

**dti**

**SUCCEEDING THROUGH INNOVATION**

**Guidance for Applicants  
Autumn 2006 Competition for  
Funding for Collaborative  
Research & Development Projects**

**THE TECHNOLOGY PROGRAMME**

To help drive up UK productivity through better innovation, the DTI provides a range of solutions that offer practical support and encouragement at the different stages of the innovation process. The Technology Programme supports innovative new technologies and sustainable long term solutions.

Funded by Government Departments, Research Councils, Regional Development Agencies and Devolved Administrations.

This document provides applicants with guidance on the submission of applications for funding from the Technology Programme. It highlights the types of Collaborative Research & Development projects you can apply for, together with details of the application process and the appraisal criteria.

Further information on the Technology Programme is available from the Programme's website at:

[www.dti.gov.uk/innovation/technologystrategy/index.html](http://www.dti.gov.uk/innovation/technologystrategy/index.html)

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# 1 Introduction

## 1.1 The Programme

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The Technology Programme (the Programme), managed by the DTI, is a cross-Government innovation initiative, directed by the business-led Technology Strategy Board (TSB). Its purpose is to provide funding to facilitate further investment in science, engineering and technology with the active participation of business and industry. Applications for funding from the Programme are invited through competitions addressing specific technology priorities identified by the TSB as being of critical importance to the growth of the UK economy. Further information on the Technology Strategy and the Technology Programme is available at [www.dti.gov.uk/innovation/technologystrategy/index.html](http://www.dti.gov.uk/innovation/technologystrategy/index.html)

The active participation of business and industry is central to the Programme. Throughout this document business and industry are represented by the term “industry”, which is used in its widest sense to include both services and manufacturing.

## 1.2 Collaborative Research & Development

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This document provides guidance for applicants for funding from the Technology Programme for Collaborative Research & Development projects.

**Important Note:** This document does **not** provide guidance to applicants in the areas of:

- Moving Towards the Zero Emission Enterprise;
- Human Vulnerabilities in Network Security.

Guidance for Applicants for these areas is provided in separate Guides and on the Technology Programme website. It is important that applicants interested in support in these areas refer to that guidance, as the requirements, processes and timeframes differ significantly from those detailed in this document.

The objective of Collaborative Research & Development is to assist the industry and research communities to work together on Research & Development projects in strategically important areas of science, engineering and technology, from which successful new products, processes and services can emerge. It also primes the flow of the latest knowledge and thinking from the UK's science, engineering and technology base to business. The Programme supports three categories of research.

### **Pure or Oriented Basic Research**

This encompasses both experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view. Funding support will favour Oriented Basic Research over Pure Basic Research. By Oriented Research we mean research carried out with the expectation that it will produce a broad base of knowledge likely to form the background to the solution of recognised or expected current or future problems or possibilities.

### **Applied Research**

This encompasses original investigation undertaken in order to acquire new knowledge directed primarily towards a specific practical aim or objective. This type of research may involve the creation of a project to take forward the results of a Basic Research programme.

### **Experimental Development**

This encompasses systematic work, drawing on existing knowledge gained from research and practical experience, that is directed to producing new materials, products and devices; or to installing new processes, systems and services; or to improving substantially those already produced or installed.

## **1.3 A summary of the application process and timeframe**

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The competition opens on 2<sup>nd</sup> November 2006. There is a two-stage application process for all projects – an Outline Application followed by a Full Application for projects successful at the Outline stage. The main stages of the process are summarised in the following table.

**Important Note:** If your project is seeking funding of £8 million or more financial support from the Programme, you must contact Ray Browne of DTI by telephone on 020 7215 1287 to discuss your application before registering your intention to submit an application.

<b>Outline Stage</b>	
Optional applicant briefing meetings	See website for dates & further information
Registration of intention to submit an application	Deadline: Midnight 8 <sup>th</sup> January 2007
Submission of Outline Academic Partner Finance Forms (via Je-S)	Deadline: 4.00pm 11 <sup>th</sup> January 2007
Submission of Outline Application Form and Outline Industry Partner Finance Forms	Deadline: Midnight 15 <sup>th</sup> January 2007

An application receipt will be issued within 24 hours of the submission of the Application Form. Applicants will be notified of the outcome of the assessment of their Outline Application on 12<sup>th</sup> February 2007.

<b>Full Stage *</b>	
Compulsory applicant briefing meetings **	See website for dates & further information
Submission of Full Academic Partner Finance Forms (via Je-S)	Deadline: 4.00pm 3 <sup>rd</sup> April 2007
Submission of Full Application Form and Full Industry Partner Finance Forms	Deadline: Midnight 3 <sup>rd</sup> April 2007

An application receipt will be issued within 24 hours of the submission of the Application Form. Applicants will be notified of the outcome of the assessment of their Full Application on 21<sup>st</sup> May 2007.

If your application is successful at the Full stage you will be sent a formal Offer Letter. You will be required to accept or decline the offer within 2 months from the date of issue of the Offer Letter and your project must commence within 6 months of the acceptance of offer date.

\* *Full stage Applications may only be submitted by applicants that are successful at the Outline stage.*

\*\* *The compulsory applicant briefing meeting is held on two separate dates. At least one member of your consortium must attend one of the briefings. A consortium that is not represented will not be permitted to submit a Full Application.*

# 2 Funding

## 2.1 What are the sources of funding?

As a general rule, DTI is the primary funder of this Programme. The Research Councils act as co-funders for specific competitions and technology priority areas where these are of direct interest to them and are in areas that meet their funding policies. Other co-funding bodies might include other Government Departments, Regional Development Agencies and Devolved Administrations. Details of the co-funders for each specific technology priority are provided in the PDF documents for each technology priority, available on the Technology Programme website.

## 2.2 What levels of funding are available?

The levels of funding available from the Programme for Collaborative Research & Development projects are summarised in the following table. Total funding from public sector bodies cannot exceed the limits in the table.

Type of project	Project focus	Reference code	Funding level as a % of eligible project costs
Business to Business Collaborative R&D	Basic Research	BASB2B	50%
	Applied Research	APPB2B	50%
	Experimental Development	EXPB2B	25%
Science to Business Collaborative R&D	Basic Research	BASS2B	75%
	Applied Research	APPS2B	50%
	Experimental Development	EXPS2B	25%

**Note:**

Business to Business Collaborative R&D is where Collaborative Research & Development projects involve collaborators from industry only.

Science to Business Collaborative R&D is where Collaborative Research & Development projects involve collaborators from industry and the Science, Engineering and Technology base.

The funding levels apply to the project and not to each partner. Academic partners can be funded for up to 80% of their Full Economic Costs and no industry partner (except a SME) can be funded for more than 50% of its eligible project costs. Within that scope, and the applicable funding level for the project, it is up to the consortium to decide how the funding is allocated across project partners. Details of Eligible Project Costs are provided in Appendix 1 of this document.

