

Innovate UK

AEROSPACE TECHNOLOGY INSTITUTE STRATEGIC R&D PROJECTS

INNOVATE UK

Guidance for applicants

-Application and assessment process-

ATI Batch 21
- June 2017-

STATUS:	PUBLISHED
Version:	2.07
Issue Date:	19 th May 2017
For Batch	21

Version History

Version	Date	Author	Changes	Status
2.03	13 th April 2016	James Curren	Addition of Industrial Framework section and implication of Industrial Contribution wording in in Appendix 1	Approved
2.04	16 th May 2016	James Curren	Amendment of Industrial Contribution wording in in Appendix 1	Approved
2.05	21 st July 2016	James Curren	Updated hyperlinks	Approved
2.06	12 th September 2016	James Curren	GfA for batches 18 & 19	Approved
2.07	03 February 2017	Helen Feather	GfA for batch 20	Approved
2.08	19 May 2017	Helen Feather	GfA for batch 21	Approved

Contents

Contents	3
Background	4
How to use this document	5
Project assessment categories.....	6
Documents required	8
Requirements and eligibility	9
Process - key activities	10
The application form or business case.....	12
Project appendices.....	21
Finance forms and project costs.....	22
How to find out more (Data Protection Act 1998, Information Security, etc)	22
Guidance - APPENDIX 1	23
Guidance - APPENDIX 2	25
Guidance - APPENDIX 3	26

Background

The Aerospace Technology Institute (ATI) funding programme initiated a call to industry via the AGP Technology Working Group (ATSG) and Department for Business, Innovation and Skills (BIS) to submit proposals for industrial research projects in areas aligned with the ATI strategy. Innovate UK is a delivery partner in this funding programme.

ATI projects will typically require an appropriate detailed assessment process to ensure the projects are both of sufficient quality and provide good value for money to support the significant levels of public sector funding. In addition to alignment with the ATI strategy, other government policies and Innovate UK criteria, ATI projects will often have wider spin-out benefits into other sectors. The assessment approach has, therefore, been designed to capture wider economic and business benefits and also to accommodate the variety of potential bids in both size and type.

Innovate UK will receive applications that have initially been reviewed by the new ATI Strategic Review Committee (SRC) for satisfactory alignment with those strategies and policies and will manage the application and assessment process, working with projects to ensure that the application and assessment requirements are met for final submissions. The review process undertaken by ATI replaces the previous strategic assessment carried out by the BIS Aerospace team. Grant awards and project monitoring will continue to be delivered by Innovate UK on behalf of BIS.

In line with the agreed funding basis for strategic projects, Innovate UK, on behalf of the ATI, will fund up to a maximum of 50% of the total eligible project costs, with consortium members funding the remaining 50% between them.

Where a project is requesting a grant to any one organisation in excess of the limits in Innovate UK notified State aid scheme, BIS will lead on securing the state aid notification required for those large projects. Where the project itself is requesting more than £10m in grant, there will be a requirement for a detailed value for money assessment and subsequent approval of the project award by BIS. BIS will lead on applications falling into these categories, working closely with applicants to identify the evidence required and with Innovate UK to manage the technical project assessment and award.

To ensure a robust, transparent and quality assessment process is maintained, Innovate UK will employ an independent panel of experts, with recognised technical and business skills, to review the detailed project proposal that has been submitted. This is to ensure that the proposal meets the quality criteria and provides a robust business case for public support.

As a result of securing funding from the Aerospace Industrial Strategy R&D budget, each industry Participant will pay an industrial contribution to the operating budget of the ATI proportional to its grant (the "Contribution"). Contributions will be capped at 2.5% of the grant claimed. Further information is contained in Appendix 1. Furthermore, companies who wish to receive funding from the ATI programme should also consider and note the requirements on data sharing with the ATI, which are contained in Appendix 1.

This guidance has been produced to make potential and existing applicants aware of the overall requirements of the ATI initial strategic review process and engagement with the ATI, the role of BIS and an in-depth overview of the final submission to Innovate UK and subsequent independent assessment process. It is a flexible framework that may be modified on agreement to reflect the specific nature of individual proposals.

How to use this document

This document contains the outline framework for the process and application requirements specific to this programme. Proposals for funding will vary in size, structure and type (for example single company, collaborative, capital and revenue) and so this framework has been designed to be flexible to reflect those differences. It is essential that applicants read this document before submitting a bid to understand fully the requirements of the process.

Each proposal should demonstrate alignment with the ATI strategy. This publication is available for download at <http://www.ati.org.uk/strategy/publications/>. The initial strategic review by the ATI of each proposal will examine the strength of this alignment.

In addition, the sections below offer further general guidance and are available in full on Innovate UK website to help you complete your application. Links to these sections are shown below, and referenced throughout this document.

1. Rules governing how much funding your project could receive

This guidance provides reference information on the different categories of funding and the associated rules arising from Innovate UK state aid framework. The specifics for individual projects will be agreed as part of the application process.

<https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules>

2. Eligible project costs and how to fill in the finance forms

This guidance 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) <https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance> or download for print. **Please note that the submission of Academic Partner Finance Forms is no longer required.**

3. Submitting your application

This guidance explains how to submit your application to Innovate UK, any accompanying finance forms and appendices. <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#the-application-process>

You will receive your username/password and unique Innovate UK application reference and form once your proposal has been reviewed successfully by the ATI SRC process and notification has been passed to Innovate UK by BIS.

