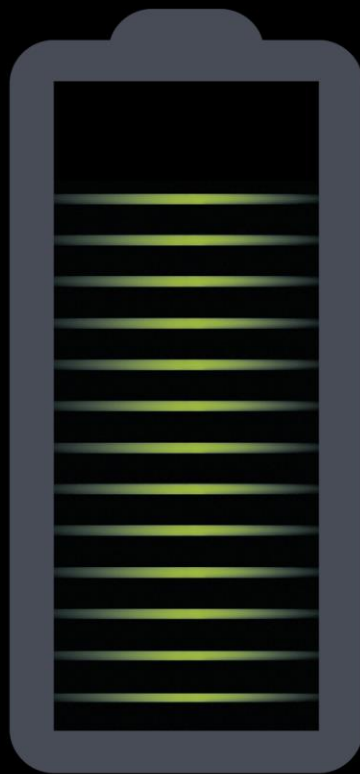


APC GUIDANCE FOR APPLICANTS

Faraday Challenge: National Battery Manufacturing Development Facility



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1 Introduction

The government is investing £1 billion over the next four years, in cutting-edge technologies to create jobs and raise living standards as part of the Industrial Strategy Challenge Fund (ISCF). Through the ISCF, government will bring together the UK's world leading research with the ambitions of business to meet societal challenges head on. Specifically the Government have allocated £246m to the Faraday Challenge to support battery research across the innovation landscape from fundamental to industrial scale up.

As part of the Faraday Challenge, the Advanced Propulsion Centre is leading a competition for industrial scale up. This competition will be managed by Innovate UK with independent industry assessors to establish a National Battery Manufacturing Development Facility in the UK. This facility will enable UK businesses to seize the opportunities presented by the transition to a low carbon economy and to ensure the UK is one of the best places in the world to undertake the design, development and manufacture of batteries for the electrification of vehicles.

The transition towards lower carbon transportation solutions has seen an increase in the demand for on vehicle electrical storage. This has in recent times, been strengthened by the emergence of local authorities regulating emission free vehicle operational zones, which has had the effect of both increasing the demand for Battery Electric Vehicles or vehicles with zero emission capability. This, in turn, is creating additional demand for cost effective supply of battery system solutions.

This is not a development isolated to Automotive, other sectors such as Rail, Aerospace, Marine and Construction are experiencing similar challenges. The UK has a strong heritage of innovation and scientific research, but currently there is a considerable gap between research and high volume manufacture. Therefore, a focus is required on developing the manufacturing capability of the UK supply chain.

The National Battery Manufacturing Development Facility, is targeted to bridge this gap, and permit companies to develop and prove the production processes of their battery technology solutions within the facility. The creation of technical and operational expertise within this facility is aimed at providing a "go-to development capability" in which companies have access to the latest technologies and research. It will allow companies or collaborative projects to develop solutions to a point where they have sufficient confidence to implement in facilities of their own.

Key Objectives

- Create a national facility to allow UK companies and research institutes with a UK entity to build and maintain a leading position in manufacturing technologies for batteries and their components.
- Provide a pilot manufacturing plant with the capability to trial and prove-out initial production runs of advanced battery components and assemblies.
- Enable and scale-up advanced battery product and manufacturing technology to feed implementation into high volume production.
- Provide access for UK companies to cell and battery technologies not yet available in the open commodity market
- A collaborative "learning factory" to accelerate learning and develop vital skills for the UK battery industry

What is the National Battery Manufacturing Development Facility?

This is a competition to award a single successful bid, which opens for applicants on **25th July 2017**. The deadline for submission of full applications is at noon on **13th 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). This competition forms part of the Industrial Strategy Challenge Fund (ISCF), specifically the Faraday Challenge.

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 this competition, see section 2 of this document. This can be accessed via the APC website

www.apcuk.co.uk/competitions/faradaychallenge-NBDF

or the competition page at

<https://apply-for-innovation-funding.service.gov.uk/competition/52/overview>

How much funding could the project receive?