An organisation classified as a Small and Medium Sized Enterprise (SME) can be funded for up to 60% of its eligible project costs. However, the total funding for the project from public sector bodies cannot exceed the limits provided in the previous table. To be classified as an SME an organisation must be independent and have:

- fewer than 250 employees; and
- annual turnover less than or equal to €50 million or a balance sheet total of less than or equal to €43 million.

Further information on the definition of an SME is available at [http://ec.europa.eu/enterprise/enterprise\\_policy/sme\\_definition/index\\_en.htm](http://ec.europa.eu/enterprise/enterprise_policy/sme_definition/index_en.htm)

Research and Technology Organisations (RTOs) can operate as either industrial or academic partners within Collaborative Research & Development projects. In addition, there are certain functions that an RTO can undertake that are deemed to be for the benefit of the wider community as a whole. The implications of these roles for RTOs and overall project funding within the context of the Technology Programme are addressed in Appendix 4 of this document.

CCLRC (Council for the Central Laboratory of the Research Councils) facilities are available for Technology Programme Collaborative Research & Development projects, subject to agreement with the CCLRC. Further information on the facilities available, the viability of using these facilities for your project and how to include these in your application is detailed in Appendix 3 of this document.

## 2.3 What do I do if my project spans more than one category of research?

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The work packages in a project might not all represent the same category of research, i.e. some may be Basic Research, some Applied Research and some Experimental Development. You should identify which work packages in your project fit within each category of research. You should then:

- identify the main category, i.e. the category with the highest percentage of total project costs, and enter the corresponding reference code in the appropriate field on the first page of your Application Form;
- calculate the appropriate level of applicable funding for the total project. For example, if 80% of a project is Applied Research and 20% Experimental Development, defined by work package cost, the total eligible level of funding is 45% of total eligible project costs.

# 3 How to apply

## 3.1 Is my project eligible for funding?

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To be eligible for funding your project must:

- address the specific requirements of one of the technology priorities in the current competition for funding. Details of the requirements for each of the technology priorities are provided in PDF documents for each technology priority. These are available on the Programme's website;
- be based on research conducted in the UK;
- involve two or more collaborators located in the UK, at least one of which is from industry. Collaborators are organisations that form a consortium to work together cooperatively on a specific Research & Development project. These may be from industry only (Business to Business), or from industry and the science, engineering and technology base (Science to Business);
- be industry driven and have a significant proportion of UK industry participation and commitment.

In addition, you must be able to demonstrate how funding from the Programme for your project will add value (see Section 3.5 of this document).

## 3.2 How do I register my intention to submit an application?

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You must register your intention to submit an application via the Programme website by midnight on 8th January 2007. If you fail to register by the deadline you will not be able to download an Application Form and will not be able to submit an application. When you register you will be required to:

- select the technology priority that your application will address. Each competition for funding is based on a number of specific technology

priorities. Details of the technology priorities for the current competition are provided in PDF documents for each technology priority, available on the Programme website. It will not be possible to change your selected technology priority after you have registered. If your project spans more than one technology priority, you should select the main technology priority that your project will address;

- indicate which sub-areas of the technology priority your application will address. These are detailed in the PDF documents for each technology priority and provided as a list on the website. It will be possible to change your selected sub-areas if necessary when you submit your Outline Application Form.

It is important to note that the registration of intention to submit an application is **not** the same as signing-up or signing-in to the Programme website. If you wish to submit an application, once you have signed-up/signed-in to the website, you must register your intention to submit that application following the instructions on the website. If you wish to submit more than one application you must register your intention to submit each application.

### 3.3 What Forms do I need to submit?

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You must register your intention to submit an application before you can download and submit your Outline Application Form and Finance Forms. A summary of the Forms that you need to submit at the Outline and Full stages is provided in the following tables. Forms submitted late will not be accepted and will result in the application being ineligible.

Outline Stage	
Form/Deadline	Guidance
<p><b>Outline Application Form (plus Annexes)</b> URN 06/2012 Deadline for submission: Midnight 15<sup>th</sup> January 2007</p>	<p>One Outline Application Form should be submitted for each application by the lead organisation. Failure to submit your Application Form by the deadline will mean that your application is rejected. Guidance on how to complete the Application Form and Annexes is provided in Sections 3.4 – 3.6 of this document.</p> <p>The Application Form must be submitted on-line via the Programme’s website where instructions on how to submit the Form are provided. Once you have submitted your Application Form to the website it is possible to update it by resubmitting it, as many times as required, up until the deadline. You are encouraged to submit your Application Form well before the deadline and to up-date it as required by resubmitting before the deadline.</p>
<p><b>Outline Academic Partner on-line Finance Form: “Outline Proposal” *</b> Deadline for submission: 4.00pm 11<sup>th</sup> January 2007</p>	<p>This is an on-line Form which must be completed and submitted via the Research Council’s Joint electronic Submissions (Je-S) website by each academic partner. The on-line Form is then automatically forwarded by the Je-S system to the Technology Programme. Guidance on how to submit the on-line Form is provided in Appendix 2 of this document and on the Je-S website at <a href="https://je-s.rcuk.ac.uk">https://je-s.rcuk.ac.uk</a>. Once Forms have been submitted via Je-S it is <b>not</b> possible to resubmit them.</p>
<p><b>Outline Industry Partner Finance Form *</b> URN 06/2009 Deadline for submission: Midnight 15<sup>th</sup> January 2007</p>	<p>Each industry partner must complete an Outline Industry Partner Finance Form available via the Technology Programme website. Each of these Forms should be collected and then submitted on-line by the lead partner. Guidance on how to complete and submit Industry Partner Finance Forms is provided via the Technology Programme website. Once you have submitted an Industry Partner Finance Form to the website it is possible to update it by resubmitting it, as many times as required, up until the deadline.</p>
<p>* Finance Forms must be submitted by all partners in the consortium, even if they are not seeking funding from the Technology Programme.</p>	

