

Supported by the
 Regional Growth Fund

GUIDANCE FOR APPLICANTS

Advanced Manufacturing Supply Chain Initiative (AMSCI) Competition

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Part One – Executive Summary

1. Background Information

1.1 Background to the Initiative

A competition has been established to support the global competitiveness of advanced manufacturing supply chains.

Birmingham City Council and the Technology Strategy Board are working together to deliver this important initiative. At the centre of this Initiative is a fund of up to £125 million (from the Government's Regional Growth Fund and Department for Business, Innovation and Skills) which will provide a flexible package of support (grants and loans) with the aim of helping existing supply chains grow and achieve world class standards while encouraging major new suppliers to set up and manufacture here.

The initiative is based on an existing bid to the Government's Regional Growth Fund (RGF) led by a consortium of four Local Enterprise Partnerships (LEPs¹) and Birmingham City Council which focussed on the automotive and aerospace sectors. This initiative is building on the successful RGF bid put forward by this consortium but now has a national and much wider remit in terms of sectoral coverage.

1.2 Supply Chain Development

By supply chain we mean the companies involved in parts or services which contribute to a finished product. Those companies assembling or distributing finished products to retail markets are usually at the top of the supply chain and are often referred to as "prime" companies (e.g. OEMs - original equipment manufacturers) or Tier 1 (companies which supply the primes directly). Primes/top tier companies are often involved in the overall design of a product as well as in the R&D stages. Within supply chains a range of SMEs and mid-sized businesses make a significant contribution to the finished product and play a crucial role in the effectiveness and success of the production process and quality of the end product.

The aim of the initiative is to increase the potential growth of the manufacturing sector by addressing market failures. It seeks to deliver this by improving the competitiveness of supply chains to globally competitive levels as well as attracting new manufacturers to be based here. By market failure we mean that the market by itself is not leading to an efficient outcome and government intervention and support can be justified. For example, there may be benefits to a project which go wider than the companies considering investing in it. The companies, therefore, may not invest at all or invest as much as is desirable from the perspective of the wider sector or economy.

Successful applications in this competition will be industry driven, with companies playing a significant role. They will demonstrate real ambition to create globally competitive supply chains. We believe that

¹ The 4 LEPs are: Black Country, Coventry and Warwickshire, Greater Birmingham and Solihull and Liverpool City Region

applications from consortia, where appropriate, will strengthen the wider benefits within the supply chain and create long lasting relationships well beyond the project itself.

We also believe application benefits will be maximised in terms of relevance and sustainability where they have the commitment and support of those within the relevant supply chain. We expect that financial support from this initiative would be directed across the supply chain, particularly towards SMEs, where market failures are likely to be greatest.

1.3 Competition overview

Scope

Most businesses are part of a supply chain to some degree, using networks of suppliers to obtain raw materials, components or services that are in turn used to create another product. They are critical to many parts of UK manufacturing and, therefore, fundamental to the economy.

Barriers to growth of supply chains are varied and depend on the relevant sector and specific circumstances of a supply chain. Some of the barriers to growth reported by sectors are market failures that also appear to affect businesses that are not dependent on supply chains, for example access to SME finance, skills gaps in the workforce, particularly leadership and management skills. Some barriers appear to be more specific to supply chains, for example sharing risk in new ventures and research and development across suppliers or developing and securing the quality and accreditation to supply new products.

Government provides support to address many of these individual, identified market failures. For example, there is both general and targeted (National Skills Academies, Growth and Innovation Fund) government support for raising skills and training provision. R&D grants and Knowledge Transfer Partnerships support some supply chains already. A good example is through the Technology Strategy Board Low Carbon Vehicle Innovation Platform.

This competition seeks to test whether there is more we can do, through a flexible approach in the type of support that can be provided, to address the key barrier(s) to supply chain development. In particular, the balance and benefits of different types of support, loans and grants as well as how that resource can be combined across capital investment, research and development and skills to tackle single or multiple barriers to growth.

The aim of the Government support is to create more competitive supply chains that anchor high value-added work in England, attract new customers to existing supply chain companies and sustain or create new employment opportunities and create better synergies and sustained collaborative relationships throughout supply chains that participate in this initiative.

Overview

At the centre of this Competition is a £125m fund to support projects which deliver economic growth and generate or safeguard jobs. These imperatives will also be key in the overall assessment of projects. Applications must be in established advanced or high value manufacturing sectors, or in newer growth areas where the UK is well placed to take a global lead, such as energy renewables and other low carbon sectors. The competition adopts a flexible approach to funding (grants and loans) and is designed to promote closer collaboration within the supply chain and to address market failures. In practical terms, funding will be available to support the projects in the following areas, subject to the normal State Aid rules:

- the purchase of capital equipment;
- R&D activity which improves manufacturing equipment, systems or processes;
- specific training and skills development to support the project; and
- working capital (for Stream 2 applicants only).

There are two different streams to this competition

Stream 1

Up to £100m of the overall funding is available for projects which are seeking to make a sectoral-level impact and collaboration to create world class excellence in supply chains. To ensure this aim is met, we expect projects applying for this Stream to require a minimum of £2m of support per project. However, to encourage consortia involving SMEs, we will consider projects below this level where they can provide strong evidence that they can meet the aims and objectives for the initiative. For example, a project that demonstrates significant impact on the supply chain or sector and that prime companies have endorsed that it is an essential element of building a stronger supply chain capacity, fitting clearly within a credible and wider strategy for supply chain growth. In addition projects should be:

- from organisations operating as part of an advanced manufacturing supply chain;
- collaborative, involving 2 or more organisations, at least one of which must be a company.

Stream 2

Up to £25m of the fund is available for projects which require a minimum of £200,000 of support per project and which are:

- from organisations operating as part of an aerospace or automotive supply chain;
- either collaborative or single applicant bids; and
- based within the 4 LEP areas that were covered by the existing successful RGF bid (Black Country, Coventry & Warwickshire, Greater Birmingham & Solihull and Liverpool City Region). To be eligible

90% of the public support has to be against eligible costs incurred within these geographical areas. For further information on the geographical areas please click on this link:

<http://www.birmingham.gov.uk/LEPmaps>

Applicants should consider the differences in the eligibility criteria to decide which source of funding they are eligible for and which would be most appropriate to support the aims of the application. Applicants must specify in their application to which fund they are applying - applicants cannot apply for funding through both routes with the same project or submit the same application more than once in the same Stream.

Beneficiaries of funding from this initiative must be based, and deliver their element of the project's proposed economic benefits in England although applications are welcome from projects which include companies from Northern Ireland, Wales, Scotland and outside the UK.

The relevant Devolved Administration will be notified of any organisations within their geographic area which is part of a successful bid and will be responsible for liaising with that organisation to discuss whether support is available. The project consortium will need to manage the risk related to whether and how much funding might be available for that part of the project. Non-UK applicants will not be eligible to receive funding.

Applications will need to demonstrate the additional nature of the activity, and that the outcomes could not be achieved in the absence of support. Priority will be given to projects targeting sectors with high barriers to entry, where the need for Government intervention is likely to be greatest.

The key document to guide you through the Competition is this **Guidance for Applicants** – this document gives details of the Competition scope, criteria, process and timelines, application requirements, funding rules, funding levels and conditions and finance criteria.

Please note that the **Guidance for Applicants** is unique to this specific Competition. It is, therefore, important for you to ensure you have all the correct documentation referred to in it for this Competition.

1.4 Fund Accountability - Birmingham City Council

Birmingham City Council, the largest local authority in Europe, will act as the accountable body for the £125m fund and will be responsible for the overall management of the initiative.

It will draw on help to deliver the competition from a variety of sources, in particular the Technology Strategy Board and Finance Birmingham as well as an independent Investment Board which will take the final decision to select successful bidders.