The £246 million Faraday Challenge Fund is divided by Research, Innovation and Scale Up. The successful bidder will receive a share of the allocation for Scale Up to fund a single facility in the UK. As this is an industrial scale facility, we anticipate project costs in excess of £40 million. The levels of co-funding proposed and levels of impact to be realised will effect a Value for Money assessment of the project, which will be undertaken by the Department for Business, Energy and Industrial Strategy economists. For projects significantly in excess of £40 million in value you must contact Innovate UK at least 10 days before the competition deadline.

Any proposal must demonstrate how they will leverage activities and projects from across the innovation landscape. This includes how projects funded through the EPSRC, Innovate UK or the APC as part of the £246m Faraday Challenge fund will lead to research and development activities within the facility.

The organisation developing and delivering this asset will be expected to combine the Government grant with significant co-funding from one or more additional sources for the construction and initial fit out of the facility. Industry commitments to prototyping, scale up and research projects undertaken in the centre are fundamental to underpinning the successful bid by providing private sector match funding on an on-going basis. Therefore, a business plan covering the lifetime of the relevant assets well beyond the facilities initial build is required and must demonstrate independence and sustainable operation.

To ensure adequate safeguards are in place for the building and operation of the asset, specific grant conditions will need to be accepted by the delivery organisation which will also need to demonstrate how the project is state aid compliant.

The facility will be owned and operated by an organisation/organisations that will commit to open access on a fair and equitable basis to all who are committing to undertake advanced battery development activity in the UK. HM Government or the Advanced Propulsion Centre will not maintain full or part ownership of any facilities relating to this competition. The Advanced Propulsion Centre however will be engaged in the on-going governance of the centre which will include decisions around open accessibility and the prioritisation of users in the event of over-subscription of the facility. Further the operating organisation will report into the Faraday Challenge lead and advisory board to ensure the facilities strategic priorities and objectives are aligned with those of the Faraday Challenge.

To support operational self-sufficiency, it is envisaged that the facility will undertake a variety of work during its lifetime. The bid must outline the principles of these in the business case and advise what solutions it proposes, ensuring state aid compliance. The successful consortium will need to track the utilisation of the facility when operational. Proposals will need to demonstrate how this will be achieved.

Projects are assessed competitively in value for money terms. The grant requested should reflect the minimum amount of funding that is required to enable the project to proceed.

Priority will be given to bids that can:-

- have the capability to deliver in the timescale
- demonstrate a well-established consortium
- can demonstrate they bring the co-funding
- have pre-existing capabilities in the relevant product and process technology areas
- can demonstrate robust state aid compliance during build and operation

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](#).

Anticipated users and use cases

Users of the facility may elect to use the entire capability of the facility, or to engage with specific parts of it. Some users for instance may wish to manufacture electrodes for use in their own cell packaging facilities, some may wish to take cells from the facility, and others may wish only to use the module. The facility should cater for all possibilities in this respect.

It is intended that the facility will demonstrate run at rate volumes that are directly transferable as processes to a high volume manufacturing plant environment. Volumes are envisaged therefore to be sufficient scale to be above those of a laboratory facility yet to a high volume 1 GWh factory. It is anticipated that any low volume production would be principally that of a bridging capacity for an organisation that will transfer capability and production to a higher volume UK based facility.

Examples of the types of users include:-

Industry – material suppliers, component suppliers, equipment suppliers, cell manufacturers, Tier 1 - N supply chain and Low and High Volume OEM companies.

Education/Research – Schools, Apprenticeships and Universities.

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 National Battery Manufacturing Development Facility competition via the [Gov.UK website](https://www.gov.uk), from the 25th 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

The Advanced Propulsion Centre, in partnership with BEIS and Innovate UK, is looking to make an award to a single bid, to design, create and operate a National Battery Manufacturing and Development Facility. It must develop next generation manufacturing solutions for cell and module formats that can be proven in high volume, (equivalent to 1 GWh/annum). This turnkey facility will be internationally recognised as a world leader in the development of battery manufacturing technologies.

The Faraday Challenge Industrial Strategy Challenge Fund will co-fund a single successful project. The winning bid must demonstrate it has wide ranging support for its proposal from OEM's, Tier 1 to N, SME's, RTO's, and Academia demonstrating cross sector support. Only organisations with UK entities and where work is conducted in the UK, may apply. The build aspect of the project is expected to last a maximum of 24 months, commencing by the end of 2017 and the facility to be operational by /early 2020.