Full Stage	
Form/Deadline	Guidance
<p><b>Full Application Form (plus Annexes)</b>  URN 06/2010  Deadline for submission:  Midnight 3<sup>rd</sup> April 2007</p>	<p>One Full Application Form should be submitted for each application by the lead organisation. Failure to submit your Application Form by the deadline will mean that your application is rejected. Guidance on how to complete the Application Form and Annexes is provided in Sections 3.4 – 3.6 of this document.</p> <p>The Application Form must be submitted on-line via the Programme’s website where instructions on how to submit the Form are provided. Once you have submitted your Application Form to the website it is possible to update it by resubmitting it, as many times as required, up until the deadline. You are encouraged to submit your Application Form well before the deadline and to up-date it as required by resubmitting before the deadline.</p>
<p><b>Full Academic Partner on-line Finance Form: “Grant Proposal” *</b>  Deadline for submission:  4.00pm 3<sup>rd</sup> April 2007</p>	<p>This is an on-line Form which must be completed and submitted via the Research Council’s Joint electronic Submissions (Je-S) website by each academic partner. The on-line Form is then automatically forwarded by the Je-S system to the Technology Programme. Guidance on how to submit the on-line Form is provided in Appendix 2 of this document and on the Je-S website at <a href="https://je-s.rcuk.ac.uk">https://je-s.rcuk.ac.uk</a>. Once Forms have been submitted via Je-S it is <b>not</b> possible to resubmit them. A one-page Justification of Resources should be submitted as an attachment to the Je-S application. In this document applicants should describe the need for the resources they are requesting.</p>
<p><b>Full Industry Partner Finance Form *</b>  URN 06/2011  Deadline for submission:  Midnight 3<sup>rd</sup> April 2007</p>	<p>Each industry partner must complete a Full Industry Partner Finance Form available via the Technology Programme website. Each of these Forms should be collected and then submitted on-line by the lead partner. Guidance on how to complete and submit Industry Partner Finance Forms is provided via the Technology Programme website. Once you have submitted an Industry Partner Finance Form to the website it is possible to update it by resubmitting it, as many times as required, up until the deadline.</p>
<p>* Finance Forms must be submitted by all partners in the consortium, even if they are not seeking funding from the Technology Programme.</p>	

## 3.4 How do I complete the Application Form?

- You must use the Application Form provided via the Technology Programme website. Applications will not be accepted in any other format. The Form must not be altered, converted or renamed.
- The Application Form contains specific form fields and it is important that you complete each field. Incomplete Application Forms risk being rejected.
- The space given 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, although they may be included in the Annexes.
- The fields shaded light grey are completed automatically from other information entered on the Form, e.g. the total columns of a table. These cannot be overwritten.
- You must also submit additional information in Annexes to the Application Form. The requirements for these are provided in Section 3.6 of this document.

The following table provides guidance on the completion of each field of the Application Form.

Application Form Guidance	
Field	Guidance
Technology priority	This field will show the technology priority that you selected when you registered your intention to submit an application. It is not possible to change your selected technology priority at this stage. If your application spans more than one technology priority you should refer to this in your response to the gateway question "Does the application align with the specific technology priority?"
Reference code	Select the appropriate code. Reference codes are provided in the table in Section 2 of this document.  <b>Note:</b> It is important to ensure that the code selected is consistent with the funding level being sought and the description of the proposed project work. If the assessors judge that it is not consistent your application risks being rejected. It is also important to note that not all technology priority areas invite applications for all categories of research, i.e. Basic Research, Applied Research and Experimental Development. It is therefore important to refer to the PDF document for the technology priority to which your project applies, to identify the applicable category or categories of research for that technology priority.

Field	Guidance
Project title	<p>Enter the title of the project. Please ensure that the project title fits within the space provided. The inclusion of an acronym as a short-form of the title is encouraged.</p> <p>The title will be used for the project throughout the application and assessment process and cannot be changed. It will be entered on the Programme's database and will appear on any Offer Letter that might be issued by the DTI on behalf of the Programme.</p>
Lead organisation name	<p>Enter the name of the lead organisation for the project.</p> <p><b>Note:</b> The lead organisation can either be an industry partner or an academic organisation, but the project must demonstrate that it is industry driven and has industry commitment and therefore the lead partner is in general expected to be an industry organisation. The lead organisation will be the main point of contact between the Programme and the consortium.</p>
Annexes	<p>Confirm that you are submitting the required number of Annexes with your Application Form.</p> <p><b>Note:</b> The specific requirements for Annexes are provided in Section 3.6 of this document. Applications that do not include the required number of Annexes risk being rejected.</p>
Standard Offer Letter	<p>Indicate on behalf of the consortium that all the partners have read the terms of the standard Technology Programme Offer Letter which is provided on the Programme website.</p>
Project timescales	<p>Enter the estimated start date of the project and its planned duration in months.</p>
Abstract of proposed project	<p>Provide a short summary of the content and objectives of the project including what is innovative about the project.</p>
Sub-area(s) within the technology priority area	<p>Indicate which sub-area(s) within the technology priority will be addressed by your project. Note that you must select these from the options provided on the Application Form.</p>
Gateway and Criteria sections	<p>Specific guidance on completing these sections is provided in Section 3.5 of this document.</p>
EUREKA or ERA-NET projects	<p>If, under this application, you are applying for funding for a EUREKA or ERA-NET project, you should enter the name of the main UK participant of the project as the Lead Organisation on the Application Form.</p>

Field	Guidance
Financial – the Table	Complete the table with reference to the specific notes provided with the table. <b>Note:</b> Failure to complete this table accurately and comprehensively will mean that your application risks being rejected.
Other funding from public sector bodies	If you have one or more entries in column 4 of the finance table, please provide the additional information in this section as detailed on the Application Form.
Previous public sector funding	Enter the details of any public sector funding previously applied for and/or received for this project.
Lead partner's details	Enter the details of the lead partner as prompted by the fields. (Similar information on the other partners will be taken from their Industry Partner Finance Forms and the details submitted via Je-S and provided to the assessors.)

## 3.5 How do I complete the gateway and criteria sections of the Application Form?

### Gateway questions

The Application Form contains the following two gateway questions:

- Does the application align with the specific technology priority?
- Does the Technology Programme funding add value?

If the assessors consider that the answer to either one or both of these questions is “no”, then your application will not be accepted for funding. Guidance on the two gateway questions is provided in the following table.

Gateway questions	
Question	Guidance
Does the application align with the specific technology priority?	<p>All applications must align with the technology priority selected by the applicants and shown on the first page of their Application Form. Details of the technology priorities are provided in PDF documents for each technology priority available on the Technology Programme website.</p> <p>To demonstrate this, applicants need to show that a clear majority of the project's objectives and activities are aligned with the specific technology priority. In forming their judgement on this, the assessors will also consider whether the application addresses the research objectives and topics it claims to address.</p>
Does the Technology Programme funding add value?	<p>To demonstrate this applicants need to provide evidence that:</p> <ul style="list-style-type: none"> <li>• success in the competition will increase the total amount of money the consortium partners spend on Research &amp; Development in the UK;</li> </ul> <p>and either:</p> <ul style="list-style-type: none"> <li>• why the consortium partners are not funding the project themselves; or</li> <li>• why the Technology Programme funding would allow them to undertake the project differently, and why this would be beneficial to the UK.</li> </ul>

### Criteria questions

If your application meets the two gateway requirements above, then it will be assessed against the following three criteria:

**Criterion 1:** The UK's capacity to develop and exploit the technology

**Criterion 2:** The size of the market opportunity

**Criterion 3:** Potential impact and timescale

Each of these criteria has three specific questions. These are listed in the following tables with Guidance Notes for each. Your application will be assessed according to its ability to meet these criteria and the specific questions for each of the criteria. Each of the criteria will be scored by the assessors out of a total of 30 points (10 points for each question).

