings.</p> <p>Wider benefits</p> <p>Highlight other wider economic, social or environmental benefits that occur outside of the project consortium. This could be include:</p> <ol style="list-style-type: none"> 1. Benefits to the environment (other than carbon savings which are considered separately) such as air quality improvements. 2. Benefits to businesses or organisations within the UK, who are not part of the consortium but may be part of the supply chain. This may include increased sales to the supply chain from any future expected production, reduced consumption of materials or lower costs, increased skills etc. 3. Fuel savings to non-consortium members. 4. Health benefits to consumers. <p>Wider benefits quantified should not include:</p> <ol style="list-style-type: none"> 5. Increased sales or profit for consortium members. 6. Carbon savings in traded sectors or where driven by regulation. 7. Efficiency savings for consortium members e.g. energy cost reductions. 8. Increased tax revenues for the exchequer. <p>Discuss any un-quantified benefits not included in the Section 4 spreadsheet. Include impacts on the competitiveness and capabilities of the UK supply chain, identifying how this will change as a result of the project. Also include potential CO₂ benefits that this project may bring but where it is not possible to quantify.</p>
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Section 2	The project details (10 points per question = 40 points in total)
Question	Guidance
<p>5. What technical approach will be adopted and how will the project be managed?</p>	<p>Provide an overview of the technical approach including the main objectives of the work. Describe the main areas of work together with their resource and management requirements.</p> <p>In evaluating this the assessors will consider these questions:</p> <ul style="list-style-type: none"> • Is the technical approach and methodology appropriate to the needs of the project and are the innovative steps achievable through the proposed approach? • Is the project plan sufficient in comparison to the complexity of the project? For example, is there sufficient detail to understand the tasks involved and the resources required? • Is the timing of key milestones realistic? • Is there demonstration of sufficient resource commitment and capability to undertake the project? • Are clear management reporting lines identified? • Does the project describe how it will enhance the manufacturing maturity of the technology? Are there appropriate tools and processes described and is there sufficient detail to demonstrate that the project can bring the technology to Manufacturing Readiness Level (MRL) 6? • Does the project clearly target commercialisation at project end? <p>Describe rival technologies and alternative R&D strategies and describe why your proposed approach will offer a better outcome.</p>
<p>6. What is innovative about this project?</p>	<p>Identify the extent to which the project is innovative both commercially and technically.</p> <p>In evaluating this section assessors will consider these questions:</p> <ol style="list-style-type: none"> 1. Does the project push boundaries over and beyond current leading-edge world science and technology? 2. Is the project looking to apply existing technologies in new areas? 3. Explain why and how you are confident that your IP is free from restriction and able to be readily exploited. <p>Highlight and explain the timeliness and novelty of the research aspects of the project in an industrial and/or academic context.</p> <p>Describe any evidence you have to substantiate your belief that the intended work is innovative. This could include the results of</p>

	<p>patent searches, competitor analyses, literature surveys etc. If applicable, you should also outline your own background intellectual property rights, as related to the project.</p> <p><i>[Note: You will be asked to describe the TRL and MRL at commencement and the end of the project, broken down in to key system and subsystems in the template provided in Q15 of Section 4 - Quantitative Evidence]</i></p>
<p>7. What are the risks (technical, commercial and environmental) to project success? What is the project's risk management strategy?</p>	<p><i>[Note: You will be asked to provide a risk table in your chosen format as part of mandatory Appendix B, in support of narrative provided in response to this question]</i></p> <p>The assessors recognise that projects of this type inherently carry a degree of risk, but seek assurance that the projects funded have adequate arrangements for managing this risk. Focus, therefore, on the arrangements for managing and mitigating risk as follows:</p> <ol style="list-style-type: none"> 1. Identify the key risks and uncertainties of the project and provide a detailed risk analysis for the project content and approach, including the technical, commercial, managerial, economic and environmental risks as well as other uncertainties (e.g. ethical issues, risks to job creation or safeguarding jobs) associated with the project. The main risks should then be rated as High/Medium/Low (H/M/L). 2. State how the project would mitigate these key risks. Evidence should be presented on how the risks have been mitigated. The response should distinguish between the probability of contingencies not occurring and the impact this would have on the realisation of future sales/production. 3. Identify key project management tools and mechanisms that will be implemented to provide confidence that sufficient control will be in place to minimise operational risk therefore promoting successful project delivery. This should include the arrangements for managing the project team and its partners. <p>Risks can include but are not limited to: funding gaps, investment needed for production facility, future sales risks, CO₂ savings, supply chain capacity and OEM/prime purchasing. For UK based manufacturing, please justify why this would occur in the UK and identify any risks to this occurring. Describe the follow on investments needed and risks associated with achieving those investments.</p>
<p>8. Does the project team have the right skills and experience and access to facilities to deliver the identified benefits?</p>	<p>In order to show your capability to develop and exploit the technology, describe the track record of the project team members in undertaking and exploiting the results of research and development projects.</p> <p>In evaluating this, the assessors will consider whether:</p>

	<ol style="list-style-type: none"> 1. The project team has the right available mix of skills and experience to deliver the project successfully. 2. The project team's formation objectives are clear and if it would have been formed without APC investment. 3. There is additional benefit demonstrated from the collaboration, for example, increased knowledge transfer. 4. The consortium is greater than the sum of its parts – how the organisations working together will achieve more than if they were working individually. <p>If significant funding of sub-contractors is proposed, justify why this is required and why it cannot be supported by the project consortia directly.</p>
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Section 3	Funding and added value (10 points per question = 20 points in total)
Question	Guidance
9. What is the financial commitment required for the project?	<p><i>[Please identify PART A and PART B in your answers]</i></p> <p>PART A</p> <p>Indicate the anticipated project cost making clear the level of contribution from any project participants and the level of grant funding required. This information should be provided in the financial summary table in the application form.</p> <p>Supporting information and explanation for project costs should be provided in this section of the form. It must be consistent with the category of research & development being undertaken within each work package.</p> <p>Important: If the project spans more than one type of funding (e.g., because significant work packages are in both fundamental and industrial research), you must describe and justify the breakdown of costs between them within the answer to this question.</p> <p>In evaluating this the assessors will consider the following questions:</p> <ol style="list-style-type: none"> 1. Is the budget realistic for the scale and complexity of the project? 1. Does the financial support required from APC fit within the limits set by the specific competition? 2. Is a financial commitment from other sources demonstrated for the balance of the project costs? 3. Has a realistic budget breakdown been provided?