The facility will support scale-up activity for automotive batteries. It will be a national open access, flexible prototyping and pilot production facility for cell and module manufacture. The facility will be equipped similarly to a full production factory, but with greater flexibility to product and process. It is expected this facility will be used by government supported and privately funded research and development (R&D) projects as part of a complete UK battery R&D ecosystem.

The facility will be used to develop the manufacturing tools and methods required for mass production. It will demonstrate that they can be run at the required rate of production, in a robust and reliable manner, meeting product quality targets.

It is expected projects that use the facility will then progress to industry investment in commercial battery facilities in the UK.

The facility must:

- provide a pilot manufacturing plant with the capability to simultaneously trial and prove-out initial production runs of advanced battery components and assemblies
- enable and scale-up advanced battery product and manufacturing technology to feed implementation into high volume production
- enable the development and scale-up of advanced battery cell and module technologies designed for high volume production
- enable the development of advanced battery manufacturing processes and machine technology for high volume production
- provide access for UK companies to cell and battery technologies not yet available in the open commodity market
- provide a collaborative "learning factory" to speed up learning and develop vital skills for the UK battery industry

It must also:

- have “open to all” capability, but also able to run a number of OEM and Tier 1 projects in commercially confidential areas where required
- enable volume rate (equivalent to at least 1 GWh / annum trial out) quality assurance verification of manufactured product, before the fitment to end vehicle or application
- enable teaching and skills development to increase the UK skill base for the emerging UK battery industry
- provide a degree of public engagement, such as having an interactive exhibition to engage school age pupils, as well as the facility to host events and visits
- actively encourage participation at all levels of the battery supply chain

Consideration should be given to product and manufacturing processes that are compatible with end of life reuse and re-cycling (but the re-cycling of batteries is not within the scope of this facility).

- The facility should include the following manufacture stages:
 - electrode materials (current and near-future technologies) – mixing and anode/cathode coating
 - cells – in a variety of formats; manufacture, formation and testing
 - modules – build and test

The out of scope activities include:

- Manufacture and development of BMS hardware and/or software
- Installation of battery packs in vehicles – or the engineering of vehicles to accept battery packs

2.2 Technical Capabilities and Requirements

- The facility should include at least two pairs of coating lines which are physically separated to prevent contamination during reconfiguration. One pair is intended to be capable of prototype product manufacture, and the other for process development
- Processes configured for “product” should be robust and repeatable, suitable to demonstrate full production process control and quality. It is expected that such “products” will be suitable for sale in low volume manufactured vehicles. Such facilities should be specified around requirements of today’s state-of-the-art technologies. Facility protection for use on future technologies is desirable but may not be immediately implemented where this would add unacceptably to cost, or negatively impact on product quality or productivity. Manufacturing processes scalable to volumes of at least 1GWh per year are anticipated.
- Processes configured for “development” should be flexible and scalable, and should cater for current state-of-the-art as well as near future technologies. Such facilities are expected to be used for experimental and development purposes, but with the capability to make at least 100MWh per year of material when “run at-rate”.
- It is envisaged that the facility will cater for a range of cell technologies at opening, those which it is package protected to support and those which would require significant reinvestment.

2.3 Management and Culture

Ownership and management structures must not deter engagement of any commercial entities due to concern over vested commercial interests or leakage of IP. The Management must allow users (companies and research institutes) to maintain confidentiality and secure IP from the work they undertake, whilst building know-how in the staff of the facility to serve future users.

The facility needs to be able to host activities spanning a wide range of manufacturing readiness levels. Companies, research organisations and universities will be likely users, working on manufacturing research, innovation, scale-up, and commercial manufacture. As a result the management culture should balance these requirements in a fair and reasonable manner, and take an active role in outreach activities and promotion of UK capability to overseas clients

As a nationally funded facility, projects supported by the facility should have significant and demonstrable lasting benefit to the UK. Projects for instance purely for the benefit of overseas companies with no value creation for the UK would be out of scope.