The guidance notes for each question are not intended to be exhaustive. Applicants are expected to develop their own responses based on their own skills, knowledge and experience.

## Criterion 1: The UK's capacity to develop and exploit the technology

Question	Guidance
1. What technical approach will be adopted and how will the project be managed?	<p>Applicants should provide an overview of the technical approach including the main objectives of the work and methods to be employed to deliver the overall project results, supported by further detail in Annex A (see Section 3.6 of this document).</p> <p>In evaluating this the assessors will consider:</p> <ul style="list-style-type: none"><li>• is the technical approach appropriate to the needs of the project and are the innovative steps achievable through the proposed approach?</li></ul> <p><b>Note:</b> For Full stage applications the assessors will also consider:</p> <ul style="list-style-type: none"><li>• 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?</li><li>• is the timing of key milestones realistic?</li><li>• have the applicants demonstrated sufficient resource commitment and capability to undertake the project?</li><li>• are clear management reporting lines identified?</li></ul>
2. What is innovative about this project?	<p>Applicants should identify the extent to which the project is innovative. For example, does it push boundaries over and beyond current leading-edge world science and technology, or is it looking to apply existing technologies in new areas? The timeliness and novelty of the research aspects of the project should be highlighted and explained in an industrial and/or academic context.</p>
3. Does the consortium have the right skills and experience to deliver the identified benefits?	<p>Applicants should detail the track record of the consortium members in undertaking and exploiting the results of research and development projects, to show their capability to develop and exploit the technology.</p> <p>In evaluating this the assessors will consider:</p> <ul style="list-style-type: none"><li>• do the consortium members have the right mix of skills and experience to deliver the project successfully?</li><li>• are the consortium formation objectives clear and would it have been formed without Technology Programme funding?</li><li>• is extra benefit demonstrated from the collaboration, for example, increased knowledge transfer?</li><li>• is the consortium greater than the sum of its parts?</li></ul> <p><b>Note:</b> For Full stage applications, applicants should use Annex C (see Section 3.6 of this document) to provide details of the specific expertise and track record of each consortium partner and each subcontractor. This might, for example, include a summary of the results and conclusions of the applicant's recent work in the technology area covered by the project.</p>

Criterion 2: The size of the market opportunity	
Question	Guidance
4. What is the size of the market opportunities that this project might open up?	<p>Applicants should describe the size of the market opportunities that this project might open up including details of:</p> <ul style="list-style-type: none"> <li>• 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, dominance by a single leading firm etc.);</li> <li>• the dynamics of this market;</li> <li>• the projected scale of the market (including details on the robustness of this projection);</li> <li>• the potential to create value added for the UK and/or the European Economic Area (EEA).</li> </ul>
5. What are the possible applications of this project and how do you intend to disseminate and exploit the results? What Intellectual Property (IP) will be generated and how will this be identified and managed?	<p>Applicants should demonstrate the potential for commercial exploitation of the project, e.g. possible applications, markets, processes or products, and their arrangements for disseminating and exploiting the results of the project including identifying and exploiting any IP.</p> <p>Applicants should include any methods of exploitation / protection, e.g. patents, trade secrets, being first to market etc. Applicants should also identify whether exploitation potential exists if the project is not completed, i.e. part use of the results.</p> <p>In evaluating this the assessors will also consider the following questions:</p> <ul style="list-style-type: none"> <li>▪ <b>Basic Research.</b> Have the applicants identified <b>many</b> potential applications to a <b>range</b> of markets, processes or products? Does the consortium have good arrangements for identifying and exploiting potential applications?</li> <li>▪ <b>Applied Research.</b> Have the applicants identified a <b>limited</b> range of applications focusing on specific markets and market opportunities, together with remaining technological integration issues?</li> <li>▪ <b>Experimental Development.</b> Have the applicants identified the clear use and commercial exploitation of the project's results, together with <b>clear routes</b> to market based on product, process or service developments?</li> </ul>

## Criterion 2: The size of the market opportunity (continued)

Question	Guidance
6. What are the expected quantified commercial benefits and what is the timescale over which these will be realised?	<p>Applicants should identify, and where possible quantify, the expected commercial benefits to each of the consortium partners, making it clear where the risk factors need to be applied. The timeframe over which these benefits are achievable will vary according to the stage of the research, and the assessors will expect the timescales identified to be credible.</p> <p>The level of detail to be provided by the applicants is expected to vary according to the stage of the research as follows:</p> <ul style="list-style-type: none"><li>• <b>Basic Research.</b> Identify how the project will produce a broad base of knowledge that will generate commercial benefits.</li><li>• <b>Applied Research.</b> Identify the balance of commercial costs and benefits.</li><li>• <b>Experimental Development.</b> Quantify the market potential of the project, including economic returns and profitability including a realistic Net Present Value (NPV).</li></ul> <p>Applicants should also explicitly identify any sustainability benefits expected to accrue to any of the consortium partners. Sustainable development balances economic growth with the protection of the environmental and social impacts.</p> <p>In detailing the potential sustainability benefits to the consortium partners, applicants should consider the following questions:</p> <ul style="list-style-type: none"><li>• is it anticipated that the project will improve the energy efficiency of any of the consortium partners, whether in terms of the production process, distribution etc.?</li><li>• will the project lead to a reduction in the waste generated by any of the consortium partners?</li><li>• will the project lead to lower use of inputs to production, lower scrap rates etc. by any of the consortium partners?</li></ul> <p>Applicants should also identify whether the project will have an impact on the performance of the consortium partners, in the context of these three questions, compared with other similar organisations.</p>

### Criterion 3: Potential impact and timescale

Question	Guidance
7. What economic and sustainability benefits is the project expected to deliver to those outside the consortium and over what timescale?	<p>Applicants should identify any economic and sustainability benefits that are expected to accrue to those outside the consortium.</p> <p>In terms of economic benefits, applicants should highlight any expected “spillover” benefits external to the project, e.g. benefits to users (intermediaries and end users), suppliers, industrial markets and the UK. The application should identify and quantify where possible the benefit to each of the beneficiaries, making it clear where the risk factors need to be applied.</p> <p>Sustainable development balances economic growth with the protection of the environmental and social impacts. Applicants should identify any expected social impacts, either positive or negative, on, for example, the quality of life, social inclusion / exclusion, health and safety, diversity, and any expected impact on Government priorities such as transport congestion and healthcare.</p> <p>In detailing potential environmental benefits, projects should consider the following:</p> <ul style="list-style-type: none"><li>• what are the potential environmental impacts of undertaking the project on those outside the consortium, and how significant are they relative to the economic benefits? Detail the full range of potential environmental benefits such as increased energy efficiency, reduced waste generation, increased product life, increased suitability for re-use or recycling, reduced potential for environmental harm at the end of the product’s life etc.;</li><li>• if the project is likely to have any negative environmental impacts, assessors will expect to see these identified, together with credible plans to mitigate negative impacts.</li></ul>