1.5 The Technology Strategy Board

The Technology Strategy Board will perform the registration, processing of applications and co-ordination of the assessment of applications against the set criteria. It is a business-led, government funded organisation which supports and stimulates technology-enabled innovation in order to accelerate UK business and economic growth.

1.6 Finance Birmingham

Finance Birmingham is a wholly-owned subsidiary of Birmingham City Council which will be working closely with the Technology Strategy Board to provide a financial assessment within the overall assessment process.

Part Two – Competition Information

2. Competition Outline

2.1 Introduction

This guidance document refers only to the “**Advanced Manufacturing Supply Chain Initiative**” Competition. The Competition for funding is a **single** stage process.

Important Note:

To enter into this Competition you will be required to register via the Competition website at www.innovateuk.org. This will trigger an email containing a username and password for the secure upload facility, along with a unique application form and number. Please note the typical turnaround time is 2 working days and so there may be a short delay in receiving your login details once you have registered.

Please note: The last date to register for an application form is noon, 1 week prior to the close date (see timeline on page 14).

Multiple Applications

If you wish to apply for funding for more than one project, you must register once and submit a separate registration request by email to Competitions@innovateuk.org requesting additional application forms. You should then make separate submissions by completing a unique application form for each project application, ensuring the appropriate application form is uploaded to the relevant secure ftp (file transfer protocol ftp site). If repeat applications for the same project are submitted then the repeat applications will be rejected

For submission into this Competition, you must complete the unique application form sent with the registration details. A unique reference number, which will be used for the project throughout the application and assessment process, is embedded in each application form. ***The form is specific to this Competition and you will not be able to apply with the same form for a different Technology Strategy Board run competition.***

If you require further assistance or information on the documents to download, please contact the Technology Strategy Board Business Support Group on:

E-mail: Competitions@innovateuk.org Tel: 0300 321 4357

Please quote your application reference when contacting us to help us answer your query.

There are Frequently Asked Questions available for this competition. They may be found at http://www.innovateuk.org/assets/0511/AdvancedMan_QandA.pdf

2.2 Application process

Registration

To enter into this Competition you will be required to register via the Competition website at www.innovateuk.org as discussed in Paragraph 2.1 above. You will be asked to provide some basic details about you and your project which will help us to understand the number of applications that we may receive, in what geographical area and in what sector.

Application

The single stage application for each Stream consists of the following documents:

- Application Form
- Application appendices (see Section 9 of this document for requirements)
- Applicant Finance Form (for every industry applicant)
- Academic Partner Finance Form (for every academic applicant – if any)
- Finance Requirements (for every industry applicant)
- Je-S Submission pdf Output Document (for every academic applicant – if any)

The Application Form has the following structure:

| Page | Information Required | Space Available |
|-------|---|---------------------------|
| 1 | Application Details | 1 A4 Page |
| 2 | Outline of Proposed Project | 1/3 rd A4 Page |
| 2 | Gateway Question: Scope | 2/3 rd A4 Page |
| 3 - 4 | Section 1 – The Business Proposition | 2 A4 Pages |
| 5 - 6 | Section 2 – Project Details | 2 A4 Pages |
| 7-8 | Section 3 – Funding and Added Value | 2 A4 Pages |
| 9 | Public description of the project | 1/3 rd A4 page |
| 9 | Other Funding From Public Sector Bodies | 1/3 rd A4 Page |
| 10 | Finance Summary Table | 1 A4 Page |

Your application will be assessed solely on the basis of what is submitted. Failure to submit all the documents or information required will affect how your application is assessed.

Briefing

The national briefing event for this Competition is being held in Birmingham on: **27th April 2012.**

Attendance at this event is optional, however, you are **strongly advised** to attend, as key aspects of the Competition criteria, application process and eligibility requirements will be presented and discussed during the session. To book a place on this event, click on the event Registration link in the competition webpage:

<https://connect.innovateuk.org/web/27th-april-12-advanced-manufacturing-supply-chain-briefing-event>

Although supplementary briefing events may be held during the Competition they would not be a substitute for the national briefing event.

We strongly encourage early registration for the event to avoid disappointment as bookings (which are free of charge) will be dealt with on a first come, first served basis.

If you are unable to attend the briefing, all presentations will be made available via the Competition website within two working days of the event occurring. We would encourage all potential applicants to review the presentations and use them as additional guidance for your entry into the Competition ***but not in place of the Guidance for Applicants itself.***

Decision

The applications submitted will then be reviewed by assessors, some of whom will form an independent Assessment Panel. The Assessment Panel will recommend the applications for funding to an independent Investment Board. These shortlisted applications will be subsequently reviewed by the independent Investment Board who will agree on the final list for the allocation of funding.

Both successful and unsuccessful applicants will subsequently be informed by Birmingham City Council of the outcome of their application and provided with feedback.

Important Note:

If you have any difficulty navigating through or to the Competition Website area of the website, please contact the Business Support Group on Tel: 0300 321 4357.

2.3 Timeline of the application process

The deadlines below are absolute. Applications received after the deadlines stated will be rejected.

For Stream 1 applications, there are two funding rounds where applications can be submitted. Up to a maximum of 60 per cent of the total funding for Stream 1 will be available for applications in the first round, if there are sufficient high quality bids. The remaining funding will be available for those applications made in the second round. Unsuccessful applications in the first round cannot be re-submitted for the second round.

There is one round of funding planned for Stream 2 applications.

| Timeline Summary | Stream 1 Applications (£100m fund) Round 1 | Stream 1 Applications (£100m fund) Round 2 | Stream 2 Applications (£25m fund) |
|--|--|---|--|
| Competition opens | 29 March 2012 | 29 March 2012 | 29 March 2012 |
| National Briefing Event | 27 April 2012 | 27 April 2012 | 27 April 2012 |
| Final date for Registration | 6 June 2012 (noon) | 5 September 2012 (noon) | 6 June 2012 (noon) |
| Submission of the Full Application – including Je-S submission, finance forms & appendices | 13 June 2012 (noon) | 12 September 2012 (noon) | 13 June 2012 (noon) |
| Decision to applicants | By 17 August 2012 | By 21 November 2012 | By 17 August 2012 |

Stream 1 Applications only: Please note that registrations for Stream 1 will close at 12 noon on 6 June 2012 and will not re-open until 9am on 14 June 2012. Applicants may register in Round 1 and submit in Round 1 or 2.

Important Note:

All deadlines stated throughout this document are absolute and on that basis you are strongly advised not to leave your submission to the last minute. If any technical difficulties arise or if you identify any errors in your submission, there will be no extension to the Competition deadline nor will the Technology Strategy Board be able to enter into any discussion regarding this. It remains your responsibility to ensure you proceed within the Competition rules and in doing so allow sufficient time to complete all Competition requirements.

3. Funding

3.1 Levels of project funding available

There are two routes to obtaining funding through this initiative. Both have similar, ultimate aims but there are some specific differences in eligibility criteria for each.

3.1.1 Stream 1

Up to £100m of the overall funding is available for projects which are seeking to make a sectoral-level impact and collaboration to create world class excellence in supply chains. To ensure this aim is met, we expect projects applying for this stream to require a minimum of £2m of support per project. However, to encourage consortia involving SMEs, we will consider projects below this level where they can provide strong evidence that they can meet the aims and objectives for the initiative. For example, a project that demonstrates significant impact on the supply chain or sector and that prime companies have endorsed that it is an essential element of building a stronger supply chain capacity, fitting clearly within a credible and wider strategy for supply chain growth. In addition projects should be:

- from organisations operating as part of an advanced manufacturing supply chain; and
- collaborative, involving 2 or more organisations, one of which must be a company.

Stream 1 applicants will need to demonstrate commitment from a prime or tier 1 company in their supply chain. This may be in the form of a financial commitment or formal contractual relationship.