The facility will, at times, act as a host to the manufacture of materials and products but will not act as the supplier of such materials or products to the market. The contractual role of the supplier will be taken by a user or users conducting a project at the facility, and all commercial agreements around the usages of those materials or products produced will be the responsibility of that user or users. Any commercial activity must be at industry commercial rates and all such activity must be clearly state aid compliant. Bidders must demonstrate operational governance to ensure this compliance is achieved in their bid.

2.4 Confidentiality and IP

- The facility should contain communal areas designed to promote collaboration and interaction between users, as well as spaces in which confidential work can be conducted.
- Where possible, provision should be made to “screen off” areas during confidential operation.
- Users must recognise that they will benefit from the know-how of the facility resulting from staff undertaking multiple projects – and in turn, the know-how (but no confidential information or IP) developed in the course of their activities in the facility will benefit other users.
- The facility should not be the holder of IP – this should be assigned to the collaborating companies on a project-by-project basis.
- Users should be encouraged to licence such IP to other collaborating organisations on fair and reasonable terms, with a right not to licence if this would be contrary to normal market competition.
- Users should grant a licence for teaching and research purposes to the Facility. This licence would not include the right for commercial exploitation, which would be negotiated with the IP holder on fair and reasonable terms.

2.5 Eligibility

Successful applicants can attract grant funding towards their eligible project costs. The percentage of costs supported varies, by the type of organisation involved, and the outcome of a value for money economic assessment carried out by BEIS.

To be eligible to apply for this funding, an organisation must:

- Be a UK-based business of any size
- Carry out your project in the UK
- Be able to clearly demonstrate that your proposal is in line with current state aid regulations

3 Competition Timeline

Whilst it is recognised that the delivery of such a facility is a significant undertaking, the need for this facility is imminent. Priority will therefore be given to a consortium which can satisfy the requirements in a timely manner which is anticipated to be 24 months from contract placement. The consortia/organisation will need to indicate how such timescale will be met, including consideration of planning, land, infrastructure, utilities and equipment lead times.

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.

Competition Launch	Tuesday 25 th July 2017
Launch Event	3 rd August 2017
Competition closes	Midday on Wednesday 14 th September 2017
Feedback to applicants and interview invite	Friday 29 th September 2017
Presentation submission	Midday on Wednesday 11 th October 2017
Interviews	19 th – 20 th October 2017
Validation panels	30 th October and 6 th November 2017
Applicants notified	10 th November 2017

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 5.1 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 to incorporate into the interview.

The technical interview panel will consist of up to 5 independent assessors. The panel will have read your application, and the technical feedback questions and will have seen your presentation slides in advance. Following your presentation and question and answer sessions 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, to the validation interview.

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.

To help demonstrate the value for money of your project, it is recommended that you provide detailed and clear evidence where requested. If selected for interview, you will receive your written value for money feedback from assessors and can include your response within your interview presentation.

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.

5 Your Written Application

5.1 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.</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 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 vision for the facility and the future operating model?	<p>Detail the vision for the facility you intend to deliver at the end of the project, presenting each of its major features and benefits. Link this to the key objectives of the competition brief.</p> <p>Describe the nature of the challenges or issues facing your organisation and/or your potential customers/partners and how the intended outputs of the project will address these. Explain why existing facilities cannot meet these requirements.</p> <p>Describe the location in which the facility will be located and a summary of the reasons that justify the selection of this location, including details of any other options considered. 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 how this facility will link to and work alongside other elements of the Faraday Challenge. How will you make sure that outputs from the other two elements of the Faraday Challenge will be fully exploited through the facility?</p> <p>Clearly define what the expected operational and maintenance costs will be, who will be responsible for these, and how these costs will be financially sustainable.</p> <p>Clearly explain how the facility will address the challenge of being a National open to all facility, and how it can support multi formats and materials. Detail how these capabilities will develop over time.</p> <p>Demonstrate that multiple organisation use will be encouraged but that mitigation of knowledge leakage between users is in place and how this will be addressed.</p> <p>Set out the return on investment that the project could reasonably achieve in low, expected and high cases.</p> <p>Include an summary of your business plan to outline the expected life and sustainability in your answer to this question (this can be supplemented in Appendix A)</p>