4. What happens after you have submitted your application

This guidance provides information on the Innovate UK assessment process, notification of decisions and how to access your assessor feedback. <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#the-application-process>

5. What happens if you are successful

This guidance includes information on the conditional offer letter, timescales, further information we require from your project team, the grant confirmation letter and the project monitoring process once you start your project. <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#what-happens-if-you-are-successful>. **Applicants should note that you must not start your project until you have received confirmation from Innovate UK that all necessary work has been completed.**

6. How to find out more

[Back to Contents](#)

This guidance provides links to other areas that may be useful for completing your project. <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#additional-information>

Innovate UK complies with the requirements of the Data Protection Act 1998 and the Freedom of Information Act 2000. It is committed to upholding the data protection and freedom of information principles.

If your project is successful and a request made to Innovate UK under the Freedom of Information Act 2000 (“FOIA”), Innovate UK would not disclose any information belonging to the project without first considering and discussing with the project whether exemptions of the FOIA are applicable.

Further details with regards to the collection, storage, processing and disclosure of information by Innovate UK are accessible from the above link.

Project assessment categories

The assessment process has been designed as a flexible but progressive framework, recognising the variety in size and type of likely ATI projects.

In doing so it is recognised that bids may be submitted in a number of formats, one of which is the completion of the standard ATI application form with the ten standard questions, plus mandatory supporting appendices and finance forms. The application form questions and guidance for applicants are provided below. A unique application form, user ID and password will be provided to each lead applicant.

However, applicants may prefer to submit a business case, which must provide the equivalent information to the standard ten questions and appendices to enable it to be assessed against the same criteria. Finance forms in the prescribed format will, however, still be required for a business case to constitute a complete and final submission. Proposals in this form will also be allocated a unique user name and password for the lead applicant, and unique reference for the proposal itself.

The following process may be varied for specific projects but is indicative of what is expected from a bid and the associated assessment. The specific pathway for each individual bid will be discussed with the lead applicant.

Category	GRANT request size	Documents required					Interview Panel
		Application Form or equivalent Business Case	Maximum Length (A4 pages)	Finance Forms and JeS Forms	Appendix A-B-C	Appendix D (Economic Impact)	
A	Less than £5m	✓	30	✓	✓	✗	✗
B	£5m to £10m	✓	50	✓	✓	✓	✓
C	More than £10m	✓	100	✓	✓	FULL VFM Assessment (BIS)	✓

Category A: Less than £5m grant request

- Standard ATI application form with optional appendices for supplementary information (Appendices A, B & C to the standard Innovate UK application form and corresponding to the 3 sections of application) or an equivalent business case.

- Partner Finance forms are required for each non-academic applicant
- Academic partners must submit a full Je-S form in pdf format
- The lead applicant submits the proposal.
- Remote assessment by 5 assessors to agreed criteria following a briefing from BIS/Innovate UK.
- Feedback provided to the lead applicant.
- Innovate UK lead technologist will produce an executive summary including project overview, outcome of assessment and recommendation to be submitted to Innovate UK and BIS for approval and release of funds
- Innovate UK provides feedback to applicants and issues the offer letter.

Category B: More than £5m but less than £10m grant request

- Standard ATI application and optional appendices, or an equivalent business case as above.
- Finance forms and Je-S submissions as above.
- Additional evidence is required of the potential wider business and economic benefits as Appendix D to the final submission. This is not a full Value for Money requirement but is intended to provide stronger evidence, qualitative and where possible quantitative, across key areas to support public funding and demonstrate more strongly the impact of public funds. Guidance on what the additional evidence may cover is outlined in Appendix 2 to this guidance for applicants' document.
- Assessment process as above with the addition of project assessors reviewing the strength and validity of the evidence provided in Appendix D to the final submission.
- Assessors asked to provide feedback on all aspects of the application in the format of questions or as additional written responses required prior to presentation.
- Presentation by consortium to include project details, wider business and economic benefits as above and any assessor feedback with Q&A session at the end. Representatives from BIS may attend as observers.
- BIS will lead on securing State aid notification for any projects where the grant to an individual organisation is in excess of Innovate UK scheme limits.
- Approval and final feedback process as above.

Category C: More than £10m grant request

- The application and technical assessment process will be as per Category B above without Appendix D to the application (see Value for Money below) but including a presentation.
- A full Value for Money (VFM) economic assessment will be conducted prior to final approval. This will require additional information to be provided to the economist assigned to the project. Ideally the information would be contained within the application or business case submitted, but if not then the economist will contact the project for further details and liaise with them to secure sufficient and satisfactory evidence. Appendix C to this guidance document provides a guide to the information the economist will look for in the proposal or subsequent discussion.
- BIS will manage the State aid notification process for large awards over Innovate UK State aid scheme limits.
- Innovate UK will administer the grant on behalf of BIS once State aid approval has been received by BIS, satisfactory VFM concluded and final approval been given.

Documents required

In submitting the initial expression of interest to the ATI Strategic Review Committee process, projects should present as much information as is possible at that stage. The 10 questions below should be a useful guide, accepting that a full application form or business case, together with full finance forms, will be required by Innovate UK should the project pass the preliminary review by ATI.