	<p>1. Have any work package breakdowns been described and justified adequately?</p> <p>PART B</p> <p><i>[Note: This question is supported by quantitative information provided in Section 4: Quantitative Evidence, Question 11]</i></p> <p>What is the proposed total investment to bring the technology to production (in answering, distinguish between the APC funded project and the overall investment)? What is the proposed investment in R&D, skills, capital and training?</p> <p>List and assign a proportion for the source of private sector investment by: retained earnings, external debt, equity investment or other source. Where the source is retained earnings, describe the decision making process in allocating this R&D spending. You should make reference to whether the R&D spending is internationally competitive and/or found from UK company budgets.</p> <p>List any other public funds, including any tax relief, that the consortium has applied for, or received, that relate to this project or application. Indicate the size of the funding, the relevant body and details on the type of funding and conditions.</p>
<p>10. How does financial support from APC and its funding collaborators add value?</p>	<p><i>[Note: Supporting evidence can be submitted in Appendix D if required.]</i></p> <p>Specify whether there will be subsequent R&D investment/spend as a result of this initial investment. Show how successful delivery of your project will increase the total amount of money the project team spends on R&D in the UK.</p> <p>Demonstrate the collaboration benefits of the project. For example, highlight whether members of the consortium are based in close geographic proximity to one another, or other automotive firms and or their supply chain; whether they operate in multiple sectors; and if they intend to work closely with universities, research councils or catapult centres on this project. Show why APC funding is either required for the project to be able to proceed, or how APC funding would allow you to undertake the project differently (sooner, more quickly, on a larger scale etc.). Explain why this would be beneficial to the UK.</p> <p>Describe what will happen if the application for funding is not successful. Provide details about whether the project will be scaled back, delayed, move abroad or whether it will not take place at all</p> <p>If you are making the argument that without APC funding, the project would be undertaken in a non-UK location, it would be</p>

	<p>helpful to consider the following questions: Why have you considered these alternative locations? This could include information on the current type and size of operations in these locations; the expected size and growth of the local/regional market; expected cost structure (wages, building, transport, energy); and any existing infrastructure or financial support available. Please also provide information on the quality and availability of equivalent workforce and science and research base in these alternative locations.</p> <p>Explain what other sources of funding have been considered, including private investment. For example:</p> <ul style="list-style-type: none"> • List and assign a proportion for the source of private sector/own expected fund by (retained earnings, external debt, equity investment or other source). Where the source could be retained earnings, describe the decision making process in allocating a proportion of revenues or profits for funding this project; • Any funds raised internally through shareholders; • List any other public funds, including any tax relief, that the consortium has applied for, or received, that relate to this project or application. Indicate the size of the funding, the relevant body and details on the type of funding and conditions; and • List other funding sources which were considered providing supporting evidence of the outcome of these e.g. proof of declined credit. <p>Show why this specific level of funding is required. Supporting evidence could include business cases, Internal Rate of Return analysis or other financial comparisons of the with APC funding and without APC funding scenario. As an example, if a project would go ahead in a non-UK location without this funding, the application could provide a clear analysis that sets out the cost gap between the non-UK location and the UK, and show that the cost gap would be filled by the requested grant amount.</p> <p>Applicants may be asked for additional financial information relating to their bid or organisation, which could be specific to both the project and consortium members. The requirement for additional financial information will vary across applications. It will be dependent upon the nature of the application, and the specific argument for support around which the applicant has structured the application. The decision to seek additional financial information will be taken by BEIS and communicated to applicants accordingly.</p>
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Public description of the project (not scored)

Question	Guidance
If your application is successful, Innovate UK will publish the following brief description of your proposal. Provision of this description is mandatory but will not be assessed.	<p>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.</p> <p><u>This statement will be published</u> by Innovate UK, to meet their obligations for openness and transparency of public-funded activities. It will also be used to provide a summary of the project on the APC website and other promotional material. As such, please take time to ensure that the statement reads well and captures the key objectives of the project.</p> <p>Whilst this section is not assessed, provision of this public description is mandatory. Funding will not be provided to successful projects without this.</p>

Finance summary table

Column 1 Organisation name	Please provide the full names of the (lead) organisation and any participants in the project consortium (organisation names as noted in Companies House).				
Column 2 Organisation Registration Number	Companies should provide the Company Registration Number (as noted in Companies House). Universities/HEIs should enter their RC number/Charitable status/legal entity registration number etc.				
Column 3 Enterprise Category	Please select your Enterprise Category. (SME definition is based on the EU definition) For other definitions, please see Appendix 1: Funding Rules				
	Enterprise category	Headcount	Turnover		Balance sheet total
	Medium sized	<250	<= €50 million	or	<= €43 million
	Small	<50	<= €10 million		<= 10 million
	Micro	<10	<= €2 million		<= 2 million
Column 4 Postcode	Please provide the postcode of each organisation participating in the project.				
Column 5 Contribution to the project by each organisation (£)	Please list the total contribution to be made to the project by each organisation.				
Column 6 Funding sought from APC	Please enter the funding sought from APC for each participant organisation for this competition.				
Column 7 Other funding from public sector bodies	Please include any funding for the project from any other public sector bodies which has been applied for separately, and not as part of this competition. Funding from other public sector bodies might include other applications to research councils, other government departments, devolved administrations, other public sector organisations and some charities. The purpose of this				

	column is to provide Innovate UK with information on the total public funding for the project.
Column 8 Total (£)	The total cost of the project – this is the sum of columns 5, 6 and 7 and will be entered automatically.
Bottom Row Total (£)	The total of each column will be entered automatically.

5.4 The Quantitative Evidence Form in Detail

Section 4 should be completed and submitted in Excel format. Download the blank form from the Innovate UK secure file transfer site. **Please note that this section of the application has been updated for APC8**

The Quantitative Evidence Form in Detail

Section 4 should be completed and submitted in Excel format.

Section 4	Quantitative Evidence (Used to support valuation of economic benefits from the project. Benefits:grant ratio must exceed a hurdle rate for the project to be considered for funding)
Question	Guidance
Background	<p>All data needs to be entered into the grey cells in the worksheets, or by selecting an option from a list in a drop-down menu (these cells are coloured brown). Cells coloured yellow are title cells which cannot be changed. Worksheets are protected so that data cannot be entered into incorrect cells.</p> <p>The jobs worksheet allows additional rows to be inserted to allow jobs to be defined separately for each project partner for the required number of NVQ levels. To preserve formatting, additional lines should be inserted in the middle of rows of input cells. Blank lines can be used to title project partners and group the jobs according to your preferences.</p> <p>Additional rows can also be inserted as required into the Training and TRL/MRL worksheets.</p>
INDEX	<p>In the index sheet, provide the following information:</p> <ul style="list-style-type: none"> • Project title; • APC Applicant number (if known); • Lead company partner name; • Contact email address of person completing this form. <p>The first year of the project is set by default to the year that grant funding is available, but can be changed to the next year if needed, using the drop-down menu.</p>

	<p>Using, the second drop-down menu, ensure that the first year of expected vehicle sales is defined (this is consistent with the first year that corresponding manufacturing jobs will be created and/or safeguarded). This may be towards the end of the APC funded R&D project or later.</p>
Q11. What is the proposed R&D investment in the project?	<p>This section provides information to enable assessors to quantify the economic value of research and development, capital investment and any increase in the skills level of the automotive supply chain. Investment captured here should be investment that occurs <u>in the UK only</u>.</p> <p>Under EU State Aid guidelines, R&D expenditure can fall into one of three categories (see Q11 excel sheet for definitions of these). APC project activities need to be consistent with these definitions, but a breakdown between the three categories is not normally required.</p> <p>R&D expenditure includes all R&D spending that will occur if the applicant is awarded grant funding, including any additional (industry) funding provided by projects partners. Expenditure not relating to or resulting from this project should not be included. The Notes column can be used to reference narrative provided as justification for the numbers quoted in the application form.</p> <p>Capital equipment includes all capital spending that will occur if the applicant is awarded grant funding. This should be calculated in the same way as 'capital usage' is claimed in the Partner Finance Form, and should be the sum of capital usage for all project partners.</p> <p>Skills and training includes all expenditure on training staff which is specific to and necessary for the project.</p> <p>Enter expenditure split by R&D, capital and skills for the following subsets:</p> <ol style="list-style-type: none"> 1. Government funding: An aggregation of the data provided in partner finance forms and will provide an annual view of how much public funding is expected to be used for R&D, Capital and Skills Investment. 2. Industry funding: An aggregation of the data provided in partner finance forms and will provide an annual view of how much private funding is expected to be used for R&D, Capital and Skills Investment. 3. Additional company funding spent on related projects because of this project: This will include follow-on investment <u>as a result of the project</u> on related projects, split by R&D, Capital and Skills investment. For example, subsequent R&D to bring the product to market or capital investment for a production facility. Exclude any funding for which additional government funding (from any scheme) is expected to be obtained. <p>In addition, provide details of additional overseas investment:</p>