3.1.2 Stream 2

Up to £25m of the fund is available for projects which require a minimum of £200,000 of support per project and which are:

- from manufacturing organisations operating as part of an aerospace or automotive supply chain;
- either collaborative or single applicant bids; and
- based within the 4 LEP areas that were covered by the existing successful RGF bid (Black Country, Coventry & Warwickshire, Greater Birmingham & Solihull and Liverpool City Region). To be eligible 90% of the public support has to be against eligible costs incurred within these geographical areas. For more information on these geographical areas please click this link: <http://www.birmingham.gov.uk/LEPmaps>

Applicants should consider the differences in the eligibility criteria to decide which source of funding they are eligible for and which would be most appropriate to support the aims of the application. Applicants must specify in their application to which fund they are applying - applicants cannot apply for funding through both routes for the same project or submit the same application more than once in the same Stream.

3.2 State Aid Legislation

All applications supported must also be compliant with State Aid legislation:

- for Stream 1 under the “General Block Exemption Regulations”²
- for Stream 2 aid is also permissible under the “de minimis” Regulations³ (small amounts of financial support - less than €200,000 to any undertaking over any rolling three year period - are considered to be de minimis amounts and while subject to separate Regulations the assumption is that such amounts are small and therefore do not distort trade and competition) and
- for Stream 2 loans made on market terms so no economic advantage is conferred on the Beneficiary in a manner consistent with the European law “market economic investor principle”⁴(“MEIP”).

If you are not familiar with State Aid rules you might find it helpful to look at the “handbook”⁵ produced by the European Commission for a summary of the Regulations. Please note that this is only a simplified version of the legal texts. The Regulations give more details about geographical coverage, sectoral restrictions, funding limits and eligibility in terms of type and size of organisations as well as costs. Aid will be limited to:

- regional investment aid (only available in “assisted areas”⁶);
- SME investment aid (available in all areas);
- research and development aid (available in all areas); and
- training aid (available in all areas).

Applications from automotive and aerospace supply chain companies located within the 4 LEP areas (i.e. applications for Stream 2) will also be eligible for funding for expansion of manufacturing capacity and processes and loans in non-assisted areas at market rates, where it is fully compliant with State Aid legislation.

For specific details, including aid intensity, the incentive effect and eligible costs, you must refer to the relevant part of the [Regulations](#). Applicants must be able to justify and evidence the levels of funding sought and the breakdown of support across consortium partners where applicable. If there is a breach of State Aid limits, the Commission would normally require the project participants to repay any grant received, including interest. You may wish to seek independent legal advice.

It is the responsibility of the applicant to ensure that the bid is compliant with the relevant State Aid legislation. Further guidance is available on the BIS website:

<http://www.bis.gov.uk/policies/europe/state-aid/state-aid-rules/state-aid-regulations-and-frameworks>

² <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2008:214:0003:0047:en:PDF>

³ <http://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=OJ:L:2006:379:0005:0010:en:PDF>

⁴ http://ec.europa.eu/comm/competition/publications/cpn/cpn2002_2.pdf

⁵ http://ec.europa.eu/competition/state_aid/studies_reports/vademecum_on_rules_09_2008_en.pdf

⁶ <http://www.bis.gov.uk/policies/economic-development/assisted-areas>

3.3 Grants and loans

Applicants will be asked to specify whether they are requesting a loan and / or a grant. The fund has been designed to be flexible and the decision as to whether to apply for a loan or a grant is one for the applicant to make, based on the issues the project will be addressing. The rationale for requesting a grant or loan must be articulated in the application form, alongside the evidence supporting the size of the grant or loan requested. Assessors will use the information available to assess whether the type of funding requested is appropriate, and the extent of its fit with the rationale for the level of Government funding requested.

Neither loans nor grants will be directly favoured, however if the cost to Government of providing a loan, once all costs and risks have been taken into account, is lower than for a grant, then this will positively impact the value for money of the project. Most important, however, is that the funding type requested fits with the issues and barriers that the project is trying to overcome through Government support. Loans might, for example, be a more suitable type of Government support where:

- The financial returns from the project to the supply chain businesses are strong but, despite that, access to finance from private sources is difficult to access;
- The financial returns from the project to supply chain businesses are strong but delivered significantly far into the future and a loan would help bridge the mismatch in timing between the investment and the benefits of the project;

Grants may be appropriate support in other circumstances, for example:

- If the future benefits are particularly uncertain (for example where proposed research is ground-breaking and innovative) and the level of uncertainty is hindering private sector investment and is able to demonstrate that other sources of funding are not available;
- The benefits of the project extend much more widely than the businesses making the investment. For example, the project could increase the pool of skilled employees or introduce new training programmes that other companies can benefit from.

The type of funding (grants or loans) will be considered as integral to the project and if an application is successful it will only be supported on the basis of the type of support for which the applicants applied.

Where loan support is awarded through this Initiative, the following parameters will apply:-

- Suitable security may be required;
- The cost of borrowing (interest rate) will be based on the European Commission reference rates prevailing at the date of funding award (see www.ec.europa.eu/competition/state_aid/legislation/reference.html) and will reflect the particular circumstances of an individual company;

An arrangement fee of up to 2% of the loan amount will be payable by the borrower to meet the legal, documentation and security costs.

The repayment term of the loan should reflect the financial return period of the project subject to a maximum period of five years and applicants should specify in their application their required repayment period;

In the event of default of the loan repayments Birmingham City Council will seek recovery through due legal process.

3.4 Eligibility for funding

To be eligible for funding, all projects must address the specific requirements and criteria of the Competition as outlined in this guidance.

3.5 Other funding sources

Applications for this initiative will be considered on their own merits, irrespective of whether or not support is also being sought from other publicly funded sources for the same project or elements of it. However, applicants should consider whether this initiative is most suited to meet the aspirations of their supply chain or whether other funding sources might be more suitable. Some potential alternatives are set out below.

Funding can be sought and combined from different sources, but total publicly funded support provided to organisations must remain compliant with the State Aid legislation and it is the applicant's responsibility to ensure this. If funding from other public sources (such as those listed below) is being sought for the project or parts of it, this will be considered as potentially government funding and should be disclosed in the finance summary table, as part of the application form.

3.5.1 ERDF

Applicants may want to consider their eligibility for European Regional Development Funding (ERDF). This is a grants programme from the European Union (EU) and is aimed at narrowing the gap in economic growth rates between EU regions / Member States. Around £2.8bn in total is available in England during the current funding period 2007-13, with around £900m still available as at March 2012.

More information can be found at:

<http://www.communities.gov.uk/regeneration/regenerationfunding/europeanregionaldevelopment/>

3.5.2 Growth Innovation Fund

The Growth Innovation Fund (GIF) may be an alternative source of funding to build capacity to resolve a skills related issue in a sector or supply chain. GIF applications need to be made by an eligible organisation, such as a Sector Skills Council, a trade association or some other formally constituted sector or employer body. Local Employer Partnerships may now also act as the lead in a GIF application. More information on GIF can be found at: <http://www.ukces.org.uk/gif>.

3.5.3 Employer Ownership Pilot

The Employer Ownership pilot offers employers direct access to public investment in skills and training; up to £250 million over two years to design and deliver their own training solutions. The aim of the pilot is to find more effective and sustainable ways to improve skills in the workforce and to use these improved skills to drive up productivity and growth. A prospectus inviting proposals from employers is available at: <http://www.ukces.org.uk/employeroownership>.

3.5.4 Regional Growth Fund Round 3

The Regional Growth Fund has a particular focus on stimulating growth in parts of the country most dependent on the public sector. It is available to businesses and public / private partnerships with ambitions to create new jobs and make a significant impact on their local economy. For more information on the criteria of the fund and how to bid, please visit www.bis.gov.uk/rgf.