<p>2. Describe the market, highlight specific target customers and how you propose to support and work with these customers?</p>	<p>Describe the market and the customers that the facility and operating model will target. Address the potential to create value-add for the UK.</p> <p>Detail the market analysis that shows the size of the attainable market, competitors both currently existing and expected in the medium term. Describe how your proposal addresses the need for the facility and the strategy you have in place to secure this. Provide evidence where possible.</p> <p>Focus on how the facility will:-</p> <ul style="list-style-type: none"> • ensure that it is impartial to industrial and academic partners • ensure that it can work together with competing companies • demonstrate how the design of the facility will allow concurrent collaborative as well as independent activities <p>Why is this facility internationally attractive and what attracts competing companies to work in the same facility?</p> <p>Provide details of the expected project work that will be undertaken in the facility, and the associated funding streams.</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 manufacturing in the UK, for example letters of intent, please include these in Appendix A.]</i></p>
<p>3. Describe the impact the facility will have on the UK and international automotive industry. What economic and social impact will the facility have?</p>	<p>Describe the economic and social impact on the UK and international automotive community and widespread industry sectors that you expect the proposed facility to create. Consider a high, medium and low sales scenario approach.</p> <p>Describe how the proposed facility will add value and increase the UK's reputation for being a focal point for battery manufacturing and development.</p> <p>Describe in detail the process for how the project will deliver economic and social impact. Explain how inputs to the project (i.e. funding), will generate activities (e.g. testing), which lead to outputs (e.g. research findings), outcomes (e.g. exploitation of technology) and finally impacts (e.g. exports). If helpful, you can provide in annex (A) a 'logic model' to demonstrate this process.</p> <p>Detail the number of jobs that will be created directly at the facility and in any direct or indirect supporting roles. How many jobs will be created or retained to work on the project. Also include the expected longer-term employment impact. Define what skills will be transferable (internally and externally).</p>

	<p>How will the facility allow for teaching and skills development to increase the UK skill base for the emerging UK battery industry?</p> <p>How will research be disseminated beyond direct users of the facility? Provide any plans public engagement, such as having an interactive exhibition, as well as the facility to host events and visits.</p> <p>Show how any suppliers of equipment or services required to create the facility will be engaged to support UK knowledge capture and exploitation?</p> <p>How will the facility ensure the development of a UK supply chain? Making sure you describe how the supply chain will be integrated into the facility's activities.</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. How will the facility support UK battery manufacturing and development, and how will this be established beyond what is delivered inside of the defined project?	<p>Indicate how the facility will be further developed or improved beyond the timeframe or outside of the scope of this project. Detail any follow-on projects or future improvement opportunities currently envisaged.</p> <p>Confirm how the facility will ensure it stays at the forefront of battery manufacturing technology.</p> <p>How will the manufacturing research undertaken at the facility retain a leading edge focus?</p> <p>Explain how responsibility for recycling will be integrated into manufacturing development activities</p> <p>Describe how the facility will be adaptable to changes in the target markets?</p>

Section 2	The project details (10 points per question = 40 points in total)
Question	Guidance
<p>5. What project governance structure will be utilised to ensure project is delivered successfully in terms of scope, time, cost and quality?</p>	<p>Detail the project governance structure that this project will use. This could include:</p> <ul style="list-style-type: none"> • Overarching project governance (including structure of the team) • Management reporting lines • Milestones and gateways • Deliverables with timings • Leading KPI's • Communication management <p>Please set out how you will be monitoring progress of the project, including over the set-up phase. What metrics do you intend to monitor (e.g. spend, usage rate) and how will you report this information? Who will be responsible for collecting and collating this data?</p> <p>Detail how the governance team will be kept informed of progress and highlight concerns or issues early to all impacted stakeholders, and who identify who these stakeholders are.</p> <p>Detail key commitments and responsibilities for each partner. For example in the form of a RASIC.</p> <p>How will the finances be managed and contingency supported.</p>
<p>6. How will the project be managed and what is the timeline?</p>	<p>Identify who will lead the project on a day to day basis and how the project team will be structured.</p> <p>Detail a clear project plan, deliverables, milestones and gateways and identify the main work packages.</p> <p>Describe how the project will achieve effective project team integration between partners, as well as the supply chain and any other key factors.</p> <p>Identify any internal and external support that is required and indicate what is agreed at time of writing and what is still to be agreed.</p> <p>Explain how the facilities transition to an effective operational unit is going to be managed and governed?</p>