	<p>4. Further investment outside of the UK because of the project. This is to report any additional related overseas investment <u>as a result of the project</u>, providing a split by country. For this section, you do not need to provide a breakdown between R&D expenditure, capital equipment and skills and training.</p>
12. How will the project lead to job creation and safeguarding?	<p>This section records the change to employment due to the project. On a cumulative basis, provide the number of jobs created and/or safeguarded grouped by:</p> <ul style="list-style-type: none"> • Research and Development/Design • Manufacturing <p>Administrative and marketing/sales jobs need to be excluded.</p> <p>R&D and Design jobs can be specified for up to 10 years from the start of the APC project. If a small number of manufacturing jobs are created or safeguarded during the R&D phase of the project (e.g. for pilot runs to support any product development or testing) they can be included in this section and labelled accordingly.</p> <p>Ensure that the first year of Production has been specified in the required cell in the Index worksheet. Up to 10 years of manufacturing jobs data can be specified from this start date, which will normally be towards the end of the R&D/Design phase.</p> <p>Manufacturing jobs for production need to be supported by evidence of product sales – see question 13b.</p> <p>In the note section applicants must explain how the job numbers have been derived, including calculations and assumptions underpinning estimates.</p> <p>Job creation and safeguarding</p> <p>A <u>job created</u> is a new job that will be attributed to this project and will endure for a minimum of 12 months.</p> <p><u>Safeguarded jobs</u> are those which already exist in the consortium prior to beginning the project, and would be lost without the funding. The funding must allow a safeguarded job to be retained for a minimum of 12 months for the job to be listed under safeguarded jobs.</p> <p>Numbers quoted should only include jobs created or safeguarded in the UK. Only include jobs from within the consortium that can be directly attributed to this project. The job figures should be given in units of Full- Time Equivalent (FTE) posts. Treat part-time workers as a proportion of FTE.</p> <p>Each job attributed to the project should include the duration, the NVQ level (see NVQ Definitions tab in the spreadsheet), salary and geographic location through a postcode. For agency workers or temporary staff, please include the posts by converting to the number of FTE posts this would represent.</p>

	<p>Direct jobs are the <u>UK jobs</u> that will occur within the consortium companies. Do not include any jobs created/safeguarded outside of the consortium or the UK.</p> <p>The job figures are recorded <u>cumulatively</u>; with a value showing in each column for the whole period over which the job will exist, not just in the year in which the job commences. The cumulative total should extend to the end of the project and could reduce in later years if staff stop working on the project before it ends.</p> <p>For example: in year 1, the project creates a total of 20 R&D jobs. In the following three years, an additional 5 R&D jobs will be created each year. After year 4, the R&D phase of the project comes to an end. In year 3, 100 manufacturing jobs are created and these staff will remain working on the project for 3 years. The following year, 20 manufacturing staff will stop working on the project. This should result in the following:</p> <table border="1" data-bbox="480 869 1385 1122"> <thead> <tr> <th></th> <th>Year 1</th> <th>Year 2</th> <th>Year 3</th> <th>Year 4</th> <th>Year 5</th> <th>Year 6</th> </tr> </thead> <tbody> <tr> <td>R&D jobs</td> <td>20</td> <td>25</td> <td>30</td> <td>35</td> <td></td> <td></td> </tr> <tr> <td>Manufacturing jobs</td> <td></td> <td></td> <td>100</td> <td>100</td> <td>100</td> <td>80</td> </tr> </tbody> </table> <p>Appraisers will consider the risk of non-delivery where applications include substantial jobs, or other benefits, outside the contractual period. Depending on the supporting evidence and narrative provided in the application, this may lead to economic benefit valuations being revised down.</p>		Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	R&D jobs	20	25	30	35			Manufacturing jobs			100	100	100	80
	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6																
R&D jobs	20	25	30	35																		
Manufacturing jobs			100	100	100	80																
<p>Q13a. What vehicles are expected to adopt the APC technologies under development?</p>	<p>Information can be submitted for up to 4 different vehicle platforms which will use the new technology. First use the drop-down menu to define whether vehicle usage will be defined in terms of 'km/year' (the norm) or 'kWh/year' (this normally only applies to off-road vehicles). Note that the vehicle usage definition cannot be mixed within the form, but APC technology is unlikely to apply to both cases – if necessary create a copy of sheets Q13a and Q13b).</p> <p>Provide the following information in separate columns for each vehicle platform (up to four vehicles) which will use the new project technology.</p> <table border="1" data-bbox="480 1839 1385 1977"> <tr> <td>Vehicle make / description</td> <td>Please provide details about the vehicle including make and model.</td> </tr> </table>	Vehicle make / description	Please provide details about the vehicle including make and model.																			
Vehicle make / description	Please provide details about the vehicle including make and model.																					

	Engine type	From the drop-down menu, please select whether the vehicle engine type is Petrol, Diesel, Hybrid or Electric.
	Comparator engine type	From the drop-down menu, please select whether the comparator vehicle engine type is Petrol or Diesel.(see details on comparator vehicles in the 'expected carbon savings' section below.)
	Usage per year	Please provide the average annual vehicle usage. This needs to be defined in terms of km per year or KWh per year, as defined earlier.
	Life-time of vehicle	Please provide the average lifetime of the vehicle.
	% of sales exported to EU	Please provide the expected proportion of sales which will be exported to the EU (excluding the UK).
	% of sales exported to RoW	Please provide the expected proportion of sales which will be exported to the rest of the world (excluding the EU).
	% of tailpipe CO2 savings from this APC project	In order to calculate that CO2 benefit that is specifically associated with the technologies developed in the project, estimate the percentage of vehicle CO2 reduction that is achieved specifically by delivering the project technologies to the vehicle platform. For example, if the new vehicles will have multiple technologies applied, all of which will contribute to a CO2 reduction, but only 30% of the CO2 reduction is a result of the technologies that are developed within the project, state '30%'.
	% of fuel savings from this APC project	As with carbon savings, applicants should identify the percentage of fuel savings that is directly attributable to the APC project.
Q13b. For each vehicle, what are the expected vehicle sales, carbon and fuel savings forecasts for adopting the APC technology	<p>This section provides an opportunity for applicants to outline and quantify wider benefits - primarily carbon savings and fuel savings to UK customers.</p> <p>For each vehicle specified in worksheet Q13a, provide the following information for each year that sales are expected to take place (up to 10 years from the first year of production, as defined in the Index sheet.</p> <p>Expected Vehicle Sales</p> <p>Provide for each year the following:</p>	