Information on other sources of Government support can be accessed at:

<http://www.bis.gov.uk/policies/enterprise-and-business-support/solutions-for-business-simplified-business-support>

4. Assessment

Each application will undergo an assessment process which will include a project, financial and economic appraisal of the submission. All assessors are required to sign confidentiality agreements and to declare any potential conflicts of interest. They are required to treat applications in the strictest of confidence and to apply due Information Protection rules. All assessment documentation and reports considered by the Assessment Panel and Investment Board are confidential and will not be available to anyone other than the Technology Strategy Board, Finance Birmingham, Birmingham City Council, their contractors and central Government Departments.

4.1 Project Assessment by Independent Assessors

Independent project assessors will be appointed by the Technology Strategy Board for this Competition. Assessors are engaged as individuals, not as representatives of their employer. They are required to carry out an assessment of the proposals themselves and not to ask anyone else to review an application in their place nor to ask anyone to give another opinion of their assessment. All assessors are required to attend briefings conducted by the Technology Strategy Board in order to be accepted to undertake assessments according to the Technology Strategy Board's requirements. The Technology Strategy Board preserves the anonymity of the assessors.

4.2 The Assessment Process

Applications are forwarded to the respective assessors after the closing date for submission. The following assessment process will apply:

4.2.1 Project Assessment

- Each application is assessed against the same set of gateway and criteria questions.
- For each application, questions one to nine on the application form will be assessed by up to five independent assessors. The 9 questions are weighted equally.
- The assessors will review and assess, against defined criteria, any research and development, capital expenditure and skills projects as part of an application proposal.
- Each assessor is required to complete and submit a score-sheet with comments for all applications they are assigned to assess.
- This assessment will be included in the report to the Assessment Panel.

4.2.2 Financial Assessment

- Each application which achieves the quality threshold of the project assessment is assessed by a Finance Birmingham Investment Executive who assesses Question 10 of the application form and undertakes a financial assessment to determine the applicant's financial strength.
- Each application assessed will be moderated to ensure consistency;
- The application will need to pass the financial assessment in full to be put forward for further consideration. The financial assessment will be included in the report to the Assessment Panel.

4.2.3 Value for Money – Economic Assessment (Stream 1 only)

As well as undergoing a project and financial assessment, applications for Stream 1 will also be subject to a full quantitative economic appraisal to assess the project's value for money to the exchequer. Successful projects must be able to demonstrate that they provide sufficient benefit to society to be worth supporting with public funding.

Applicants for Stream 1 will therefore need to complete the Value for Money (VFM) form to accompany their application and submit as Appendix D. Further details are available in Section 9 of this guidance.

The quantitative assessment will take into account job creation (and protection) and benefits resulting from R&D and skills, which accrue to organisations external to the application (spillovers).

In many cases there will be further benefits resulting from collaboration between project partners and the strengthening of the supply chain, which cannot be easily quantified. It is therefore important that these are set out and evidenced as comprehensively as possible in the main part of the application form. Discussion of the quantifiable benefits should also be included there.

Due to the mix of quantifiable and unquantifiable benefits, the overall assessment of value for money will combine the qualitative assessment by the Technology Strategy Board and Finance Birmingham assessors based on answers provided in the main body of the application form, with the quantitative assessment based on information provided in Appendix D – Value for Money. It is in the applicants' interest to populate these tables as fully and accurately as possible, to enable as much of the value of the project as possible to be quantified. The application must demonstrate sufficient benefits in the quantitative economic assessment in order to be considered for approval by the Investment Board. Reducing the value of government funding requested can support the quantitative economic assessment, therefore applicants are encouraged to explore sources of non-exchequer funding.

4.2.4 Assessment Panel

An Assessment Panel is then convened to discuss and recommend a list of applications to be funded. The final recommended Panel list will be presented to an independent Investment Board which will take the final decision to select successful bidders. The Investment Board retains the right of decision over scope and to whether a proposal is in or out of scope absolutely, with respect to providing funding.

All applications will be assessed on individual merit in accordance with the responses to questions set out in the application.

The outcome of all assessments will be provided to the independent Investment Board to inform the final decision on funding allocations.

5. Notification and Post Notification Process

5.1 Notification

Following completion of the assessment of the applications, the Applicant or Lead Applicant will be informed by email by Birmingham City Council of the outcome of the application process. It is the responsibility of the Applicant or Lead Applicant to communicate this to all those in any consortium application.

The results of the Competition will be publicised and this activity includes engagement with the media. Any Applicant that wishes to publicise their project, at any stage, must contact Birmingham City Council before doing so.

5.2 Feedback

Feedback will be made available to successful and unsuccessful applicants, approximately 4 weeks from the date of notification. This will be provided by Birmingham City Council and it is the responsibility of the Applicant or Lead Applicant and the consortium participants to communicate with each other to share the outcome of the decision. No additional feedback will be provided and there will be no further discussion on the application.

5.3 Conditional Offer Letter

Successful applicants will receive a “Scheme Conditional Offer Letter” from Birmingham City Council, which will set out the terms and conditions that apply to the grant or loan and any preliminary conditions that have to be met before any payments can be made. This will usually include:

- A requirement for an up to date project delivery plan which demonstrates the participants’ ability to achieve the milestones, including employment outcomes, which will be set out in the offer letter.
- A parental guarantee or parental undertaking to support an applicant which is part of a group.
- Provisions on publicity.
- Confirmation of loan repayment terms including payment of arrangement fees (where relevant).

Confirmatory due diligence will be undertaken, which may include a request for a report certified independently by a person or body approved by Birmingham City Council, the cost of which would be borne by the applicant. The report would need to comment on the key provisions in the “Scheme Conditional Offer Letter” (preliminary conditions) such as sources of funding or compliance with State Aid legislation. Birmingham City Council and Finance Birmingham will review the due diligence reports to ensure that all preliminary conditions have been satisfied.

The allocation of funding will not be finalised until all documents are received and satisfactory, and the project cost review is completed.

If the Applicant or Lead Applicant and other project participants do not respond by the deadlines stated in the Conditional Scheme Offer Letter, the conditional offer will be withdrawn and funding will not be provided.

Upon completion of these checks and receipt of the requisite documents, a “Scheme Offer Letter” will be issued by Birmingham City Council.

Important Note:

Where applicable a Collaboration Agreement should be the only agreement (in addition to the Scheme Conditional Offer Letter) between the project participants and it should incorporate the operation and exploitation of the outcomes of the project. The Collaboration Agreement can take some time to reach agreement within the Consortium participants, especially considering involvement of the participants’ legal and finance departments. You are, therefore, strongly advised to allow sufficient time to visit and familiarise yourselves with the information provided in the Lambert Agreement website at:

<http://www.innovation.gov.uk/lambertagreements> .

This site will provide you with some very useful advice on the Collaboration Agreement.

5.4 Monitoring and Claims

A monitoring officer will be appointed by Birmingham City Council to liaise with participants on a regular basis and the project may be inspected or additional information requested. Claims for instalments of grants will be made by submitting a grant claim (pro formas will be available). Claims will need to be verified by an independent accountant, usually on an annual basis. Eligible costs will be set out in the Scheme Offer Letter.

All grants can be claimed quarterly in arrears and will only be paid once the necessary reporting and audits have been completed. All claims must be signed off by the company’s Finance Director. Claims will be paid directly to each participant.

Loans will normally be paid in tranches as set in the Scheme Offer Letter.

It is important that you plan your cash flow requirements to ensure you can accommodate the funding required for the project.

All funding is not retrospective prior to formal approval date. All successful applicants will be required to produce quarterly claims (where required for grant funding) and quarterly monitoring returns outlined in the Scheme Offer Letter. Outputs will be monitored and must be reported against programme criteria. Organisations will be subject to visits with regular review and monitoring against plans submitted as part of the application.