However, the initial review by ATI will require some high level financial information in addition to the areas covered by the ten questions. This must include in tabular form the following:

- Proposed total programme/project costs
- Proposed total programme/project grant
- Programme/project figures by each partner
- Financial profile of the above over the duration of the programme/project presented in BIS financial year (FY) terms, ie FY 13/14 = April 2013 to end March 2014

For example:

Project title	13/14		14/15		15/16		Total	
	Costs	Grant	Costs	Grant	Costs	Grant	Costs	Grant
	£	£	£	£	£	£	£	£
Lead partner								
Partner A								
Partner B								
Partner C								
etc								
Total proposed costs								
Total proposed grant								

Once ATI have reviewed the proposal for satisfactory alignment with the ATI Strategy and scope of the ATI programme, Innovate UK will give the project lead a unique user name, password and application form/reference for final application submission.

The following documents should be submitted electronically in their final version once the project is satisfied that they have met all the submission requirements.

- **Application form or an equivalent business case**

Applicants are expected to submit a standard application form, or an equivalent business case based on the 10 questions, explained below (follow link [here](#)).

- **Finance forms & Je-S submissions**

Finance forms are required from each industry partner for any submission, irrespective of grant value. Full Je-S submissions are required for all academic partners irrespective of grant value.

Please note that applicants using Je-S should ensure that their costs comply with current Research Council policy on eligible costs.

[Back to Contents](#)

Where other research organisations (non-academics) are involved in the project, they will be required to complete a version of the industry partner finance form.

Both finance forms and Je-S submissions will be submitted for assessment to external assessors.

• **Appendices**

Appendices A, B & C are optional for any submission using the application form, irrespective of grant value. They are used to provide supplementary information not contained within the main body of the form. See below.

Appendix D (additional evidence for wider business benefit and impact) will be required for projects in Category B between £5m and below £10m grant as per the above process.

Application form / business case expected (in A4 pages) and process summary:

Category	GRANT request size	Documents required					Interview Panel
		Application Form or equivalent Business Case	Maximum Length (A4 pages)	Finance Forms and JeS Forms	Appendix A-B-C	Appendix D (Economic impact)	
A	Less than £5m	✓	30	✓	✓	✗	✗
B	£5m to £10m	✓	50	✓	✓	✓	✓
C	More than £10m	✓	100	✓	✓	FULL VFM Assessment (BIS)	✓

Requirements and eligibility

To be eligible for this programme projects must fall under the Industrial Research category. A full definition of this category is available in the guidance for applicants section of Innovate UK website: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules>

- Innovate UK, on behalf of the ATI, will fund up to 50% of the total eligible project costs, with consortium members funding the remaining 50%. Please note: this threshold will not be increased depending on organisation category or research activity being undertaken.
- To confirm: the MAXIMUM amount of grant from public funds to be allocated per project is 50% of total eligible costs, which will have to be shared amongst the project’s participants (both Industry and Research Organisations). Each industry member will have to fund half their total work package value and this will not be shared out by the consortium unless explicitly agreed that all take a lower % funding to recover the project 50/50 basis i.e. any work package placed at a Research Organisation will need to be 50% funded by the industry participants in that specific work package.
- Collaborations must be business-led and address the specific requirements of the ATI Strategy, details of which can be found at <http://www.ati.org.uk/strategy/publications/>.
- Total academic and research organisation participation will be limited to a maximum of **30%** share of the overall TOTAL ELIGIBLE PROJECT COSTS unless otherwise agreed in writing.
- Only UK-based businesses and research organisations are eligible to apply
- All Je-S registered organisations must comply with current Research Council policy on eligible costs when applying as a research organisation and in completing the Je-S application forms.
- All applications will be assessed on individual merit in accordance with the process described above.

For more information on funding and state aid definitions please see:

<https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules>

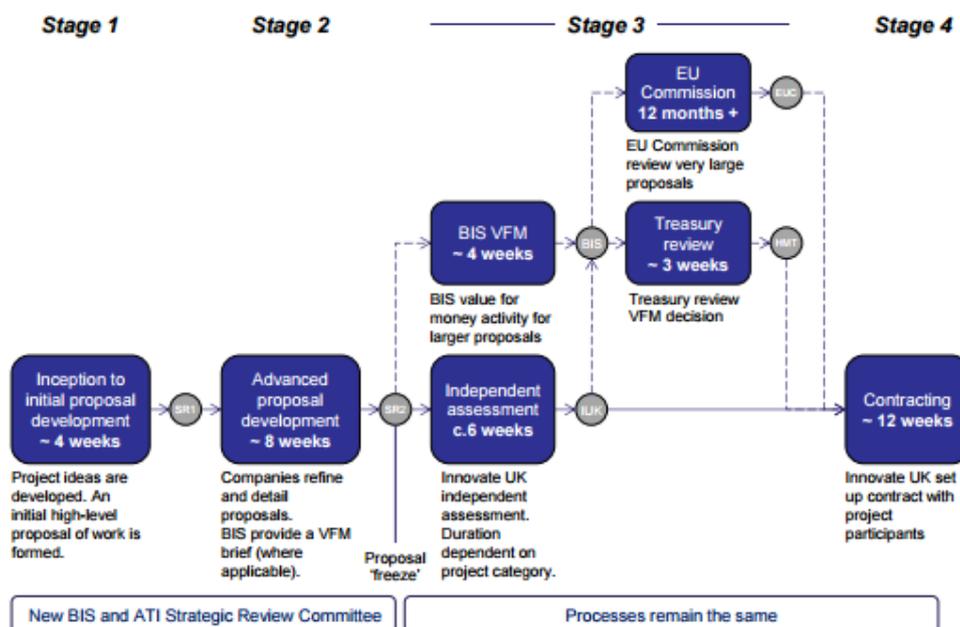
Process - key activities

1. Initial Strategic Review

The ATI, Department for Business, Innovation and Skills (BIS), and Innovate UK, are working together to manage the portfolio and deliver the UK aerospace technology strategy. The following provides an overview of changes to the application process for Individual Strategic projects seeking funding. Innovate UK processes are not changing. The ATI has an important role in making sure the portfolio of projects contracted between Government and industry are consistent with the Technology Strategy and deliver optimal economic benefit for the UK. This is in conjunction with the financial support being provided by BIS and project monitoring by Innovate UK.

BIS and ATI have established a Strategic Review Committee (SRC) to oversee the development of project proposals from inception through submission to Innovate UK for independent assessment and to BIS for the value for money approval processes (currently £10m+ applications). The SRC will make choices on which projects to advance on the basis of strategic fit and economic potential. Companies and consortia applying for R&D funding on individual strategic projects will follow the process outlined in figure 1. Guidance on what is required for each stage will be made available from ATI and Innovate UK websites.

Figure 1 – Assessment process overview



2. Innovate UK process

Once the project has passed the ATI Strategic Review Process and following instructions from BIS, Innovate UK will work with BIS and applicants to communicate requirements and a timetable of events for the independent assessment phase. This will include dates of final submission,

[Back to Contents](#)

presentations where applicable, and the dates for notification of decisions and availability of feedback.

The deadline for the full and final submission will be fixed to enable Innovate UK and its assessors to have sufficient time to process and assess all ATI applications in a timely manner.

Once you have received your unique username, password and application reference, you will be able to log into the secure website to access additional documentation relevant to the programme including:

- Finance forms
- Appendices

Document templates are available in the Public area of the secure site, link: <https://InnovateUKcom263.ftpstream.com/>

Submission

This stage requires you to complete the following documents:

- Application Form (template available in the secure site)
- Project Appendices (please see above)
- Partner Finance Form (for every non-academic partner in your project)
- Full Je-S submission (for every academic partner in your project – if any)
Full JE-S to be submitted

The appendices allow you to provide additional supporting information for the assessors on your project.

The finance forms provide details on your project costs for each partner in your project consortium. For information on eligible project costs and the partner finance forms please click here <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#additional-information>

Upload documents

Please ensure that you allow plenty of time to upload your completed submission to the programme. Our submission close dates can be very busy which means that upload can take some time. .

To upload your documents, log on to the secure website using the details supplied with your secure username and password.

Please remember to check that you have included the application form/business case, all finance forms, Je-S submissions and appendices required for your project.

For further details of the upload process, see detailed instructions here:

<https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#the-application-process>

Important Note:

Please do not leave your submission to the last minute.

If any technical difficulties arise, or if you identify any errors in your submission, please contact us immediately.

It is your responsibility to ensure you follow the programme's guidance rules and in doing so allow sufficient time to complete all of the documentation & requirements described in this document.

Notification

Once the submission deadline is reached, your proposal is sent for assessment. We will notify your lead partner of the outcome of your application on the date stated in the timeline.

Feedback

You will be able to access feedback from the assessors by logging into the secure site on or after the date given to you. For further information on what happens after you submit your proposal please click here: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#what-happens-if-you-are-successful>

The application form or business case

It is recommended that applicants contact the ATI for guidance on the structuring and content of initial proposals to meet the requirements of the SRC process. For submission to the Innovate UK independent assessment applicants are able to choose to submit a standard application form (as per the details below), or an equivalent business case containing the answers to the 10 questions, plus appendices in a free form format, within the maximum length permitted as per above. All submissions will require full finance forms and Je-S submissions where appropriate.

This section explains the structure of the application form and offers guidance on the information to include in each section.

The structure is as follows:

- Application details
- Summary of proposed project
- Gateway question: scope
- **Section 1 – The business proposition (4 questions)**
- **Section 2 – Project details (4 questions)**
- **Section 3 – Funding and added value (2 questions)**
- Public description of the project
- Other funding from public sector bodies
- Finance summary table

Sections 1 to 3, highlighted above, address specific questions; these are listed in the following tables with guidance notes. When you submit your application form or business case, it will be assessed according to how well it answers the specific questions. Each question has an equal weighting of 10 marks per question.

It is important that you address and respond to each question clearly. To help you, the guidance below provides an explanation of what is required for each question. The guidance notes are not intended to be exhaustive; you should develop your own responses based on your own skills, knowledge and experience.

When completing the documentation it is important to take into account that the space provided is to enable you to give the specific amount of information for each question as you feel appropriate for the

[Back to Contents](#)

application. You are encouraged, therefore, to utilise fully all available space and any appendices at your disposal.