### Criterion 3: Potential impact and timescale (continued)

Question	Guidance
<p>8. What are the risks (technical, commercial and environmental) to project success? How will the business strategy of the consortium, the technical approach and project management help to mitigate these risks?</p>	<p>The Technology Programme recognises that projects of this type are inherently risky, but seeks assurance that the projects it funds have adequate arrangements for managing this risk. The level of detail required will vary based on the stage of the application. Outline applications should focus on their arrangements for managing and mitigating risk.</p> <p>Full stage applications should also consider key individual risks as follows:</p> <ul style="list-style-type: none"><li>• identify appropriate project management tools and mechanisms that will be implemented to provide confidence that sufficient control will be in place to minimise operational risk and, therefore, promote successful project delivery. This should include the arrangements for managing the consortium;</li><li>• 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 and environmental risks as well as uncertainties associated with the project. The main risks should then be rated as High/Medium/Low (H/M/L);</li><li>• state how the project would mitigate these key risks. Applicants should address all significant and relevant risks and their mitigation. Assessors will need to be able to see that all relevant and significant risks have been identified and that actions to mitigate the risks have been identified and addressed as far as possible. The Technology Programme is particularly interested in seeing evidence that the project is integral to the business strategy of the consortium partners.</li></ul> <p>Full stage applicants may use Annex B to provide this additional information.</p>

### Criterion 3: Potential impact and timescale (continued)

Question	Guidance
9. What is the financial commitment required for the project?	<p>Applicants should indicate the anticipated project cost making clear the level of contribution from consortium partners and the level of funding required from the Technology Programme. This should be provided within the Financial Table in the Application Form, with supporting information and explanation provided in this criteria section of the Form. It must be consistent with the category of Research &amp; Development being undertaken within each work package (see Section 2.3 of this document).</p> <p>In evaluating this the assessors will consider the following questions:</p> <ul style="list-style-type: none"><li>• is the budget realistic for the scale and complexity of the project?</li><li>• does the financial support required from the Technology Programme fit within the limits set by the specific competition?</li><li>• is a financial commitment from other sources demonstrated for the balance of the project costs?</li></ul> <p><b>Note:</b> For Full stage applications, applicants should also include a detailed budget breakdown and cash flow projection for the project duration, and indicate what accounting method will be used. Guidance on eligible and ineligible costs is provided in Appendix 1 of this document.</p> <p>In evaluating this the assessors will consider the following questions:</p> <ul style="list-style-type: none"><li>• have the applicants provided a detailed budget breakdown?</li><li>• is it inclusive of all anticipated costs throughout the duration of the project?</li><li>• where appropriate, are capital and depreciation costs clearly identified, e.g. new equipment?</li></ul>

The space provided on the Application Forms within each criterion field is not broken down into pre-determined sub-sections for each of the questions. This is so that you are able to provide the specific amount of information for each question that you consider to be appropriate for your application.

It is important, however, that the assessors are able to clearly identify where and how you have addressed each question. The approach to this is not prescriptive and you should adopt the most appropriate approach for your application. Suggestions on how your answers to each question can be presented so that they can be clearly identified by assessors include one or both of the following:

- numbering the answers to each question in accordance with the numbers used for each criteria question;
- using headings for the answer to each criteria question.

## 3.6 What are the requirements for the Annexes to the Application Form?

You are required to submit specific Annexes with your Application Form. These must be uploaded on-line via the Technology Programme website where instructions on how to do this are provided. Each Annex must be submitted as a single file in one of the following formats: MS-Word (.doc), MS-Excel (.xls), MS-PowerPoint (.ppt) or Portable Document Format (.pdf). The specific requirements for Annexes are provided in the following table.

Outline Stage	
Annex	Guidance
<b>Annex A</b> One side of A4	This should be used to provide additional information to address Question 1: What technical approach will be adopted and how will the project be managed?
<b>Annex B</b> One side of A4	This should be used to provide supporting information on your application as appropriate, for example a Gantt chart.
Full Stage	
Annex	Guidance
<b>Annex A</b> Up to two sides of A4	This should be used to provide additional information to address Question 1: What technical approach will be adopted and how will the project be managed?
<b>Annex B</b> Up to five sides of A4	This should be used to provide supporting information on your application as appropriate, for example a Gantt chart. It may also be used to provide supporting information for Question 8: What are the risks (technical, commercial and environmental) to project success? How will the business strategy of the consortium, the technical approach and project management help to mitigate these risks?
<b>Annex C</b> Half a side of A4 for each partner and subcontractor	This should be used to provide details of the specific expertise and track record of each consortium partner and each subcontractor to address Question 3: Does the consortium have the right skills and experience to deliver the identified benefits?

## 3.7 What happens after I have submitted my Application Form?

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You will receive an acknowledgement by e-mail from the Programme confirming receipt of your Application Form. If you have not received confirmation within 24 hours of submitting your Application Form please contact the Programme Helpline on 01355 272155.

During the assessment process you and/or the other partners in your consortium may be contacted by the Programme to seek further detail and clarification of certain aspects of your application, e.g. the eligibility of project costs. This will not form part of the assessment of your application and this information will not be provided to the assessors. It will be for the purpose of clarifying, if necessary, the details provided in your Finance Forms, so that if your application is successful, any unnecessary delays in issuing an Offer Letter are avoided. Being contacted for this information does not indicate either success or failure in the assessment process.

Following completion of the Outline stage assessment you will be informed whether you are invited to submit a Full Application. If your application is not successful at this stage you will receive information on the main reasons why the application was not successful. If your application is successful you will receive brief feedback on the assessment of your application.

Following completion of the Full stage assessment you will be informed whether your application has been successful, subject to the final agreement of terms and conditions. If your application is not successful you will receive information on the main reasons why the application was unsuccessful.

If your application is successful the Programme may seek further detail and clarification of certain aspects of your application, e.g. the eligibility of project costs, before confirming the terms and conditions of the Offer with you in a formal Offer Letter. If you do not return a signed copy of the Offer Letter to the Programme by the deadline, the Offer will be withdrawn and funding will not be provided, unless an extension to the deadline has been previously formally agreed in writing with the Programme.

# 4 Application assessments

## 4.1 Introduction

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The process to seek funding support from the Programme is undertaken using a competitive application process. It follows an efficient, streamlined process, which ensures quick responses to applicants within a stated timeframe whilst meeting probity considerations and the objectives of the overall initiative. The assessment process is transparent and managed at arms length from the DTI and the Programme's co-funders. The assessment criteria are clearly articulated to applicants and feedback is available to those that are unsuccessful in securing funding from the Programme.

## 4.2 The assessors

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Independent assessors are appointed by the Programme for each competition for funding.