Monitoring of projects will be undertaken by Birmingham City Council in conjunction with Finance Birmingham and may involve site visits, submission of quarterly progress reports, evidence of expenditure and jobs created and or safeguarded.

6. Further Information

For further information on the competition, application, finance and assessment process, please refer to the following:

- **Competition Website:**

<http://www.innovateuk.org/competitions.ashx> provides information on the competition, including a list of Frequently Asked Questions (FAQs) relating to this competition;

- **Competition Helpline:**

All enquiries regarding the Competitions should be directed to the Technology Strategy Board's Business Support Group, who will receive and respond to all queries, information requests, and points of clarity regarding this competition. Queries can be submitted as follows:

E-mail: Competitions@innovateuk.org

Tel: 0300 321 4357

Note: Complaints regarding the Competition process (not the Competition decision), should follow Birmingham City Council's formal complaints procedure. Further details of that procedure can be found at: <http://www.birmingham.gov.uk/yourviews>.

Part Three – Forms & Submission Requirements

7. Completion of the Application Form

This section will guide you through the completion and requirements of the Application Form.

The Application Form is structured as follows:

- Application Details
- Summary of Proposed Project
- Gateway Question: Scope
- **Section 1 – The Project Proposal (the business case)**
- **Section 2 – Project Details (the project)**
- **Section 3 – Funding and Added Value**
- Public Description of the Project
- Other Funding From Public Sector Bodies
- Finance Summary Table

In addition to the application form, you will also be required to complete Financial Appendices and Application Appendices in support of your application. Details are available in Sections 8 and 9 respectively.

Sections 1 to 3 of the application form, address 10 specific project questions; the first section has four questions and the other sections each have three. These are listed in the following tables with guidance notes. When you submit your application form, it will be assessed according to its ability to meet these requirements. The first 9 questions will be scored by the Project Assessors. The final question will be scored by Finance Birmingham's Financial Assessors.

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

When completing the application form it is important to take into account that the space provided is to enable you to focus on providing the specific and most relevant information for each question as you feel appropriate for the application. You are encouraged, therefore, to utilise fully all available space and any appendices at your disposal.

As you prepare your application, please check your form in PRINT VIEW: any text that cannot be seen in the view or when the form is printed will not be assessed.

Please be aware that the Competition process will only put forward the last submission uploaded as of the Competition deadline. It is therefore your sole responsibility to ensure you upload the application form intended for submission and assessment and do not upload a blank or incomplete application form.

Key tips:

- Number the answers to each question;
- Use headings for the answer to each question.

| |
|---|
| Please note the following process requirements for the application form: |
| You may only use the Application Form provided, which will contain specific information on the application including a unique reference number. |
| The Application Form contains specific fields and it is important that you complete each field and present a fully completed form. Incomplete Forms risk being rejected. |
| The Application Form must not be altered, converted or saved as a different version of Microsoft Word. |
| The space provided in each field of the Form is fixed and you must restrict the content of your responses in each of the fields to the space provided. The typeface, font size and colour are predetermined and cannot be changed. Illustrations and graphics cannot be included in the Application Form. Please check your completed application form in PRINT VIEW: any text that can't be seen in this view or when the form is printed will not be assessed. |
| The light grey shaded fields are completed automatically from other information entered on the Form, e.g. the total columns of a table. These cannot be overwritten. |

| Application Details | |
|---|---|
| Field | Guidance |
| Competition | This field will show the full name of the Advanced Manufacturing Supply Chain Initiative (AMSCI) Stream 1 or Stream 2 competition to which the form applies. You should not change this information. |
| Project title | Enter the full title of the project. |
| Sector | Select the sector which most closely fits your project from the selection list. If your sector is not in this list, please select "Any other sector" and enter the sector in the "Other type" field immediately below. |
| Funding Type | Select the funding for the project from the selection list. This will be either "Grant", "Loan" or "Grant and Loan". |
| Project timescales | Enter the estimated start date and its planned duration. |
| Estimated start date & duration | Please indicate when you would like to commence your project along with the proposed duration of your project. |
| Applicant or Lead Applicant name | Enter the full registered name for the Applicant or Lead Applicant and the company number if applicable (as provided by Companies House). The Applicant or Lead Applicant will be the <u>main point of contact</u> for the competition and the project. |
| Applicant or Lead Applicant contact details | Enter the full name, postcode, e-mail address and telephone number of the main point of contact between Birmingham City Council and the Applicant |
| 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 provided in Section 9 of this document. |

| Summary of Proposed Project (Not Scored) | |
|---|--|
| Question | Guidance |
| Please provide a short summary of the content and objectives of the project and how it will deliver economic growth, including addressing market failure ⁷ , increasing manufacturing capacity, creating and or safeguarding jobs and promoting collaboration within the supply chain. | <p>This is an opportunity to provide a short summary of the key objectives and focus areas of the project. It is important that this summary is presented in reference to the main outline of the project, with sufficient information to provide a clear understanding of the overall vision of the project and how it addresses the objectives of the fund.</p> <p><i>This outline is not marked, but provides a summary of your proposal for the benefit of the Assessors.</i></p> |

| Gateway Question: Scope (Not Scored, Yes/No Answer) | |
|---|--|
| <p>Important Note: If the majority of Assessors consider that the answer to the Scope Gateway question is “No”, then the application will not be accepted for funding. Guidance on the ‘Gateway – Scope’ question is critically important and is provided below:</p> | |
| Question | Guidance |
| <p>Gateway Question: Scope - How does this application align with the specific Competition scope?</p> <p><i>You should note that where appropriate you should repeat information from the main application.</i></p> | <p>All applications must align with the specific Competition criteria as described in the scope of the competition, as outlined in this Guidance under Competition Overview (Section 1.3)</p> <p>Note: To demonstrate alignment, you need to reflect that a clear majority of the project’s objectives and activities are aligned with the specific Competition. In forming their judgment on this, the Assessors will also consider whether the application addresses the objectives and topics it claims to. Therefore, it is important for you to fully understand the background, challenge and scope of the Competition.</p> |

⁷ A market failure is where the market, by itself, is not leading to an economically efficient outcome.

| Section 1: The Project Proposal (the business case) | |
|---|---|
| Question | Guidance |
| 1. What are the commercial opportunities that this project proposal opens up for the applicant(s) and its supply chain? | <p>State how new or existing market or business opportunities will be gained through the proposed investment and by whom. You should also 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); • The barriers to entry of new suppliers or competitors to the market; • The dynamics of this market including quantifying its current size, actual and predicted growth rates; • The projected market share(s) for the intended project outcomes, with justification in the light of any potential competitors; • The potential to create value added for the UK. <p>You should provide evidence for your statements about the addressable market for project outcomes and outline your strategy for developing market share.</p> <p>For Stream 1, applicants will need to demonstrate commitment from members of the supply chain and specifically Prime or Tier 1 companies. This should preferably be in the form of financial commitment and/or formal contractual relationships.</p> |
| 2. How will the project proposal address the development of your business and its supply chain? | <p>You should outline how the project will develop your business and how this will support the wider supply chain. You should specifically focus on the market failure that it will address (i.e. the market by itself is not leading to an efficient outcome and government intervention can be justified). For example, there may be benefits to a project which go wider than the applicants considering investing in it. The applicants may not invest or invest as much as is desirable from a wider sector or economy perspective.</p> <p>You should describe the nature of the problems or issues facing you and your supply chain(s) and/or customers and how specifically the intended investment and project activities will address these problems and issues, in particular why the proposed sources of support are required:</p> |

| Section 1: The Project Proposal (the business case) | |
|---|---|
| Question | Guidance |
| Question 2 continued.. | <ul style="list-style-type: none"> • capital equipment and the development manufacturing process and /or • R&D and/or • training and/or skills development • working capital (for Stream 2 applicants only) <p>You should describe the impact in terms of improvements in expanding/strengthening the supply chain through increased participation in tendering and partnership opportunities.</p> <p>You should quantify the potential exploitable outputs of the project such as:</p> <ul style="list-style-type: none"> • products or services; • processes; • skills; • infrastructure • promote collaboration (e.g. with other suppliers or knowledge base institutions such as universities or Catapult Centres). <p>You should also set out why these impacts will be additional and will not displace existing or other potential outputs from other activity by others in the industry.</p> |
| 3. How will the project proposal lead to new job creation or safeguard existing jobs? | <p>You should identify clearly the impact of the project on jobs that will be created and/or safeguarded directly and indirectly through the supply chain for the duration of the funding proposal.</p> <p>You should give evidence to justify the expected impact on employment and also describe the type of jobs likely to be created or safeguarded and how they are related to particular aspects of the project.</p> <p>You should identify why this impact on employment is additional to what would have occurred without this project.</p> |