<p>under development?</p>	<ul style="list-style-type: none"> • Forecast of vehicle sales (absolute number). <p>You will need to specify the expected volume of vehicle sales which will use the new technologies developed. Vehicle sales should be based on vehicle sales which are highly likely to materialise e.g. sales arising from new planned vehicle production lines or firm agreements from vehicle manufacturers, and should not be based on speculative opportunities.</p> <p>Expected Carbon Savings</p> <p>For each year provide the following in terms of gCO₂/km (or gCO₂/kWh as specified in Q13a):</p> <ul style="list-style-type: none"> • Comparator vehicle CO₂ tailpipe emissions • Improved CO₂ tailpipe emissions for sales vehicle <p>Only tailpipe CO₂ savings that are not part of an EU emissions trading scheme should be included.</p> <p>Assessors need to understand the CO₂ benefits that will be delivered beyond those which are mandated by regulation, or achieved by current best in class vehicles. As such, include a comparator vehicle to represent best in-class.</p> <p>The comparator vehicle emissions will be expected to have an improved CO₂ performance over time, in-line with future emissions performance expectations. Use the Notes column to explain or reference assumptions made in defining the comparator vehicle CO₂ performance, including reference to changing legislation.</p> <p>Expected Fuel Savings for Consumers</p> <p>For each year provide the following in terms of litres/km:</p> <ul style="list-style-type: none"> • Comparator vehicle fuel use • Improved fuel use for sales vehicle <p>Any fuel savings to consumers that arise as a result of applicants going beyond existing regulations should also be recorded. As with recording carbon savings, this should include a comparator vehicle/propulsion system which is expected to have an improved fuel economy performance over time, in-line with future performance expectations.</p> <p>Fuel savings to consumers should only be included if the additional savings will not be captured in the price of the vehicle.</p>
<p>Q14. Number of employees upskilled and Apprentices, MSc and PhD students</p>	<p>In this section please provide details of the number of employees expected to benefit from training which is specific and necessary to this project. You should only provide information on upskilling which is likely to add value (e.g. productivity improvements, bringing technical skills up-to-date or addressing skills gaps). Training that organisations are already required to undertake to meet health and safety or professional membership</p>

working on the project	<p>requirements are unlikely to be able to demonstrate additional value-added from public funding and therefore should not be recorded in the table.</p> <p>In the relevant tables, please provide the expected number of R&D/Design and Manufacturing employees who will be upskilled each year, and provide in the narrative box some indication of the duration of training and upskilling acquired.</p> <p>In addition, report the number of apprentices, MSc and PhD students who are expected to work on the project each year. These individuals should more than likely be included in the jobs figures provided in Q12. Where Apprentices, MSc or PhD students are working on the R&D project on a part-time basis, report their number on a pro-rata basis using full-time equivalents (FTEs).</p>
Q15. How will the Technology Readiness Level (TRL) and Manufacturing Readiness Level (MRL) of the developed technologies progress through this project?	<p>The form is split into two sections. The first section covers the current status of the technology to be developed in the project and the second section covers the end state of the technology, after the proposed project has been completed.</p> <p>In the first section identify the systems, sub-systems and/or elements that will be progressed with the project and categorise the TRL & MRL levels that they will have achieved prior to commencing the project. Please contact APC for further guidance on TRL and MRL definitions.</p> <p>In the second section identify the end state of each technology.</p> <p>In both cases, the TRL and MRL levels assigned should be supported by specific justifications in line with the examples given in the guide.</p>

5.5 Appendices

All appendices are submitted with the application form. Note that these are intended to contain supporting information and not substantive elements of answers to the application form questions. Do not 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 [Appendix 2: Submitting your Application](#)

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

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

Appendix	Guidance
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Appendix A Up to 5 sides of A4	Use Appendix A to provide additional information to support Section 1 of the application form: The Business Proposition. You may wish to include graphics describing the nature of the problem, market dynamics and/or exploitation plans.
Appendix B Up to 5 sides of A4 (7 sides of A4 for academic and business applications)	Use Appendix B to provide further information to support Section 2 of the application form: The Project Details. You may include, for example, a Gantt chart, project management structure and/or details of evidence for innovation. A risk table is mandatory, with risks categorised and a description of each category provided. Academic and business applications may submit an additional 2 A4 sides for additional assessment information such as the Pathways to Impact. Please refer to separate guidance in Appendix 3: Your Project Costs
Appendix C Up to ½ side of A4 for each partner and subcontractor	Use Appendix C to provide details of the specific expertise and track record of each project partner and each subcontractor to address Question 8 of the application form. Academic collaborators may wish to refer to their research standing.
Appendix D Up to 10 sides of A4	Use Appendix D to provide supporting evidence for Section 3 and 4 of the application form. Evidence could include business case extracts / Internal Rate of Return analysis / other financial comparisons of the with APC funding and without APC funding scenario.

5.6 Finance Forms

For information on eligible project costs and how to complete the finance forms see [Appendix 3: Your Project Costs](#)

Industrial Consortia Members

Every industry based consortia member (including the Lead Partner) must complete an Industry Partner Finance Form. These forms provides more detailed information on the total costs listed in your finance summary table.

Academic Consortia Members

Academic partners must each submit a Je-S form, with a 'With Council' status (see <https://je-s.rcuk.ac.uk>).

Research Organisations / Catapults

Research Organisations and/or Catapults who cannot submit using the Je-S system should complete an Industry Partner Finance Form.

6 Submitting your Application

How to Register

To enter this competition, the lead partner for your project must register via the [competition website](#).

You will receive an email acknowledgement of your registration. Between 24-48 hours later, you will receive an email containing a username and password to the Innovate UK secure file transfer website, and a uniquely numbered application form.

You must register for the competition in order to receive a numbered application form, and access to the Innovate UK secure file transfer site where you will submit your application.

Download Additional Forms

In addition to the uniquely numbered main application form that is issued via email, you will need to download additional standard forms. Use the login details supplied at registration to access the Innovate UK secure file transfer site, and download the following:

1. Partner finance form (Excel Workbook).
2. Application form (Section 4: Quantitative Assessment), as an Excel Workbook.

Uploading your Application

Once your application is complete, use the login details supplied at registration to access the Innovate UK secure file transfer site, and upload the following:

1. Application form (Section 1, 2 and 3) as a Word document.
2. Application form (Section 4: Quantitative Assessment) as an Excel Workbook.
3. Project Appendices (A, B, C, D), as PDF documents.
4. Partner Finance Forms, as Excel Workbooks, one per industrial partner.
5. Je-S Submission .pdf output document, one per academic partner.

Allow plenty of time before the deadline to upload your completed application. The file transfer site will experience high traffic around competition deadlines, and additional delays are to be expected. Deadlines for submission are definite and final, inability to upload your application due to slow network issues will not be treated as an exception.