- Assessors are required to sign confidentiality agreements and to declare any potential conflicts of interest.
- Assessors are required to treat applications in strict confidence. Assessors are engaged as individuals, not as representatives of their employer or any other entity. They are required to carry out the assessments themselves and not ask someone to assess an application in their place. They must not ask anyone to give another opinion of their assessment.
- All assessors are required to attend formal assessment briefing workshops held by the Programme in order to be trained to undertake assessments according to the Programme's requirements.

## 4.3 The assessment process

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A common assessment process applies to all applications.

- Applications are not forwarded to assessors until after the closing date for submission of all applications and basic eligibility checks on all applications have been undertaken.
- Each application is assessed by a minimum of three assessors who will each review and score the application independently against the set gateway and criteria questions.
- Each assessor is required to complete and submit a score-sheet for each application they are assigned to assess.
- Once the score-sheets have been submitted, the projects are ranked according to their scores.

### **Outline stage**

- Following the individual assessments, the scores submitted are reviewed to identify any significant discrepancies in the individual assessments. Where there are significant discrepancies in the assessments of an application, the application is reassessed by one or more additional assessors.
- The projects are then ranked according to their scores and the highest ranked projects will be invited to submit a Full application. The lowest ranked projects will be notified that they have been unsuccessful.
- The level at which the line is drawn between the highest and lowest ranked projects will depend on the funding available.

### **Full stage**

- Individual assessments are undertaken and the projects ranked according to their scores as with the Outline stage.
- Following the individual assessments a panel meeting is held where assessors agree appropriate final scores for the applications.
- The conclusions of this meeting are recorded in a panel report, which recommends a ranked list of applications that the assessment panel considers should be funded by the Programme. The report forms part of the audit process and is used to generate official feedback to applicants.

# 5 Further information

For further information on the Programme and the application and assessment process:

- the Programme website [www.dti.gov.uk/innovation/technologystrategy/index.html](http://www.dti.gov.uk/innovation/technologystrategy/index.html) provides comprehensive information on the Programme including a list of Frequently Asked Questions. Note that it is necessary to sign-up / sign-in to the secure part of the website to access some of the information;
- the Programme's Helpline can address your specific queries either by telephone on 01355 272155 or by email to [info@technologyprogramme.org.uk](mailto:info@technologyprogramme.org.uk);
- applicants are also invited to attend applicant briefing meetings held by the Programme. Further details including the dates of these meetings are available on the Programme website.

## **Compulsory Applicant Briefings**

These apply to the Full stage process and must be attended by at least one member of your consortium. The dates of these briefings are provided on the website.

# Appendix 1

## Eligible costs

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If you are unclear how to record your likely costs you should contact the Programme's Helpline. The cost estimate must include the costs for the total project, i.e. all parties/partners involved in the project. Technology Programme funds are paid on the basis of audited actual eligible costs incurred and defrayed.

### Academic Partners

All academic partners must calculate their project costs on the basis of Full Economic Costs (FEC) as defined by the Research Councils. Technology Programme funding for successful projects will be provided at 80% of Full Economic Costs, in line with Research Council funding. All academic partners must use the Research Councils' Joint electronic Submissions (Je-S) system to calculate and submit their financial information. Project costs should be calculated at year one levels without indexation. Indexation will be added to academic costs by the Technology Programme sponsors.

The remaining 20% of FEC costs do not constitute a contribution to the project by the academic partner and must **not** be included in any total project cost calculations or other financial information provided.

Organisations eligible to be considered as academic partners are:

- Universities and similar HEI organisations;
- The Council for the Central Laboratory of the Research Councils (CCLRC);
- Government Research Establishments;
- Not-for-profit Research and Technology Organisations (RTOs).

Not-for-profit RTOs are:

- RTOs that are, or that are constituent parts of, a charity registered with the Charities Commission; or
- Associations that are eligible for exemption from corporation tax under section 508 of the Income and Corporation Taxes Act 1988; or
- RTOs that are wholly owned subsidiaries of an association approved under section 508 of the Income and Corporation Taxes Act whose articles of association require that all profits are returned (gift-aided) to the section 508 association.

RTOs should refer to the specific RTO guidance provided in Appendix 4 of this document.

## **Industry Partners**

The following headings show the main costs that the Technology Programme is prepared to support.

### **1 Labour Costs**

This includes the costs of personnel working directly on the project. At the Outline stage you should provide the total man-days effort and cost required for your staff to work on the project. At the Full Stage you should briefly describe the role of each person within the project and provide their gross salary and the total labour effort in man days for each role within the project, together with the total number of working days per year for your organisation (365 days less weekends and holidays etc.). In calculating the labour costs, reasonable overheads can be included. The overheads must exclude the costs of land, buildings, and other operational costs not directly attributable to the project.

### **2 Overheads**

Reasonable overheads can be included, as stated above. Two methods of providing information on overheads are available. You can either complete the overhead calculator worksheet provided with the Industry Partner Finance Form or you may submit your own overhead rate. If you choose the latter option, include a summary showing the calculation method of overheads that your auditors will use when verifying your grant claims. Note that if you quote previously agreed overhead rates, you must still describe the methodology and include references to the previous project(s).

### **3 Materials Consumed**

These will be the materials to be consumed on the project, not included in the overheads, purchased from third parties. Materials supplied by subsidiaries or associated companies should exclude the profit element of the value placed on that material. If waste or scrap material has a significant residual/resale value the figures should reflect this. Foreseen cost increases, such as on specific materials, may be considered by the Programme.

### **4 Capital Equipment**

You should provide details of capital equipment and tools to be bought or consumed on the project, giving the purchase cost (or value at the start of the project if you already own the equipment), its expected residual value at the end of the project and utilisation within the project.

### **5 Sub-contracts; Consultancy; Fees including Fees for Trial and Testing**

You should show any work that is essential to the success of the project where the expertise does not exist in the collaborative group. For example, you may wish to demonstrate that it would not be cost-effective to develop in-house skills for this one project. The same rules governing the use of subsidiaries and associated organisations with regard to supply of materials apply here. Attention will be paid to the size of this contribution when assessing eligibility and level of support.

### **6 Travel and Subsistence**

You should only include reasonable costs that are justified and will be incurred exclusively for progressing this project. Note that if any general travel and subsistence is included in your overhead calculations, this proportion should be subtracted from the Travel and Subsistence expenditure during the claims process.

### **7 Other Costs**

Other costs should include costs not accounted for in the above sections. Some examples follow. You should ensure that a case is made for the other costs within your Application Form.

- **Training Costs**

These costs are eligible for support where they are specific to and necessary for the project. The Programme may consider support for management training specific to the project but will not support ongoing training.

- **Preparation of Technical Report**

For example, where the main objective of a project is the support of standards or technology transfer.

- **Market Assessment/ Feasibility Studies**

There is some scope for support, in exceptional circumstances, of “state of the art” studies in areas that will affect the nature and likely outcome of a project. Support may also be given for underpinning research leading to development of a programme, i.e. a suite of projects.