Key tips

- number the answers to each question
- use headings for the answer to each question

Application details	
Field	Guidance
Programme	This field will show the full name of Innovate UK programme 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 the estimated start date and its planned duration. These are indicative at this stage and are not guaranteed
(Lead) organisation name	Enter the full registered name of the (lead) organisation for the project and the company number (as provided by Companies House). If you are not in a consortium application, these will be your organisation details. Please note that the lead organisation will be the main point of contact between Innovate UK and the project team.
(Lead) organisation contact details	Enter the full name, postcode, e-mail address and telephone number of the main point of contact between Innovate UK and the project.
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).
Appendices	The specific requirements for Appendices are detailed above in 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.	This is an opportunity to provide a short summary of the key objectives and focus areas of the project. It is important that this summary is presented in reference to the main outline of the project, with sufficient information to provide a clear understanding of the overall vision of the project and its innovative nature. This summary is not scored, but provides an introduction of your proposal for the benefit of the assessors.
Gateway question: Scope (not scored, Yes/No answer)	
Important note:	

[Back to Contents](#)

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

Question	Guidance
<p>Gateway question: Scope - How does this application align with the specific ATI scope?</p>	<p>All proposals must align with the ATI Strategy / scope criteria as described above in the Initial Strategic Review section of this document. This includes:</p> <ul style="list-style-type: none"> • Ensuring the UK remains Europe’s number one aerospace manufacturer and second only to the US globally • Supporting UK companies at all levels of the supply chain to broaden and diversify their global customer base • Providing long term certainty and stability to encourage industry to develop technologies for the next generation of aircraft in the UK <p>Projects will, therefore, need to demonstrate the linkage to products that will ensure the UK continues to manufacture and export high value differentiated products.</p> <p>Note: Assessors will check the project is still in scope. To demonstrate alignment, you need to show that a clear majority of the project’s objectives and activities are aligned with the ATI strategy and the above. In forming their judgment on this, the assessors will also consider whether the application addresses the research objectives and topics it claims to. It is important, therefore, for you to understand fully the background, challenge and scope of the ATI Strategy / scope criteria as outlined.</p>

Section 1: The business proposition	
(10 points per question = 40 points in total)	
Question	Guidance
<p>1. What is the business opportunity that this project addresses?</p>	<p>Outline the business opportunity and what the project team needs to do to successfully address it within the desired timeframe and cost.</p> <p>Describe the nature of the problems or issues facing you and/or your potential customers and how the intended outputs of the project will address these problems and issues.</p>
<p>2. What is the size of the market opportunity that this project might open up?</p>	<p>Describe the size of the market opportunities that this project might open up, including details of:</p> <ul style="list-style-type: none"> • current nature of the specific market(s) at which the project is targeted (e.g. is it characterised by price competition amongst commoditised suppliers? Is it dominated by a single leading firm?) • the dynamics of the market including quantifying its current size, actual and predicted growth rates • the projected market share for the project outcome, with justification in the light of any potential competitors • the potential to create value-added for the UK and/or the European Economic Area (EEA).

	<p>Describe and clearly quantify the return on investment that the project could achieve and provide relevant source data references.</p> <p>Where possible, provide evidence for your statements about the addressable market for project outcomes and outline your strategy for developing market share.</p> <p>For highly innovative projects (see question 6) where the market may be unexplored, explain:</p> <ul style="list-style-type: none"> • what the route to market could or might be • what its size might be • how the project will seek to explore the market potential
<p>3. How will the results of the project be exploited and disseminated?</p>	<p>List or describe the potential exploitable outputs of the project such as:</p> <ul style="list-style-type: none"> • products or services • processes • applications <p>Then describe how these outputs will be exploited including, where applicable, the route to market; protection of intellectual property rights; reconfiguration of the value system; changes to business models and business processes and other methods of exploitation and protection.</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 to see evidence in the answer to this question 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 click here: https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</p>
<p>4. What economic, social and environmental benefits is the project expected to deliver to those inside and outside of the consortium, and over what timescale?</p>	<p>Explicitly identify all benefits that will accrue inside and outside of the consortium as a result of the proposed project. Truly sustainable development balances economic growth with social impacts and benefits and the protection of the environment.</p> <p>Benefits to those outside the consortium and to consortium participants should be considered and you should make a clear distinction between the two.</p>

	<p>Economic – This is the real impact the organisation has on its economic environment. This is not simply traditional corporate accounting profit, and can include cost avoidance, so you should highlight any expected ‘spill over’ benefits external to the project, for example benefits to users (intermediaries and end users), suppliers, the broader industrial markets and the UK economy. The application should identify and quantify where possible the benefit to each of the beneficiaries.</p> <p>Social - Quantify any expected social impacts, either positive or negative, on, for example, the quality of life, social inclusion/exclusion, education, public empowerment, health and safety, regulation, diversity, and any expected impact on Government priorities.</p> <p>Environmental – Demonstrate how your project will benefit the natural environment as much as possible or at the least do no harm and curtail environmental impact. For example, this could include careful management of energy consumption and reductions in carbon emissions whilst reducing manufacturing and materials waste, rendering waste less toxic before disposing of it in a safe and legal manner (cradle to grave) or re-manufacturing (cradle to cradle).</p>
--	--

Section 2: The project details (10 points per question = 40 points in total)	
Question	Guidance
5. What technical approach will be adopted and how will the project be managed?	<p>Provide an overview of the technical approach including the main objectives of the work. Describe the main areas of work together with their resource and management requirements.</p> <p>In evaluating this the assessors will consider these questions:</p> <ul style="list-style-type: none"> • is the technical approach and methodology appropriate to the needs of the project and are the innovative steps achievable through the proposed approach? • is the project plan sufficient in comparison to the complexity of the project? For example, is there sufficient detail to understand the tasks involved and the resources required? • is the timing of key milestones realistic? • is there demonstration of sufficient resource commitment and capability to undertake the project? • are clear management reporting lines identified? <p>Describe rival technologies and alternative R&D strategies and describe why your proposed approach will offer a better outcome.</p>
6. What is innovative about this project?	<p>Identify the extent to which the project is innovative both commercially and technically.</p>