Detailed instructions can be found in [Appendix 2: Submitting Your Application](#)

7 Receiving Feedback

Once all applications have been assessed, the lead applicant will be informed by email whether the application will progress to the next stage. It is the responsibility of the lead applicant to inform all other partners in a project consortia of the decision.

You will be able to access feedback on your application by logging into the Innovate UK secure file transfer site on or after the date published in Section 3: Competition Timeline.

8 The Interview

If you are successful at the written application stage, you will be invited to interview, via email, in order to present to the assessment panel. The panel will include industrial technical assessors, and BEIS economic value assessors. Representatives from BEIS, Innovate UK, and the APC will also be present to assist the Panel.

To prepare for the interview, you are expected to:

- Review the feedback on your written application, provided on the date stated in the timeline.
- Prepare and submit a written response to feedback, which will be given to the interview panel to review prior to your interview. You may submit up to 10 A4 pages of response to the technical assessment and up to 6 A4 pages of response to the VFM assessment. This is to be in the form of a single PDF or Word document which may include charts or diagrams.
- Prepare and submit your presentation material.
- Prepare and submit your list of attendees.
- Work with your consortia to develop a Collaboration Agreement, a mature draft of which should be brought to interview.

All documents should be submitted via the Innovate UK secure file transfer site, and should be submitted by the deadlines shown in the Competition Timeline, in Section 3.

Collaboration Agreement

Consortia must bring a copy of their Collaboration Agreement to the interview (a Word document on a memory stick and a printed copy of the same document). The first question to all applicants in the question and answer session will be about the maturity and progress of the Collaboration Agreement. The maturity of the document will be used to inform the assessor's perception of risk to successful and timely start-up of the project if the grant is awarded.

Interview Attendees

You may bring a maximum of 9 attendees to your interview. Ideally, this should include a representative from each consortia member organisation.

Submitting your presentation material

The presentation slide pack that you intend to present needs to be uploaded to the Innovate UK secure file transfer site on the date stated in the competition timeline.

Presentations should be submitted in Microsoft PowerPoint format and must not contain any videos or web links.

Please note: No changes may be made to the presentation after the submission deadline.

The presentation does not need to cover details that are addressed in the Response to Feedback document, unless there is further information to add.

Interview format

Due to the complex arrangements involved with scheduling this competition alongside many others from other sectors, interview timing is not flexible. You will be invited to attend a specific interview slot, and this cannot be changed to accommodate diary difficulties.

You will only be able to use the presentation material that was submitted in advance. You will not be able to present from your own laptop, and must use the laptop provided for you.

On the interview day you will be asked to wait in a specific area. It is important that you remain in this area during all waiting times to respect the confidentiality of your application or others that might be attending on the same day.

The following schedule will be observed from your designated interview start time:

		Applicants	Innovate UK	BEIS	APC
Set up	5 mins	Set up presentation	Facilitate		
Presentation	30 mins	Introduction and Presentation	Observe and assess	Observe and assess	Observe
Interview	45 mins	Answer questions from the interview panel	Pose questions and assess	Observe and assess	Observe
Break	15 mins	Applicants asked to wait in another room while the panel consider the need for further questions			
Additional Q&A session (if required)	15 mins	Answer questions from the interview panel	Pose questions and assess	Observe and assess	Observe

Figure 3: Interview Schedule

You will be able to access feedback on your application by logging into the Innovate UK secure file transfer site on or after the date published in Section 3: Competition Timeline.

9 Additional Information

9.1 Preparing for Project Kick-off

If your project is successful you will need to submit the following:

- A Collaboration Agreement signed by all consortia members.
- A detailed project timing plan and work package definitions.
- A financial forecast showing all partner's spend on a quarterly basis, as per APC template
- A milestone register.
- A risk register.
- A core projects publication request form.
- A plan showing the progression of subsystems and the main system through the Technology Readiness Levels and Manufacturing readiness levels.

Note that developing a collaboration agreement typically takes around 12 weeks, and must be completed and signed by all parties before the project can claim grant

The APC require you to provide the name and contact details for a communications contact, on this project. Please ensure that this person is able to provide: - approval for copy and images, support with messages and relevant senior quotes. Ideally we would like to work with them to submit technical papers at national and international conferences and support with demos.

While this Information is not part of your application, you may want to prepare some of it during the bid development phase, as it will be needed prior to project start. Delays in developing the Collaboration Agreement are a common cause of delays in project start.

9.2 FAQs

What project costs are eligible, and how do I complete the Finance Forms?

[Appendix 3: Your Project Costs](#), contains detailed information on which project costs are eligible for funding, how to complete the finance forms as well as submitting any academic costs into the Je-S system (a requirement for all academic partners).

Detailed guidance providing reference information on the different categories of funding and the associated rules arising from the state aid framework employed in this programme is provided in [Appendix 1: Funding Rules](#).

How do I submit my application?

[Appendix 2: Submitting your application](#), explains how to submit your application, any accompanying finance forms and appendices.

What happens after I have submitted my application?

[Appendix 4: What happens when you have submitted your application](#), provides information on the Innovate UK assessment process, notification of decisions and how to access your assessor feedback.

How do I make multiple project applications?

If a single Lead Applicant wishes to apply for funding for more than one project, the Lead Applicant must register once and then request additional application forms. The Lead Applicant should send an email request to support@innovateuk.gov.uk describing their requirements. Innovate UK will then issue individual, uniquely numbered application forms as appropriate. Each application (plus associated forms and appendices) must then be uploaded to the Innovate UK secure file transfer site under the correct application number.

Do not submit multiple versions of an application form bearing the same unique application number. They will not be assessed.

What happens if we're successful?

[Appendix 5: What happens if you are successful](#), tells you what happens if your project is awarded grant funding. This includes information on the Conditional Offer Letter that you will receive, timescales, further information that will be required from your project team, the Grant Confirmation Letter and the Project Monitoring process once you start your project.

What if my application isn't successful?

If your application is not successful, you will receive informative written feedback. You are free to submit your application multiple times without penalty. It is recommended that you spend some time with a member of the APC team to run through the written feedback and ensure that all points raised are understood and fully addressed before the project is resubmitted.

What if my project doesn't fit the APC timeline?

If you have a project that you feel aligns well with APC criteria for funding, but does not align with the competition timing, contact the team at APC at your earliest convenience.

Can non-UK companies apply?

Non-UK based companies and research organisations are eligible to apply for funding provided that prior to the project starting they have set up a UK active transactional base from where the funded work will be carried out. They must also provide evidence that they intend to expand their R&D activity in the UK beyond the life of the specific project. Non-UK based companies who wish to join consortia without requesting grant funding are welcome.

Where can I find out more about the Automotive Council Industrial Strategy?

The briefing document is available here:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/211901/13-975-driving-success-uk-automotive-strategy-for-growth-and-sustainability.pdf

9.3 Glossary

Industrial Research

This is an important definition within European law, defined by the European Commission as follows:

This means planned research or critical investigation to gain new knowledge and skills. This should be for the purpose of product development, processes or services that lead to an improvement in existing products, processes or services. It can include the creation of component parts to complex

systems and may include prototypes in a laboratory or environment with simulated interfaces to existing systems, particularly for generic technology validation.

Experimental development

This means the acquiring, combining and shaping of existing scientific, technical and other relevant knowledge and skills. This would be to produce plans, arrangements and designs for your products, processes or services. This can include producing drafts, drawings, plans and other documentation as long as they are not intended for commercial use.