Section 1: The Project Proposal (the business case)

| Question | Guidance |
|---|---|
| <p>4. What other wider economic, social and environmental benefits, is the project expected to deliver to those inside and outside of the supply chain and over what timescale?</p> | <p>Your response should consider and include benefits to those organisations inside and outside of this application and you should make a clear the distinction between the two.</p> <p>Economic – This is the real impact the project has on its economic environment. Here you may refer to:</p> <ul style="list-style-type: none"> • skills or training activity that will lead to additional improvements in efficiency and address skills gaps; • training activities that fit alongside or complement any existing skills funding package or apprenticeship activity already underway in the sector;. (For example, training towards accredited qualifications or Apprenticeships Frameworks are most likely to be able to demonstrate progress to address skills gaps. Training and related costs that organisations are already required to meet such as health and safety or professional membership fees are unlikely to be able to demonstrate additional value-added from public funding). • potential knowledge “Spillovers” (benefits that accrue to organisations outside of the application) from R&D activity and how existing or proposed networks or channels will support the transmission of these benefits across the supply chain. • Any other expected “Spillover” benefits which will accrue to those external to the project including benefits to users (intermediaries and end users), suppliers, the broader industrial markets and the UK economy. <p>The application should identify and quantify where possible the benefit to each of the beneficiaries.</p> <p>Social - You should 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 – You should explicitly identify all sustainability benefits as a result of the proposed project. Truly sustainable development balances economic growth with social impacts and benefits and the protection of the environment. You should demonstrate how you will benefit or at the least do no harm and curtail environmental impact. For example this could include careful management</p> |

| | |
|---|--|
| | of energy consumption and reductions in carbon emissions whilst reducing manufacturing and materials waste as well as rendering waste less toxic before disposing of it in a safe and legal manner (cradle to grave) or re-manufacturing (cradle to cradle). |
| Section 2 Project details (the project) | |
| Question | Guidance |
| 5. How does your project demonstrate vision, innovation and impact? | <p>You should show how your project will help develop a globally competitive supply chain. You will need to show how your project fits within the wider strategic context of sectoral ambition to become world-class. In answering this section you should provide evidence, where appropriate of:</p> <ul style="list-style-type: none"> • Measureable impact on competitiveness and economic growth within your sector or supply chain. • The scale and complexity of the project and how it will have a genuine significant impact on competitiveness preferably at a sectoral level. • The contribution the project will make to innovation and technology development (including low carbon benefits). • The project's ability to increase UK manufacturing capacity, capability and efficiency. • The project's ability to raise skill levels or close skills gaps. • The positive economic and employment benefits, which support rebalancing the economy and growth. <p>Describe the evidence you have to substantiate your belief that the intended work is visionary and innovative. This could include the results of competitor analyses, market research/ evidence or academic studies etc.</p> |

| Section 2 Project details (the project) | |
|--|--|
| Question | Guidance |
| 6. How will the project be managed taking account of the known risks to ensure successful delivery? | <p>You should provide an overview of the activities to be carried out. Describe the main areas of activity together with their resource and management requirements.</p> <p>If yours is a collaborative bid (essential for Stream 1 applicants), describe arrangements for managing the consortium to ensure successful delivery of the project, as well as ongoing benefits.</p> <p>In evaluating this the Assessors will consider whether:</p> <ul style="list-style-type: none"> • commitment from supply chain members been sufficiently demonstrated and if necessary arrangements are in place to secure on-going commitment; • the project plan is sufficient in comparison to the complexity of the project. For example, is there sufficient detail to understand the tasks involved and the resources required; • the timing of key milestones is realistic • clear management reporting lines have been identified and are clear; • other relevant bodies have been involved in developing the project (e.g. Sector Skills Council if a training element) <p>You will also need to identify key project risks and demonstrate that appropriate management arrangements have been put into place to mitigate these risks to promote successful project delivery.</p> |
| 7. Does the applicant(s) have the right skills and experience and access to facilities to deliver the identified benefits? | <p>You should detail the track record of the applicant(s) in undertaking similar projects to demonstrate capability.</p> <p>In evaluating this, the Assessors will consider whether:</p> <ul style="list-style-type: none"> • you have demonstrated sufficient resource commitment and capability to undertake the project; • The applicant has the right available mix of skills and experience to deliver the project successfully; • There is ability to deliver extra benefit demonstrated from the collaboration, for example, increased knowledge transfer; • Track record of managing previous similar projects and associated funding. |

| Section 3 Funding and Added Value | |
|--|---|
| Question | Guidance |
| 8. What is the level of funding commitment that is required for the project? | <p>You will need to provide evidence of:</p> <ul style="list-style-type: none"> • The total costs of the project, including its key component parts (as referenced below); • Why the amount required is the minimum to successfully deliver the project; • Why the full amount required cannot or would not be funded from the applicants' own resources/ability to raise mainstream funding; <p>You should also provide evidence that the breakdown of the budget into its component parts is realistic.</p> |
| 9. How does financial support from this fund add value? | <p>You will need to provide evidence of:</p> <ul style="list-style-type: none"> • The total amount of investment levered into the project from non-government sources; • That success in the Competition will increase the total amount of resources the applicants themselves will invest in value-adding activity in the UK; • That the support will not replace or displace existing or planned investment from the applicants or from other sources; • How funding from this initiative would allow you to undertake the project differently, why it wouldn't happen without public funding and why this would be beneficial to the UK. |

| Section 3 Funding and Added Value | |
|---|---|
| Question | Guidance |
| 10. What form of funding is required (loan/grant) and what is the justification for this type of funding? | <p>Applicants will need to provide evidence of why the type of support being sought (loan, grant or a combination of both) is the most appropriate form of support for the project. You should explain how you have taken account of the project's financial returns in deciding on the form of support. You should explain and provide evidence of how this form of support best addresses the challenges or market failures that the project is trying to address and describe the wider benefits from which you expect your supply chain to benefit from, beyond the project financial returns. Section 3.3 of these guidance notes provides examples of the circumstances where a loan or grant might be the more appropriate form of support.</p> <p>Where a loan is requested applicants should demonstrate their ability to service the loan over the repayment period (maximum five years).</p> |

| Public Description of the Project (Not Scored) | |
|--|---|
| Question | Guidance |
| If your application is successful the following brief description of your proposal will be published. Provision of this description is mandatory but will not be assessed. | <p>To comply with Government practice on openness and transparency of public-funded activities for projects in receipt of grants or loans, information relating to funded projects must be published. 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 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 Completion | | | | |
|---|--|-----------|----------------|------------------------|
| Column 1 Applicant name | Please provide the full names of the Lead Applicant and other applicants in the project consortium (organisation names as noted in Companies House for example). | | | |
| Column 2 Company Registration Number (if applicable) | Please provide the Company Registration Number (as noted in Companies House). | | | |
| Column 3 Enterprise Category | Please select your Enterprise Category. | | | |
| | 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 |
| Column 4 Postcode | Please provide the postcode of the lead applicant and each of the partners in the project. Please ensure this is the accurate and full post code of the applicants. | | | |
| Column 5 Contribution to the project by each organisation (£) | Please list the total contribution to be made to the project by each applicant as appropriate. | | | |
| Column 6 Amount of Grant sought (£) | Please enter the amount of grant funding sought from this Competition. | | | |
| Column 7 Amount of Loan sought (£) | Please enter the amount of loan funding sought from this Competition. | | | |
| Column 8 Other funding from public sector bodies | Please include any funding for the project from public sector bodies for which you have applied separately, and not as part of this Competition. Funding from other Public Sector Bodies might include other applications to Research Councils, other Government Departments, Devolved Administrations, Public Sector Organisations, European Commission programmes and some Charities. The purpose of this column is to provide information on the total funding for the project. | | | |
| Column 9 Total (£) | The total cost of the project – this is the sum of columns 5, 6, 7 and 8 and will be entered automatically. | | | |
| Bottom Row Total (£) | The total of each column will be entered automatically. | | | |