	<p>In evaluating this section assessors will consider these questions:</p> <ul style="list-style-type: none"> • does it push boundaries over and beyond current leading-edge world science and technology? • is it looking to apply existing technologies in new areas? <p>Highlight and explain the timeliness and novelty of the research aspects of the project in an industrial and/or academic context.</p> <p>Describe any evidence you have to substantiate your belief that the intended work is innovative. This could include the results of patent searches, competitor analyses, literature surveys etc. If applicable, you should also outline your own background intellectual property rights, as related to the project.</p>
<p>7. What are the risks (technical, commercial and environmental) to project success? What is the project’s risk management strategy?</p>	<p>Innovate UK recognises that projects of this type are inherently risky, but seeks assurance that the projects it funds have adequate arrangements for managing this risk. Focus, therefore, on the arrangements for managing and mitigating risk as follows:</p> <ul style="list-style-type: none"> • 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 other uncertainties (e.g. ethical issues) associated with the project. The main risks should then be rated as High/Medium/Low (H/M/L) • state how the project would mitigate these key risks. You should address all significant and relevant risks and their mitigation • 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 and, therefore, promote successful project delivery. This should include the arrangements for managing the project team and its partners.
<p>8. Does the project team have the right skills and experience and access to facilities to deliver the identified benefits?</p>	<p>Describe the track record of the project team members in undertaking and exploiting the results of research and development projects, to show your capability to develop and exploit the technology.</p> <p>In evaluating this, the assessors will consider whether:</p> <ul style="list-style-type: none"> • the project team has the right available mix of skills and experience to deliver the project successfully • the project team’s formation objectives are clear and if it would have been formed without Innovate UK investment • if a consortium, if there is additional benefit demonstrated from the collaboration, for example, increased knowledge transfer; and if the consortium is greater than the sum of its parts – how the organisations working together will achieve more than if they were working individually

Section 3: Funding and added value	(10 points per question = 20 points in total)
Question	Guidance
<p>9. What is the financial commitment required for the project?</p>	<p>Indicate the anticipated project cost making clear the level of contribution from any project participants and the level of funding required from Innovate UK. This information should be provided in the financial summary table in the application form.</p> <p>Supporting information and explanation for project costs should be provided in this section of the form. It must be consistent with the category of research & development being undertaken within each work package. Please see the guidance section of our website for further details on funding: https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</p> <p>Important: If the project spans more than one type of funding (e.g. because significant work packages are in both fundamental and industrial research), you must describe and justify the breakdown of costs between them within the answer to this question.</p> <p>In evaluating this the assessors will consider the following questions:</p> <ul style="list-style-type: none"> • Is the budget realistic for the scale and complexity of the project? • Does the financial support required from Innovate UK fit within the limits set by the specific Project Categories (A-B-C-D)? • 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>Detailed guidance on eligible and ineligible project costs is provided on our website: https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance</p> <p>Ensure that all key points relating to the finances of your project that you wish the assessors to consider are included in the main body of your application form or business case, or in the relevant appendix, as these are the key documents used within the assessment process.</p>

<p>10. How does financial support from Innovate UK and its funding collaborators add value?</p>	<p>You will need to provide evidence that:</p> <ul style="list-style-type: none"> successful delivery of your project will increase the total amount of money the project team spends on research & development in the UK <p>And either:</p> <ul style="list-style-type: none"> why the funding is required for the project to be able to proceed <p>or</p> <ul style="list-style-type: none"> how Innovate UK funding would allow you to undertake the project differently (more quickly, on a larger scale etc) and why this would be beneficial to the UK
---	---

Public description of the project (not scored)	
Question	Guidance
<p>If your proposal 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>	<p>To comply with Government practice on openness and transparency of public-funded activities, Innovate UK has to publish information relating to funded projects. Please provide a short description of your proposal in a way that will be comprehensible to the general public. Do not include any commercially confidential information, for example intellectual property or patent details, in this summary.</p> <p>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																								
<p>Column 1 Organisation name</p>	<p>Please provide the full names of the (lead) organisation and any participants in the project consortium (organisation names as noted in Companies House).</p>																							
<p>Column 2 Organisation Registration Number</p>	<p>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.</p>																							
<p>Column 3 Enterprise Category</p>	<p>Please select your Enterprise Category. (SME definition is based on the EU definition) For other definitions, please check Innovate UK's website: https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</p> <table border="1" data-bbox="576 1659 1358 1809"> <thead> <tr> <th>Enterprise category</th> <th>Headcount</th> <th>Turnover</th> <th rowspan="2">or</th> <th>Balance sheet total</th> </tr> </thead> <tbody> <tr> <td>Medium sized</td> <td><250</td> <td><= €50 million</td> <td></td> <td><= €43 million</td> </tr> <tr> <td>Small</td> <td><50</td> <td><= €10 million</td> <td></td> <td><= 10 million</td> </tr> <tr> <td>Micro</td> <td><10</td> <td><= €2 million</td> <td></td> <td><= 2 million</td> </tr> </tbody> </table>				Enterprise category	Headcount	Turnover	or	Balance sheet total	Medium sized	<250	<= €50 million		<= €43 million	Small	<50	<= €10 million		<= 10 million	Micro	<10	<= €2 million		<= 2 million
Enterprise category	Headcount	Turnover	or	Balance sheet total																				
Medium sized	<250	<= €50 million			<= €43 million																			
Small	<50	<= €10 million		<= 10 million																				
Micro	<10	<= €2 million		<= 2 million																				
<p>Column 4 Postcode</p>	<p>Please provide the postcode of each organisation participating in the project.</p>																							
<p>Column 5 Contribution to the project by each organisation (£)</p>	<p>Please list the total contribution to be made to the project by each organisation.</p>																							