It can also include the development of commercially-usable prototypes and pilots. This would only be allowable if the prototype or pilot would be too expensive for demonstration purposes only. Any revenue made from it, must be deducted from the eligible costs.

Experimental production and testing of products, processes and services is also eligible provided they cannot be used, in any form, in industrial applications or commercially.

Experimental development should not include routine or periodic changes to products, production lines, manufacturing processes, existing services and other operations in progress, even if such changes may represent improvements.

Lead Applicant

The Lead Applicant has a key role within the application process. We strongly advise that this should be the person most able to respond to day to day queries, and not a figurehead. The Lead Applicant must be available to receive essential communications throughout the competition process.

Appendix 1: Funding Rules

10 Applicant Type, Size and Activity

You may be eligible to receive different rates of funding depending upon the type and size of your organisation and the activity that you are doing in the project. For competition funding purposes, you will apply as:

- a business or
- Research Organisation or
- public sector organisation or charity

The APC provides funding for projects which are led by business. The principal objective of the support is to stimulate R&D and innovation activity, encouraging businesses to develop innovative products, processes and services with future commercial potential.

Business applicants, which includes industry and all other organisations that do not qualify as Research Organisations, or Charities/Public Sector Organisations undertaking research, can have their individual eligible costs funded at the following rates:

Applicant Business Size	Industrial Research	Experimental Development
Micro / Small	70%	45%
Medium	60%	35%
Large	50%	25%

Please see Section 2 below for research category definitions.

The definition of micro, small and medium-sized enterprises used by the APC is contained in the European Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises (2003/361/EC), which took effect on 1 January 2005 or any subsequent definition provided by the Commission. This can be found at:

<http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/>

"large enterprise" means any enterprise that is not an SME.

Research Organisations

When referring to 'Research Organisations' (RO) we use the definition from the Community Framework for State aid for Research and Development and Innovation -

"research and knowledge dissemination organisation' or 'research organisation' means an entity (such as universities or research institutes, technology transfer agencies, innovation intermediaries, research-orientated physical or virtual collaborative entities), irrespective of its legal status (organised under public or private law) or way of financing, whose primary goal is to conduct fundamental research, industrial research or experimental development or to widely disseminate the results of such activities by way of teaching, publication or knowledge transfer. Where such

entity also pursues economic activities, the financing, the costs and the revenues of those economic activities must be accounted for separately.. Undertakings that can exert a decisive influence upon such an entity, for example in the quality of shareholders or members, may not enjoy a preferential access to the results generated by it.”

For APC competitions this means:

- Universities (Higher Education Institutes)
- Non-profit distributing Research and Technology Organisations (RTOs) including Catapults
- Public Sector Research Establishments (PSRE) and
- Research Council Institutes

Research organisations undertaking **non-economic activity** will be funded as follows:

- Universities – 80% of Full Economic Costs (as set out by the Je-S application system described below)
- All other research organisations: 100% funding of eligible costs

Research Organisations should be non-profit distributing to qualify. They should explain how they will disseminate the output of their project research as outlined in the application.

Research Organisations which are engaged in **economic activity** as part of the project will be treated as business enterprises for the purposes of funding.

See State Aid section for information on economic and non-economic activity.

Full Economic Cost (FEC) and Joint Electronic System (Je-S)

Universities and other Research Organisations which are registered on the JeS system should submit their costs through this system using an approved research costing methodology. Submitted and approved costs should then be input onto the specific application for submission into the competition.

Please note:

- Universities and other HEIs must use the JeS system
- Other Research Organisations registered on JeS should use that system where they are applying as academic institutions for non-economic project activity
- For JeS applicants, only 80% of the FEC is allowable as eligible costs. The remaining 20% is not considered to be a contribution from the Research Organisation to the project and should not show on the finance table or forms.
- Research costs submitted through the JeS system must be in line with the business and research participation rules.

Public sector organisation or charity

Public sector organisations and charities can work with businesses to achieve innovation through knowledge, skills and resources. These organisations must not take part in any economic activity or gain economic benefit from a project. They can apply for 100% of grant funding for their eligible costs under the following conditions:

- they are undertaking research (this may be experimental, theoretical or critical investigation work to gain knowledge, skills or understanding vital to the project), and

- they meet the requirements for dissemination of their project results, and
- they state in the application how they will do this.
- they include their eligible costs for research purposes in the total research organisation involvement
- they make sure they are not applying for a grant towards costs which are already being paid by the public purse such as labour and overheads
-

See the **State Aid** section for information on economic and non-economic activity.

11 Category of Research and Development

APC supports the following categories of research and development:

- Industrial research
- Experimental development

Industrial Research

This means planned research or critical investigation to gain new knowledge and skills. This should be for the purpose of product development, processes or services that lead to an improvement in existing products, processes or services. It can include the creation of component parts to complex systems and may include prototypes in a laboratory or environment with simulated interfaces to existing systems, particularly for generic technology validation.

Experimental Development

This means the acquiring, combining and shaping of existing scientific, technical and other relevant knowledge and skills. This would be to produce plans, arrangements and designs for your products, processes or services. This can include producing drafts, drawings, plans and other documentation as long as they are not intended for commercial use.

It can also include the development of commercially-usable prototypes and pilots. This would only be allowable if the prototype or pilot would be too expensive for demonstration purposes only. Any revenue made from it, must be deducted from the eligible costs.

Experimental production and testing of products, processes and services is also eligible provided they cannot be used, in any form, in industrial applications or commercially.

Experimental development should not include routine or periodic changes to products, production lines, manufacturing processes, existing services and other operations in progress, even if such changes may represent improvements.

Projects that span more than one category of research

Sometimes projects include work packages with more than one category of research. For example, a project may include elements of Industrial Research and Experimental Development. In this case, you should identify:

- the main research category (this will be where more than 50% of the eligible costs will be incurred)

- which other categories the other work packages fit into
- the appropriate level of funding for the total project, for example for a large company if 80% of a project is industrial research and 20% is experimental development, the total eligible funding is 45% (80% @ 50% = 40%, and 20% @ 25% = 5%).

You should apply for grant funding equivalent to the aggregated work packages.

The assessors will decide whether the work packages have been correctly assigned across the R&D categories. If assessors decide they have been incorrectly assigned, Innovate UK reserves the right to adjust the grant percentage accordingly.

12 Participation in a Project

Businesses

- APC provides funding for to support and stimulate innovation in the UK economy. We do this by encouraging businesses to work with other commercial and research organisations. As such we have the following requirements: at least 70% of total eligible project costs should be incurred by commercial organisations
- a maximum of 30% of total eligible project costs is available to research participants. If there is more than one research participant, this amount will be shared between them.

If businesses choose to directly fund higher levels of involvement in research organisations then those additional costs:

- will be considered to be outside the project
- should not be included as eligible cost in the project for either participant
- should not appear on any finance forms
- will not be funded by a grant.

If a business applicant is participating in a project but is not requesting a grant, then:

- their role and level of involvement should be described in the relevant sections of the application form as for other participants. They cannot be the lead partner in a consortium
- their name should appear in the list of participants in the finance summary table with their total costs but with zero grant requested
- they do not need to complete a detailed finance form
- if the application is successful, they will not be included in the grant offer letter but the project description will be made public to comply with government requirements on transparency of public funding.