8. Financial Appendices

It is a requirement that applications are supported with the submission of a number of appendices including finance forms.

If you are in a consortium, you will be able to obtain your finance form from your Lead Applicant who will obtain it from the website. Once completed, each of these forms should be collated and then submitted on-line by the lead applicant.

Guidance on how to submit finance forms is provided on the Competition website. Once the lead applicant has submitted a form to the website it is possible to update it by re-submitting the form as many times as may be required, up until the deadline.

Finance forms must be submitted for every applicant in the consortium, irrespective of the sums requested or the scale of their involvement.

Where the bid is collaborative, these should be submitted by the Lead Applicant and should consist of:

- Applicant Finance Form (one for every industry partner)
- Academic Partner Finance Form (one for every academic partner if appropriate)
- Je-S Submission output document (.Pdf) (one for every academic partner if appropriate)
- Finance requirements consisting of: (for every non-academic applicant)
 - Two years audited accounts and, where the applicant is part of a group, consolidated group audited accounts, or
 - For new business start ups you will need to provide a company business plan and related financial projections for 2-3 years.

Key Tips:

Please be aware that the Competition process will only put forward the last submission uploaded at the Competition deadline. It is therefore your sole responsibility to ensure you upload the application form you intend the Competition Assessors to receive. It is your responsibility to check you do not upload a blank or incomplete finance form.

8.1 Completion of the Applicant Partner Finance Form

- A separate form must be submitted for each industry partner.
- Industry partners may only use the Applicant Partner Finance Form obtained from the Competition specific website.
- The Lead Applicant should distribute this form to all industry partners (if appropriate) for completion. The form is an Excel spreadsheet and must not be altered or converted in any way.
- Each industry partner completes their own form for their own costs. Each form should therefore not include the costs of any other partner within the project.
- Academic partners (if appropriate) should submit their financial details via the Je-S system as described in Section 8.2 of this document.
- Once completed, finance forms should be submitted for every industry partner with the application documents, via the secure ftp site, by the Competition deadline.

| Excel Worksheet | Guidance |
|-----------------------------|--|
| Application Details | <p>Enter the information requested about the applicants and the project. It is particularly important that the name of the applicants is completed with the full legal name of the applicant as this is what will appear on the Scheme Offer Letter if you are successful.</p> <p>If your organisation is part of another organisation it is important that the 'Ultimate holding organisation details' section is completed fully and correctly in order to establish your organisation's funding size for State Aid purposes.</p> <p>Complete the SIC code appropriate to your applicant: a full list of SIC codes is provided on the final worksheet.</p> |
| Other Public Funding | <p>You must provide details of other public funding that you are currently applying for, or have already applied for, in relation to this particular project.</p> <p>Do not include grants that have been used to reach this point in the development process and are now completed. This data is important as other public sector support is counted as part of the funding you can receive for the project.</p> |
| Other Projects | <p>Provide the Competition Name and Applicant Numbers of all the Competition projects your organisation has been involved with in the past, AND any other applications you are making to this Competition for other projects.</p> |
| Uses of Funding | <p>Each applicant should fill out the expenditure schedules that are relevant to the project on this worksheet. This worksheet includes a table for Stream 2 applicants to set out previous public funding they have received.</p> |
| 2003 SIC Codes | <p>A complete list is provided to assist you in completing this field on the Applicants Details worksheet.</p> |

8.2 Academic Partner Finance Submission

Every academic participant in research and development activity must complete and submit an on-line "Standard Proposal" via the Research Councils' Joint electronic Submissions website (Je-S) by the deadline detailed in the timeline for this Competition. Failure to do so could result in the whole application becoming ineligible.

Guidance on how to submit the on-line form is provided in Appendix 2. For the Je-S requirements see the Je-S website at <https://je-s.rcuk.ac.uk>. Once Forms have been submitted via Je-S it is not possible to resubmit them.

Academic applicants must use the Je-S system to calculate and submit their financial information, where project costs are calculated on the basis of Full Economic Costs (FEC) as defined by the Research Councils. Funding for successful projects will be provided at 80% of Full Economic Costs (FEC), in line with Research Council Funding. Project costs should be calculated at year one levels without indexation.

The remaining 20% of FEC does not constitute a contribution to the project by the academic partner and must not be included in any total project costs provided by the academic partner. Further, it is not allowable for any other partner to provide any of that 20% to the academic.

All academic participants will need to provide a .pdf copy of the Je-S submission output document, showing a status of 'With Council', to the lead partner so that they can complete the finance table in the Application Form, enter the data into the Academic Partner Finance Form and upload the .pdf document with the application.

Organisations eligible to be considered as academic collaborators are:

- Universities and similar HEI organisations;
- Government Research Establishments;
- Not-for-Profit Research and Technology Organisations (RTOs).

If an applicant is not registered on the Je-S system, they must use the Applicant Finance Form instead of the Academic Partner Finance form.

Not-for-Profit RTOs are:

- RTOs that are, or that are constituent parts of, a charity registered with the Charities Commissions; 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.

Catapults are eligible applicants, however, they will need to be clear on their contribution to the project and what they will do with the outcomes of the project that they generate.

9. Project Appendices

You should submit Appendices with the Application Form. It is important to note that these are intended to contain supporting information and not duplicate substantive elements of the Application Form criteria answers. Therefore please do not use the Appendices as an overflow to the Application Form.

So that Assessors are able to open and read the Appendices, each Appendix must:

- Conform to the maximum length specifications listed below;
- Be submitted in one of the following formats: MS-Word (.doc), MS-Excel (.xls), MS-PowerPoint (.ppt) or 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 per the specifications given in Appendix 1 of this document.

In the event that you submit additional appendices outside the length specifications below, these will simply be truncated from the document and discarded: they will not be forwarded to Assessors or be assessed in any way.

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 | This should be used to provide additional information to address Section 1 of the Application Form: The Project Proposal. You may also wish to include graphics describing the nature of the problem, market dynamics and/or exploitation plans. |
| Appendix B Up to 5 sides of A4 | This should be used to provide further information to address Section 2 of the Application Form: The Project Details. For example, a Gantt chart, risk analysis table, project management structure and/or details of evidence for innovation. |
| Appendix C Up to ½ 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 7 of the Application Form. Academic collaborators may wish to refer to their research standing. |
| Appendix D – (for Stream 1 applicants only). Completion of the Value for Money form provided with the application form | This value for money form is for Stream 1 applicants only. It will capture three aspects of the project: <ul style="list-style-type: none"> • Skills and Training • Research and Development • Employment These must be completed fully where applicable. Further guidance on completion is included within the pro-forma. |

Part Four – Supplementary Information

Appendix 1 – Registration & Upload of Documents

Beginning the process

1. In order to apply for this Competition, you must first register for the Competition. The last date that you can register is 1 week prior to the Competition close.
2. You will need to register separately for each differentiated application that you wish to make – refer to Paragraph 2.1 Competition Outline about how to apply for multiple application forms.
3. You will receive an email with your username and password along with a link to the secure upload area. Please check your log in details work well ahead of the Competition deadline to avoid any issues affecting your ability to submit your application. This email will also contain your application form with a unique application number.
4. Please be aware that it can take up to 2 working days from registration to receive an email with your application form attached.