- **Licensing in New Technologies**

Exceptionally, the Programme may consider support where it makes sense to do so, for example, to avoid “reinventing the wheel”. Where imported technology makes up a large part of a project (where technology is valued at more than £100,000) then it will be expected that there is development of that technology as part of the project.

- **Patent Costs (SMEs only)**

The Programme may support some of the costs of protecting foreground IPR for SMEs.

- **Project Management**

The costs of project management by a ‘lead organisation’ on behalf of the consortium are eligible and should be included with the labour totals. In cases where management is sub-contracted, a strong case should be made for the necessity and benefits of this approach.

- **Software**

The provision of software licences by members of the project consortium must only reflect the true costs of supplying that software to the project and not the commercial rate, the inclusion of any profit element or the amortisation of previous development costs. The preparation of disks, manuals, installation, customisation, training and lost opportunity costs may be eligible.

- **Certification**

For EUREKA projects only, reasonable certifications may be eligible for support where it will improve market acceptance.

- **Receipts and Residual Values for Energy Projects**

Receipts from electricity generation and residual values of prototype plant will be addressed by the Programme under standard Treasury rules whereby a proportion of the revenue or displaced electricity costs will be recovered and a discounted residual value of a generating plant will be calculated similarly.

## **Ineligible Costs**

The following costs are ineligible and should be excluded from any part of the project costs and any overhead calculations.

- Input VAT.
- Interest charges, bad debts, profits, advertising, entertaining.
- Hire purchase interest and any associated service charges.
- Advertising and marketing costs or activities.
- Profit earned by a subsidiary or by an associate undertaking work sub-contracted out under the project.
- Inflation and contingency allowances expressed as an overall arbitrary percentage, additional to eligible costs. However, reasonable inflation rates can be included in labour and material cost estimates.
- The value of existing assets such as IPR, data, software programmes and other exploitable assets that any of the collaborators contribute towards the project.
- Project audit fees.

# Appendix 2

## Guidance on submitting academic partner financial information

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All partners in a consortium must submit financial information, even if they are not applying for funding from the Programme. Industry partners must do this by submitting Finance Forms via the Technology Programme website. This Appendix explains how academic partners must submit their financial information.

All academic partners must calculate their project costs on the basis of Full Economic Costs (FEC). Technology Programme funding for successful projects will be provided at 80% of Full Economic Costs. The remaining 20% FEC costs do not constitute a contribution to the project by the academic partner and must not be included in any total project cost calculations or other financial information provided.

Project costs should be calculated at year one levels without indexation. Indexation will be added to academic costs by the Technology Programme sponsors.

Academic partners must use the Research Councils' Joint electronic Submissions (Je-S) system to calculate and submit their financial information to the Technology Programme. Failure to do so could result in the whole application becoming ineligible.

### **Outline Stage**

Each academic partner must obtain the unique Technology Programme reference number for their application from the lead partner of their application. (The lead partner will obtain this when they register their intention to submit an application via the Technology Programme website). This unique

reference number links together all the Application and Finance Forms for the project.

They must then log-in to Je-S and complete an FEC Outline Proposal and submit it through their organisation's normal Je-S approval and submission process. This is then automatically forwarded by the Je-S system to the Technology Programme.

To access the on-line Form, once you have logged onto Je-S, you should:

1. Select "Add New Document".
2. Under the option for "Council" select "DTI".
3. Under the option for "Document Type" select "Outline Proposal".
4. Under the option for "Scheme" select "Technology Programme – Two Stage".

Each academic partner must also provide the lead partner of their consortium with the summary financial information generated by the Je-S system as this is required for the completion of the financial table in the Outline Application Form.

### **Full Stage**

The unique Technology Programme reference number is the same as for the Outline stage. Each academic partner must log-in to Je-S and complete an FEC Grant Proposal and submit it through their organisation's normal Je-S approval and submission process. This is then automatically forwarded by the Je-S system to the Technology Programme.

To access the on-line Form, once you have logged onto Je-S, you should:

1. Select "Add New Document".
2. Under the option for "Council" select "DTI".
3. Under the option for "Document Type" select "Grant Proposal".
4. Under the option for "Scheme" select "Technology Programme – Full Stage".

A one-page Justification of Resources, in which applicants are required to describe the need for the resources they are requesting, should be submitted as an attachment to the Je-S application. Guidance on the content of the Justification of Resources is available on the Je-S website.

Each academic partner must also provide the lead partner of their consortium with the summary financial information generated by Je-S as this is required for the completion of the financial table in the Full Application Form.

## Using Je-S

The Je-S website is at <https://je-s.rcuk.ac.uk>. The on-line Forms are completed and submitted in the same way as all other funding applications submitted via the Je-S system. Academic and research staff should therefore be familiar with the system. To submit an on-line Form both you and your organisation will need to be registered with Je-S.

If you have any queries with regard to registering or using Je-S please contact the Je-S Helpdesk by e-mail to [JeSHelp@rcuk.ac.uk](mailto:JeSHelp@rcuk.ac.uk) or by phone on 01793 444164. Note that the Je-S Helpdesk closes at 5.00pm.

In order to ensure that the deadlines are met, academic partners should make arrangements for the submission of the Forms with their organisation's research administration offices well in advance of these deadlines. If the academic partner is not registered with Je-S, they should make arrangements for registration as soon as possible to ensure that they are able to meet the deadline, as the registration of new organisations may take several days.

# Appendix 3

## Guidance on the use of CCLRC facilities

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The following CCLRC (Council for the Central Laboratory of the Research Councils) facilities are available for Technology Programme Collaborative Research & Development projects:

- CCLRC Astra Laser;
- CCLRC Lasers for Science Facility;
- CCLRC Vulcan Laser;
- CCLRC ISIS Pulsed Neutron and Muon Source;
- CCLRC Synchrotron Radiation Source.

Please see <http://www.cclrc.ac.uk/Activity/FacilityAccess> for further details.

If you wish to use CCLRC facilities in your project you must contact CCLRC to discuss whether it will be appropriate and possible to use one or more of these facilities for your project and the terms for this usage.

Claire Dougan

[C.T.Dougan@rl.ac.uk](mailto:C.T.Dougan@rl.ac.uk)

01235 445156

Alistair McDermott

[A.J.McDermott@cclrc.ac.uk](mailto:A.J.McDermott@cclrc.ac.uk)

01235 778223

Once you have agreed with CCLRC that you will request use of facilities as part of your Technology Programme application you should indicate this in your application as indicated below.

## **Application Form**

Describe how you intend to use the CCLRC facility within your response to Criteria Question 1: “What technical approach will be adopted and how will the project be managed?” Use Annex A to provide further details.

## **Finance Forms**

**Academic Partner Finance Form.** Using Je-S select “Edit Resources” then “Edit Facilities” then “Add New Facilities” and then select from the drop down box one of the facilities listed above.