<p>7. What are the risks 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 project has 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 associated with the project (e.g. ethical issues, risks to job creation or safeguarding jobs). The main risks should then be rated in a format which is integral to the projects risk management strategy (e.g. High/Medium/Low). 2. State how the project would mitigate each key risk. Evidence that the risks have been mitigated should be presented. The response should distinguish between the probability of mitigation strategies not being effective, and the impact this would have on the realisation of future activities/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 arrangements for managing the project team and its partners. <p>Proposals should specifically address any legal agreements or consents that need to be put in place to enable the works to be undertaken.</p> <p>Ensure you cover in detail how the consortia will ensure open access by all, how have they guaranteed wider participation and the freedom of users to retain all IP related to the developments?</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 facility, describe the track record of the organisations undertaking the project in delivering successful research and development and exploiting the results.</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?

	<p>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> <p>Detail how the core team will be trained and ensure that there is appropriate capability to focus on the manufacturing development not purely research and development.</p> <p>How will you ensure the utilisation of the most effective manufacturing / operational practices?</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>Indicate the anticipated initial 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. Explain why the specific level of grant funding requested is needed. Why not more or less?</p> <p>Also ensure you explain how the facility will continue to be funded throughout its life.</p> <p>Supporting information and explanation for project costs should be provided in this section of the form.</p> <ul style="list-style-type: none"> • Detail a cost plan with details of how costs have been assessed, including any professional costs advice and benchmarking. • Detail how the works/equipment will be procured to ensure best value for money and high UK content is obtained by describing the proposed tendering strategy. <p>In evaluating this the assessors will consider the following questions:</p> <ul style="list-style-type: none"> • Is the budget realistic for the scale and complexity of the project? • Is a financial commitment from other sources demonstrated for the balance of the project costs? • Has a realistic budget breakdown been provided? • Have any work package breakdowns been described and justified adequately? <p>As per the scope, all applications that reach the interview stage will be asked to provide independent assurance in relation to their compliance with state aid rules. You should demonstrate here that you have investigated it fully and illustrate how you plan to remain compliant through the life time of the assets.</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>Explain why this project could not take place without government financial support. Show, using evidence, why Faraday Challenge funding is either required for the project to be able to proceed, or how Faraday Challenge funding would allow you to undertake the project differently (sooner, more quickly, on a larger scale etc.). Examples of evidence might include cost analysis of alternative options or information showing inability to raise funds through private sources.</p> <p>Explain what the contribution requested from government per work package and a justification for this specific amount of funding is needed</p> <p>Detail how the funding required to enable the project to proceed allows you to undertake the project both in terms of time to market and at scale.</p> <p>Give clear indication of the co-funding from industry and any direct follow-on funding from industry.</p> <p>Demonstrate the return on investment for the partners involved in the project, as well as the UK tax payer.</p> <p>Detail the financial benefits inside and outside of the consortium should the project go ahead. How is this going to make a difference, how will this ensure the delivery of further large scale battery manufacturing investments into the UK?</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 the Department for Business, Energy and Industrial Strategy (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.</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)				
	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.

5.2 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
Appendix A Up to 25 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. Include a summary of your Business Plan focusing on the expected life and sustainability of the facility in this Appendix.
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 of the application form. Evidence could include business case extracts / Internal Rate of Return analysis / other financial comparisons of the with ISCF funding and without ISCF funding scenarios.