Research Organisations

The project consortium should agree to the level of involvement any research organisations have in the project. The involvement should however, fit with the business share of eligible costs that are detailed above. Please note:

- The level of total research participation is set at a maximum of 30% of total eligible project costs
- If there is more than one Research Organisation (University, non-profit distributing RTO, Catapult, PSRE, Research Council Institute, charity or public sector organisation undertaking research) in the project, the maximum 30% of eligible costs must be shared between them
- Eligible costs for Je-S registered applicants means 80% of FEC

Public sector organisations and charities

Research done by charities and public sector organisations should have a work and dissemination plan. This plan should be included in the application. Eligible costs should be counted towards the participation levels of the research organisation. **Collaboration**

- APC and Innovate UK plans to help industry, research communities and other organisations to work together on R&D projects. This is primarily in science, engineering and technology. Within a collaborative project there must be: **at least two** collaborators;

- a **business-led consortium**, which can involve both business and research participants and
- evidence of **effective collaboration**.
- the lead partner of the project must be a grant recipient

Effective collaboration can be evidenced, for example, through the distribution of work packages and added value created in the project from working together.

Typically, this would mean that no one partner would have more than 70% of the eligible costs. We would expect to see the structure and rationale of the collaboration described in the application.

13 State Aid

State aid as defined by the European Community (EC) Treaty is financial aid that has the following characteristics: It

- is granted by the State or through State resources;
- favours certain undertakings or production of certain goods;
- distorts or threatens to distort competition;
- affects trade between Member States of the Community.

The Treaty allows a certain level of State aid within an approved framework, associated funding limits and criteria. We operate competitions within an approved scheme. This can be found at: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#state-aid>

You are responsible for making sure that we are given the correct information that allows us to award grants within our scheme.

If there is a breach of State aid, the European Commission would require the project participants to repay any grant received, including interest, above that which was due. In a consortium project, the Collaboration Agreement should make provision for this possibility.

Non-economic activity

In most cases, the primary activities of Research Organisations are normally of a non-economic character, notably:

- education for more and better skilled human resources;
- the conduct of independent R&D for more knowledge and better understanding, including collaborative R&D;
- dissemination of research results.

Technology transfer activities (licensing, spin-off creation or other forms of management of knowledge created by the research organisation) are of non-economic character if these activities are of an internal nature and all income from these activities is reinvested in the primary activities of the Research Organisation.

Economic activity

Where non profit distributing RTOs, Catapults and public sector organisations are involved in a project where they are undertaking economic activities, they will need to do so as an industrial partner. They will, therefore, be required to provide the appropriate match funding for the project or will need to act as a sub-contractor. This would include, for example, projects where they do not plan to disseminate their results, or where they are not planning to reinvest the income from these activities in the primary activities of the research organisation.

RTOs operating on a 'profit distributing' basis will always be considered to be an industry partner.

The Community Framework for State aid for Research and Development and Innovation makes the following reference to the public funding of economic activities -

'If research organisations or other not-for-profit innovation intermediaries (for example, technology centres, incubators, chambers of commerce) perform economic activities, such as renting out infrastructures, supplying services to business undertakings or performing contract research, this

should be done on normal market conditions, and public funding of these economic activities will generally entail State aid'.

Please note:

Where Research or Public Sector Organisations are undertaking both economic and non-economic activity, in order to avoid cross-subsidisation of the economic activity, the two kinds of activities and their costs and funding must be clearly separated.

If the work that a Research Organisation or Public Sector Organisation is proposing to undertake in a project does not meet the definition of non-economic activity, then it should apply as an industry partner.

Dissemination

Where Research and Public Sector Organisations are involved in Innovate UK projects and funded for undertaking non-economic activity, we will expect to see evidence of plans to disseminate their project outputs over a reasonable timescale. This means we will look for evidence in the application and, for funded projects, during and following the conclusion of the research and development. The requirement for dissemination of research results intends to secure wider benefit from the higher level of public support given to Research and Public Sector Organisations.

There are various ways dissemination of project results may occur, for example producing a case study, speaking at a conference, publishing academic papers, open access repositories (databases where raw research data can be accessed by anyone), or through free or open source software and so on. The specific nature and timing of the dissemination will be determined by the project, but must be described in the application and developed throughout the project if successful in gaining funding.

Appendix 2: Submitting Your Application

REGISTERING FOR A COMPETITION

If you are the lead or single applicant, you will need to register for the competition in order to receive your username, password and a unique application form. Registration closes at midday one week before the application deadline. Registrations are not accepted after this time. A link inviting you to register for a competition is available on each competition web page. Click here to register for your competition: <https://www.gov.uk/government/collections/innovation-grants-for-business-apply-for-funding#open-funding-competitions>

YOUR USERNAME AND PASSWORD

When you register you will receive an email from us containing:

- your secure username
- password
- unique application form
- a secure URL to access the competition

As applications may contain sensitive information they must be submitted using the above.

When you click on the URL (or copy and paste it into your address bar) you will be taken to the secure competition website. The website will include downloadable documents for the competition. Log into the website with your username and password. You may need to zoom out in order to view the login tab. You can do this by holding down the ctrl key and the minus key on your keyboard.

Enter your username and password manually as cutting and pasting will not work.

YOUR FILES AND THEIR FORMATS

File names and formats must follow these rules:

- appendices should be named Appendix and include the appendix reference of A, B, C or D plus your applicant number. For example: **APPENDIXAApp123456**
- file names should only include letters or numbers and no special characters
- Innovate UK application or finance forms should not be converted, encrypted or zipped
- applications should be saved as word documents only
- finance forms should be saved as excel documents only
- appendices should be saved as pdf documents only
- Section 4: Quantitative Assessment must be an Excel document (.xls) or (.xlsx).

Before you upload your documents, we advise you to check that you have the correct files, filenames and formats for the competition.

UPLOADING YOUR DOCUMENTS

To upload and submit your application documents, follow these steps:

- log into the competition website (the URL link that has been emailed to you)
- you will see an online folder for your documents
- click on the 'upload' tab and select files to show the file browser
- select the file you want to upload and click 'open'
- your file status will be shown as 'pending', click on 'start upload'
- when the upload is complete you will see the file name, size, type and date which should match those of your original document. You will not be able to open uploaded documents so it is important that you check that the name and size match
- you will not receive an email notification so it is important that you check your uploaded files are showing in your folder.

If you have any difficulties registering or applying for a competition, you can telephone Innovate UK customer support services on 0300 321 4357 or email support@innovateuk.gov.uk.

Appendix 3: Your Project Costs

All non-academic project partners must submit their project costs on a project finance form.
Academic partners should submit their project costs via the Je-S system

Please refer to Innovate UK's guidance on how to complete the project finance form and Je-S forms.
This provides a detailed breakdown on eligible and non-eligible project costs for funding with
Innovate UK:

<https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance>

Appendix 4: What happens when you have submitted your application?

Applications must be submitted before midday on the day of the submission deadline. Late submissions will not be considered.

STEP 1 – YOUR APPLICATION WILL BE ASSESSED

Once the competition submission deadline is reached, all applications submitted to the competition are sent for assessment.