**Industry Partner Finance Form.** Include the cost of using the facility under the Other Costs heading.

# Appendix 4

## Guidance for Research and Technology Organisations

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- Research and Technology Organisations (RTOs) can operate as either industrial partners or academic partners within Collaborative Research & Development projects.
- In addition, there are certain functions that an RTO can undertake that are deemed to be for the benefit of the wider community as a whole.
- This Appendix addresses the implications of these roles for RTOs and overall project funding within the context of the Technology Programme.

### **RTOs as academic partners**

- An RTO is considered to be operating as an academic partner if the organisation satisfies the legal definitions of the tax rule 508 regarding exempt organisations and the work it is contributing towards the project is essentially academic in nature, i.e. is providing high quality research input to the project rather than product or system development.
- All academic partners, and therefore an RTO meeting the requirements in the previous bullet point, must calculate their eligible project costs on the basis of Full Economic Costs (FEC) as defined by the Research Councils. Technology Programme funding for successful projects will be provided at 80% of Full Economic Costs. The remaining 20% FEC costs do not constitute a contribution to the project by the academic partner / RTO and must not be included in any total project cost calculations or other financial information provided. RTOs in this category must use Je-S to submit their financial information (see Appendix 2 of this document).
- In calculating its Full Economic Costs, an RTO is not obliged to use the TRAC methodology to calculate its indirect and estate costs. An RTO that has not had its FEC costing methodology and systems validated by the

Research Councils can use the default figures available on the Higher Education Funding Council's website at <http://www.hefce.ac.uk/finance/fundinghe/TransparencyReview/>. The DTI will confirm any agreed rates with the Research Councils.

### **RTOs as industry partners**

- An RTO is considered to be operating as an industry partner if the organisation does not satisfy the legal definitions of a rule 508 exempt organisation or the work it is contributing to the project is not essentially academic in nature.
- Funding for industry partners must not exceed 50% of their eligible project costs, or 60% if they are classified as an SME (see Section 2 of this document). Details of eligible costs are provided in Appendix 1 of this document.

### **Wider UK Business Benefit Activities**

- An RTO operating as an industry partner might undertake activities within the project that are considered beneficial to the community at large or to wider industrial/technology sectors. These activities may be funded at a rate higher than 50% (or 60% for SMEs) of the eligible costs. However this normally applies only to non-profit organisations and the RTO will need to supply compelling evidence of its ability to engage wider communities in a non-commercial and non intellectual property generating manner.
- These activities are expected to constitute less than 10% of the overall project activities.
- The Technology Programme will discuss these activities with the RTO to determine the appropriate funding level. The RTO should therefore contact the Programme well in advance of the deadline for the submission of applications to ensure that appropriate funding levels are agreed before the application is submitted.
- It should be noted that the overall total funding rate available for a project will not change. The only change is the balance of the funding across the consortium partners. For example, in the table below, the Wider Business Benefit Activities (WBBA) of the RTO in project 2 increase the eligible costs, but as they are funded at 100%, the grant available for the industry partners is reduced since the overall funding rate stays at 50%.

	Project 1			Project 2		
	Eligible Costs	Grant		Eligible Costs	Grant	
		Amount	Percentage		Amount	Percentage
<b>Academic Partner</b>	£20,000	£20,000	100%	£20,000	£20,000	100%
<b>Industry Partner</b>	£40,000	£15,000	37.5%	£40,000	£12,500	31.25%
<b>RTO (industry work)</b>	£40,000	£15,000	37.5%	£40,000	£12,500	31.25%
<b>RTO (WBBA work)</b>	-	-	-	£10,000	£10,000	100%
<b>Total</b>	<b>£100,000</b>	<b>£50,000</b>	<b>50%</b>	<b>£110,000</b>	<b>£55,000</b>	<b>50%</b>

## Wider UK Business Benefit Activities

### Potential inclusions:

- technology transfer activities to engage a wider business community than is involved in the project and to facilitate general dissemination of the project results;
- public relations activities to disseminate the results of the project including the creation of business briefs and case study material;
- development of sector or wider business strategy in the form of workshops or the development of roadmaps;
- carrying out background research related to a technology transfer function.

### Potential exclusions:

- project management or coordination of the core project or collaborators;
- activities through which the RTO develops intellectual property or copyrights that have a commercial value to the RTO;
- activities that the RTO would naturally carry out as part of its normal business or services to its members.

# Appendix 5

## Information security & confidentiality

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### **1 Electronic submission of application documents**

The electronic submission of applications uses https, which encrypts and decrypts the requests and information between the applicant's browser and the server to which applications are submitted, using a Secure Socket Layer (SSL). SSL allows an SSL-enabled server to authenticate itself to an SSL-enabled client and vice versa, enabling the machines to establish an encrypted connection.

### **2 Assessor confidentiality and potential conflicts of interest**

Assessors are required to sign confidentiality agreements and to declare any potential conflicts of interest. They are required to treat applications in strict confidence. Assessors are engaged as individuals, not as representatives of their employer or any other entity. They are required to carry out the assessments themselves and not ask someone to assess an application in their place. They must not ask anyone to give another opinion of their assessment.

### **3 Open Government and Freedom of Information**

Access to information held by or on behalf of DTI is governed by the Freedom of Information Act. Any requests for information received by DTI in relation to the Programme will be administered accordingly. Under Exemptions Sections 43 and 44 of the Act, certain information will be exempt from disclosure for reasons of commercial confidentiality, unless there is an overriding reason why it is in the public interest to disclose it.

#### **4 Data Protection Act 1998**

The information that Applicants provide on the Application Forms will be used in the processing of all aspects of the relevant application. This will include recording on the in-house and the DTI contracted Programme Manager's processing computer and management information systems, and in the preparation of material for applicants and for use by the assessment panels. In addition, information may be used in the generation and collation of output and performance indicators and other management statistics. It may also be used in policy and strategy studies to inform management in carrying out the business of DTI and in improving the business processes. Any queries on issues relating to the Data Protection Act should be addressed to The Data Protection Liaison Officer, 151 Buckingham Palace Road, London SW1W 9SS.

#### **5 Information provided to other co-funding bodies**

Information provided to DTI as part of the application process will be passed by DTI to co-funding bodies as appropriate. All co-funding bodies will treat this information in strict confidence.

#### **6 Information released into the public domain by the Programme on confirmation of project funding**

The project title and abstract of all projects that are funded will be placed in the public domain. The names of the project partners, project costs and amount of grants and key contact details would be expected to be included also, but the Technology Programme will respect the wishes of partners if they notify the Technology Programme that they do not want all information disclosed. Additional information submitted in the applications is not made public at this time.

#### **7 Information released into the public domain during, on completion and after the project lifecycle**

The sponsors of the Programme are keen to see academics publishing the findings of their research. However this must be done in the manner agreed in the project's Collaboration Agreement.

The Technology Programme reserves the right to use any project as a case study to publicise the Programme and the benefits of collaborative working. Projects will be required to provide publicity material annually during the life of the project. Publicity material will be agreed with consortia members before release.

**URN 06/2033**