5.3 Finance Forms

Priority will be given to bids that can:-

- Have the capability to deliver in the timescale
- Demonstrate a well-established consortium
- Can demonstrate they bring the co-funding
- Have pre-existing capabilities in the relevant product and process technology areas

You may apply for funding support:-

- Up to 100% of your eligible costs, if you or the delivery organisation / entity involved is a non-profit distributing research organisation. In this case, you must demonstrate how the co-funding for investment in the facility will be contributed after the project.
- If you are a company rather than a research organisation, we would expect any bid to comply with State Aid regulations, and depending on how the facility is structured it may be possible to fund projects higher than 50% of eligible costs, depending on the split between economic and non-economic work

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 may each submit a Je-S form, with a 'With Council' status (see <https://je-s.rcuk.ac.uk>), if this is an appropriate route for their involvement in the project, otherwise use the industry partner finance form.

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).

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. Project Appendices (A, B, C, D), as PDF documents.
3. Partner Finance Forms, as Excel Workbooks, one per industrial partner.
4. 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, on 29th September 2017 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.
- Incorporate responses to feedback both Technical and Value for Money within your presentation.
- Prepare and submit your presentation material and list of attendees by midday on 11th October 2017.
- Have a memorandum of understanding signed by all parties and brought to the interview.
- Work with your consortia to develop a mature draft of your Collaboration Agreement, which must 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.

Memorandum of Understanding & Collaboration Agreement

Consortia must bring a copy of their Memorandum of Understanding and mature draft 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 these.

Interview Attendees

You may bring a maximum of 10 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.

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	60 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			
Interview	45 mins	Answer questions from the interview panel	Pose questions and assess	Observe and assess	Observe

Figure 1: 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 Validation Panel & Additional Information

9.1 Validation Panel

If you are successfully invited to Interview, we will inform you of the additional information that you will need to prepare for this panel. Please ensure that you keep this date free if you are invited to interview, as we are unable to move this date. You may also wish to invite different attendees to those who attended the interview panel, who may be best suited to answer the questions raised at Validation Panel.

If you are successful in passing the interview stage, a validation panel is required to confirm any post interview questions and outstanding queries, with the aim of achieving a quick project start up.

9.2 Preparing for project kick-off

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

- The 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.

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.

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.

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.

Where can I find out more about the Faraday Challenge and the ISCF?

To read the announcement of the Industrial Strategy Challenge Fund investments including the Faraday Challenge, visit <https://www.gov.uk/government/news/business-secretary-announces-industrial-strategy-challenge-fund-investments>.

9.3 Glossary

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 State Aid

A key element of the project application is to ensure that your project is compliant within State Aid rules for both the lifetime of the project and the asset. You will be asked to demonstrate which ever route you have chosen is compliant with these rules, should you reach interview stage.

- The successful project is subject to general state aid compliance. The applicant should be clear how the project is compliant. One option is that your project may focus on 'investment aid for research infrastructures'. Up to 100% of your eligible costs may be funded if you or the delivery organisation / entity is a non-profit distributing research organisation. If you are a company rather than a research organisation where projects are using 'investment aid for research infrastructures', applicants should be aware that for grants over €20 million they will need to be separately notified to the EU Commission. Details of the Framework for state aid for research and development and innovation can be found at;
http://ec.europa.eu/competition/state_aid/modernisation/rdi_framework_en.pdf

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

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 where appropriate.

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 IF YOU ARE SUCCESSFUL TO GO THROUGH TO INTERVIEW AND TO RESERVE THE DATE FOR VALIDATION PANEL

Once all applications have been assessed and checked for completeness, you (the lead applicant) will be informed of the decision by e-mail, as to whether you are proceeding to interview. It is the responsibility of the lead applicant to inform all other partners in a project consortia of the decision and to ensure that response to feedback, your presentation and the attendee list is uploaded by the deadline given.

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. It is your responsibility to collate this feedback and ensure that your responses are adequately covered at interview.

STEP 4 – YOU WILL BE NOTIFIED IF YOU ARE REQUIRED TO ATTEND THE VALIDATION PANEL.

Once all assessment has been conducted and collated at interview, you (the lead applicant) will be informed of the decision by e-mail on 20th October, as to whether you are proceeding to validation panel. It is the responsibility of the lead applicant to inform all other partners in a project consortia of the decision and to provide your attendee list for the validation panel by noon 26th October. We will then inform you, (the lead applicant) if you have been successful overall.

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.

Appendix 5: What happens if you are successful?

11 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.

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.

12 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.

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.

13 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.