Your application is assessed independently by experts taken from both business and academia; this aligns with Innovate UK's competitive application process. To ensure this process is completely transparent and fair, the engagement of assessors is handled at arm's length from our funders.

Assessors are assigned to each competition based on their knowledge, skills, experience and the requirements of the competition. The assessors are chosen by Innovate UK and the Innovation Lead for the competition. All assessors are required to sign a contractual assessor agreement which covers confidentiality, declarations of interest and conflicts of interest. They are required to treat all applications in the strictest of confidence and to apply due Data Protection rules. .

We engage assessors as individuals, not as representatives of their employment. They assess proposals based upon their own knowledge and experience and do not seek other opinions on applications. Assessors are required to attend briefings conducted by Innovate UK in order to be qualified to undertake assessments which meet our quality standards.

Innovate UK preserves the anonymity of its assessors and their names will not be provided to applicants under the Freedom of Information Act 2000. All panel reports and ranking sheets are confidential and will not be available to anyone other than Innovate UK, its co-funders and its contractors.

Applications are assessed against the same set of scoring criteria. Assessors will provide written feedback for each scored question in the application. All applications are assessed on individual merit. APC and the Innovate UK funder's panel make the final decision regarding funding.

STEP 2 – YOU WILL BE NOTIFIED OF THE DECISION

Once all applications have been assessed and checked for completeness, you (the lead applicant) will be informed of the decision by e-mail. It is the responsibility of the lead applicant to inform all other partners in a project consortia of the decision.

Innovate UK frequently publicises the results of Competition calls and this activity includes engagement with the media. Any consortium that wishes to publicise their project, at any stage, must contact the Media Relations Manager at Innovate UK before commencement.

STEP 3 – WE WILL GIVE YOU FEEDBACK

We will give you the feedback from the assessors who reviewed your application. We will inform you of the date from which your feedback will be available in the notification email. 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 applicant to communicate the feedback with other project partners. No additional feedback can be provided and there will be no further discussion on the application from Innovate UK.

Appendix 5: What happens if you are successful?

14 The Project Start-up Process

STEP 1 – NOTIFICATION EMAIL

You or your lead applicant will receive an email notification on or before the "decision to applicants" key date stated in the Competitions Details guidance. This will tell you if you have been successful in applying for funding.

If you attended an interview, you will be able to access the assessor panel's feedback within 4 weeks of notification.

STEP 2 – CONDITIONAL OFFER LETTER

You will be sent a Conditional Grant Offer Letter following the email notification in line with the timescales stated.

You will be asked to accept and return all required documentation within the stated timeframes.

Innovate UK will also review your project costs to check that they are compliant with the funding rules, and that your business can manage the cash flow of delivering the project.

The following are examples of documents that may be requested in the Conditional Offer Letter:

- Collaboration Agreement, for collaborative projects, duly signed by all participants.
- An initial Financial Forecast for each project participant / consortium member showing the anticipated spend, split quarterly throughout the life of your project.
- A letter on your company headed paper confirming your BACS details for payment purposes.
- A detailed Project Plan splitting the original project proposal into individual work packages.
- A Milestone and Risk Register for the whole project showing key milestones with an allocation of the project costs assigned to each milestone, the key risks and how these will be managed during the project.
- An Exploitation Plan for your project, containing further information where possible from that provided in the original application, setting out how your project team will exploit the results of the project.
- A Core Projects Publication Request form completed by each Participant; please be aware when completing this form that any information provided by a Participant in this form, including any commercially sensitive information, will become publicly accessible.

Collaboration Agreement

The Collaboration Agreement should be created between the project participants and it should incorporate the operation and exploitation of the outcomes of the project.

It can take some time to reach agreement on this document within the consortium participants, especially considering the involvement of applicants' legal and finance departments.

You are therefore strongly advised to allow sufficient time. An example of collaboration agreement can be found on the Lambert Agreement website at: <http://www.ipo.gov.uk/lambert>.

STEP 3 – COST REVIEW & FINANCIAL VIABILITY CHECKS

After the Conditional Offer Letter has been sent, Innovate UK will undertake financial checks on each of the project participants.

Cost Reviews

This review is to ensure that your project costs comply with the rules for the Competition and the State Aid requirements.

A member of our finance team may contact you for further information on the detail in your finance forms. It is important that you respond quickly to any requests for additional information, as the project will not be able to start until this review has been completed satisfactorily.

Financial Viability Checks

In addition, Innovate UK will undertake financial viability checks on all industry partner organisations. These are based on the latest accounts filed at Companies House, but we may ask for additional financial information if a participant has not filed accounts recently.

The purpose of the financial viability check is to establish:

- that the organisation is able to bear the cost of the additional research proposed over an extended period of time since grant payments are made in arrears of actual costs incurred and paid
- the organisation's ability to meet its current obligations, whilst at the same time participate in the collaborative research project
- the project's impact on the organisation's normal trading.

If an organisation fails one or more of the financial viability test criteria, or if specific funding ratios cannot be ascertained because of limited information or abbreviated accounts, or if you are not required to file accounts with Companies House, then additional information may be requested directly from you.

This may be one or more of the following:

- A set of management accounts.
- Summary trading forecasts and a quarterly cash-flow forecast for the total period of the project's planned duration.

Details of bank overdraft facility, bank loan or funding from other sources.

STEP 4 – GRANT CONFIRMATION LETTER

Once Innovate UK have completed the above checks and your documents have been received, you will be sent a "Grant Confirmation Letter". You will be asked to enter your project start and end dates, sign the letter and return it to Innovate UK.

In exceptional circumstances projects may be permitted to start at risk, before the Grant Confirmation Letter has been issued.

15 Monitoring Officer

All projects are assigned a Monitoring Officer, once successful who will attend quarterly project meetings as well as report progress and issues to the Innovate UK. Monitoring Officers also assist in the 'start up' phase of a project, helping you with all key documentation and ensuring the project starts off smoothly. They and your APC Project Associate will be in contact with you regarding a Kick off meeting shortly after successful announcement.

In general, the role of a Monitoring Officer is to:

- Monitor compliance with the terms and conditions of the offer, including claims and auditing.
- Report on project progress quarterly and escalate any issues that need resolving by us.
- Ensure that information is available to Innovate UK for "programme" level review and impact evaluation.

Please note that the project management and reporting for a project is ultimately your responsibility and not that of the Monitoring Officer. It is also good practice to mark any quarterly reports etc sent to the MO with "commercially sensitive" on each page.

16 Claims & Auditing

You can only claim for eligible costs incurred AND paid between the project start and end dates. Any costs incurred or paid outside the project dates are ineligible.

Depending on the size of grant awarded, claims will be subject to an independent audit to confirm that the costs claimed are in line with the terms and conditions of the offer. The audit requirement will be stated in the Conditional Offer Letter.

All grants are claimable quarterly in arrears (unless otherwise stated in the grant confirmation letter) and will only be paid once the necessary reporting and audits have been completed. Claims are paid directly to each participant. It is important that you plan your cash flow requirements to ensure you can accommodate the funding required for the project.

The 3.5% levy to the APC will be invoiced upon receipt of your quarterly claim being submitted into _connect, and be payable with 30 days.