Column 6 Funding sought from Innovate UK	Please enter the funding sought from Innovate UK for each participant organisation.
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 programme. 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.

You will be asked to submit a finance form for each business and research participant in your project which provides more detailed information on the total costs listed in your finance summary table.

For information on eligible project costs and how to complete the finance forms see the website at: <https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance> or download as a pdf file.

Project appendices

Appendices are submitted with the application form or business case. It is important to note that these are intended to contain supporting information and not substantive elements of answers to the application form questions. Do not, therefore, use the appendices as an overflow to the application form.

Please note: 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 the guidance 'Submitting your Application' click here: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#the-application-process>

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

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

Appendix	Guidance
Appendix A Up to 5 sides of A4	Use Appendix A to provide additional information to support Section 1 of the application form: The Business Proposition . You may wish to include graphics describing the nature of the problem, market dynamics and/or exploitation plans.
Appendix B Up to 5 sides of A4 (7 sides of A4 for academic and business applications)	Use Appendix B to provide further information to support Section 2 of the application form: The Project Details . You may include, for example, a Gantt chart, risk analysis table, project management structure and/or details of evidence for innovation. 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 on your Project Costs for more information using the link below.
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	For projects between £5m and £10m grant request , additional evidence of wider business benefit and economic impact is required. This appendix may be used to provide this evidence where it is not included sufficiently in the answers to the 10 questions.

Finance forms and project costs

Information on project finances is available in the guidance 'Your Project Costs' on Innovate UK website: <https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance>

How to find out more (Data Protection Act 1998, Information Security, etc)

If you require further information or have a query regarding this programme, please contact:

- Initial proposals and ATI programme - BIS Aerospace Sector Team
- Aerospace Technology Institute Strategic Review process – Aerospace Technology Institute
- Innovate UK detailed applications - Innovate UK Lead Technologist
- Innovate UK application, submission and assessment process – Innovate UK Competitions Team

Enabling the Aerospace Technology Institute (“ATI”) to perform its Core Activities

ATI has been set up as a collaboration between UK Government and the UK aerospace industry and is a result of that work undertaken by the Aerospace Growth Partnership (“AGP”). On behalf of the industry the AGP agreed 2 underlying principles with regards to the Institute’s role, remit and operations:

- (1) Information exchanged on ATI projects between Innovate UK and the consortia would be shared with the Institute to enable it to develop and iteratively revise its technology strategy and ultimately determine its economic impact
- (2) ATI’s running costs should be shared between Government and industry.

The AGP has therefore further agreed that certain information should be supplied by you for the purpose of enabling ATI to (1) calculate the industrial contribution payable by Project Partners in respect of their participation in Projects and to invoice the lead partner of Projects regarding such Contributions, and (2) achieve its short and longer term objectives of supporting the UK aerospace industry.

Data sharing

The information required to be shared with ATI is as follows:

- I. Aerospace related Programme Proposal Document
- II. Assessor’s Reviews & Feedback from Independent assessment of proposals (only after Innovate UK Funding decision)
- III. Forecast spends for proposed, authorised and live programmes
- IV. Actual spends for live programmes
- V. Deliverables/milestones from proposed programmes
- VI. Status of deliverables/milestones from live programmes
- VII. Exploitation Plans for proposed, authorised and live programmes – including potential aerospace and non-aerospace applications
- VIII. Technology Readiness Level at start, current and anticipated at completion
- IX. Future infrastructure implications and requirements stemming from the programme in order to continue to support the technology into commercial application
- X. Final project close out report

Supporting the economic benefit case

The ATI has, as part of its remit, to deliver economic impact assessments across the ATI portfolio of projects.

The ATI will through consultation with the Organisation create a pre-case history that articulates the value of the ATI investment and what the overall objectives of the Project are. This document will be approved by the Organisation and ATI for use in communications by both bodies.

In addition the ATI will engage with Organisation at a stage close to completion to initiate an economic and technology advancement assessment. The ATI will lead this activity and final documentation will be approved by both the Organisation and the ATI to be used in publications.

The ATI reserves the right to appoint an ATI employee to engage with the organisations receiving awards to review performance against the planned economic outcomes.

Industrial Framework Agreement

The ATI Industrial Framework Agreement is an essential bi-lateral agreement designed to enable ATI to perform its role in the creation of a Strategy and provision of objective advisory services to the Government and Industry regarding investments into R&D.

As such it will be part of the terms and conditions of grant award that participants sign and implement the ATI Industrial Framework Agreement. Each Participant must agree to be bound by the Framework Agreement as an absolute condition of any offer of Grant being confirmed. Failure to adhere to the terms of the ATI's Framework Agreement will invalidate any award.

Innovate UK will not enter into any discussions or disputes concerning the implementation of the Framework Agreement's terms and conditions. Any such issues should be raised directly with ATI.

Industrial Contribution

As a result of securing funding from the Aerospace Industrial Strategy R&D budget, each industry participant will pay an industrial contribution to the operating budget of the ATI proportional to its grant (the "Contribution"). ATI will notify each project of the level of contribution expected.

The overall approach will be reviewed regularly to ensure that Contributions reflect 50% of the ATI's operating costs over its lifetime. The Contribution will be payable within 30 (thirty) days of each invoice from the ATI. Annual reconciliations will also determine the need to review either surplus industrial contribution or insufficient contributions that may result in changes to the contribution forecast at the outset of the Project.

The industrial contribution is determined by, and paid directly to the ATI. As such any queries regarding the industrial contribution should be directed to the ATI

ATI wider business benefit and economic impact

Projects in Category B (requesting > £5m but < £10m public funding)

The areas below are intended as a guide to applicants in providing the stronger evidence required in **Appendix D to the application** to support the assessment of the wider project benefits and impacts.

This evidence is not part of a full Value for Money requirement, but it is intended to provide further evidence, qualitative and where possible quantitative, across key areas to support the granting of public funding and demonstrate more strongly the additionality impact for the project given the increased level of funds being requested.

Some of the information may already be provided by the project in addressing the application requirements (10 questions) or in the equivalent business case. Appendix D to the application allows for more detail and space where the standard application questions and form may not.

Project assessors will form a view on the strength of the evidence and may use this assessment to raise questions for the project to address at presentation.

1. Project benefits

- Fit with the wider strategic objectives of the partners
- Increase in capabilities and competitiveness of partners in project
- Impact on other UK businesses e.g. increased skills and capability
- Short term and longer term impacts including on maintenance of UK activity

2. Case for public funding

- Additional evidence of market risk and other funding options explored
- Impact of not receiving funding – e.g. reduction of speed, scope, size, spend

3. International perspective

- Alternative locations and options available
- Why the UK is the preferred location e.g. workforce, skills, research base, infrastructure, cost
- How the project helps strengthen UK's global position

4. UK competitor position

- Known and described UK based competitors in the project market sector
- Impact on UK competitors if the project were funded e.g. their business and workforce

5. Collaboration and spill-over

- Any additional benefits from collaborative working
- Funding or benefit going to businesses not directly in the project e.g. suppliers, contractors
- Application of project results beyond the aerospace sector

ATI Value for Money Economic Assessment Projects in Category C (> £10m public funding)

The questions below are intended as a guide to applicants and provide an indication of what economic appraisers will need to consider in coming to a judgement about the value for money of the project.

Some of the information may already be provided by the project in the application form (10 questions) or business case (equivalent information required). It is expected that project applications will require some follow up by the economic appraisers to clarify information or follow up on any issues identified.

Project

- How does the project fit with the wider strategic objectives of the applicants?
- What UK based manufacturing capabilities will be upgraded by the project?
- How will the skills and expertise gained through this project make it more likely that manufacturing activity stays within the UK?
- What is the size of potential market opportunity that this upgrade in capabilities will help realise for UK based businesses? How have you estimated this?
- Over what timescales these benefits could be realised?
- How will this project contribute to realising this opportunity for UK based businesses?
- If the project did not proceed, what would be the implications for applicants in a) the short term (say with a few years) or the long-term (10 years plus).

Additionality

- Why is government funding required for this project? What other funding sources have you explored?
- What would be the impact if you do not receive funding? The following questions provide a steer:
 - Would the project proceed but at a slower pace?
 - Would the project be cancelled?
 - Would the applicant proceed with the project overseas?
 - Would the project be scaled back i.e. it would proceed but in a different form that delivers lower value to the UK economy?

Please make sure that the answer clearly sets out the impact of not receiving funding on all stages of the project, not just for the stage for which funding is being applied.

International mobility

- What alternative locations are you considering for this investment? Provide evidence that sets out why the UK is the preferred location, and how will government support for the project help strengthen UK's position with regards to alternative locations being considered?
 - Information about the quality and availability of the local workforce, science and research base and wider innovation infrastructure being offered at these alternative locations
 - Information on the size of your operations in these locations.
 - Information on the size of financial support being offered by other governments to help attract this project.
 - Information on the cost differential between carrying out this project in the UK versus an alternative location.

Displacement

- Do you have any UK based competitors in your market? If so please specify who they are.
- What will be the impact on any UK based competitors if you were to receive funding?
 - To what extent would government support for the project result in you securing business from other UK based firms in the sector?
 - To what extent would government support result in you securing skilled labour used by other UK based firms in the aerospace sector or in the wider economy?
 - To what extent would government funding result in a reallocation of R&D resources within your company away from projects that do not receive government funding?

Collaboration and wider benefits

- With which UK based institutions and suppliers will you collaborate?
- How will the capabilities and competitiveness of these organisations be improved by the project?
- In terms of the total quantum of public funding, what proportion will directly flow to companies other than the main applicants?
- Is the project likely to generate applications beyond the aerospace sector? If so please describe what these might be and how they might be realised.
- To what extent will the profits from wider applications accrue to firms that do not make up the consortium seeking funding?