Please upload your completed application as early as possible before the Competition deadline. We receive a large volume of enquiries and uploads during the period of 24 hours prior to the deadline and this can make it difficult to guarantee a turnaround in response should you need assistance.

File naming & format conventions

- Your files must be **named** as follows:
 - Documents submitted for optional review must begin with **DRAFT** and include the applicant number and the partner number where applicable eg. DRAFTFinanceApp12345Part01
 - Your fully completed submission documents must begin with **FINAL** and include the applicant number and the partner number where applicable eg. FINALApplicationApp12345
 - Appendices must begin with **APPENDIX** and include the appendix reference of A, B, C or D plus the applicant number eg. APPENDIXAApp12345
 - File names should only be made up of Alpha Numeric characters – do not include any other signs or symbols.
- File **formats** must follow the conventions listed below:
 - Files should not be converted, encrypted or zipped.
 - Application form should be saved as a Word document (.doc) or (.docx). Application forms must not be converted and submitted as a pdf document.
 - Finance forms should be saved as a Excel document (.xls) or (.xlsx).
 - Appendices must follow the requirements listed in Paragraph 9 of this document.

The public area holds generic documents and full instructions on the use of the site. Click to download.

Technology Strategy Board
Driving Innovation

Fighting infection through detection (mainstream)

Download Help

Logged in as public login (public access)

Login

| Name | Size | Type | Date |
|---|------|--------------------|--------------|
| Instructions_for_use_of_this_FTP_Site_(Click_this_file_to_download).doc | 1.1M | application/msword | 21 Jan 21:11 |

Check the competition name !

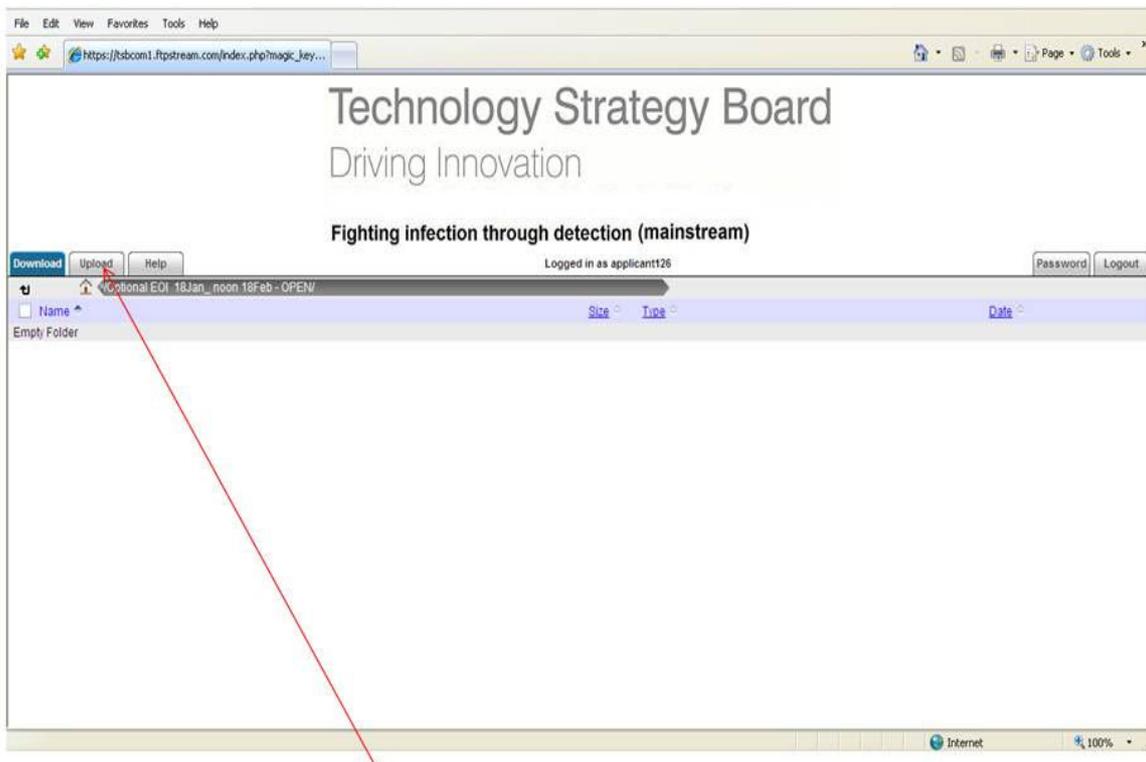
Press to login to your secure area

Enter your login details and click the check box to accept the terms and conditions.
Click the login button at the bottom



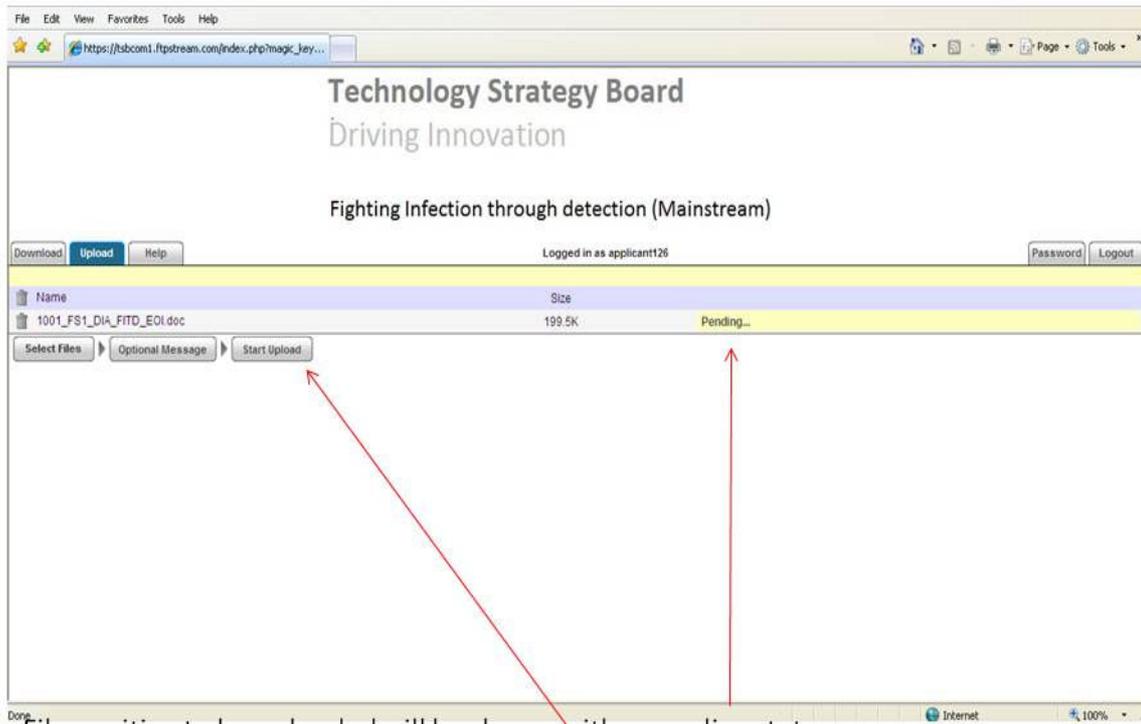
If this is your first login, you will be required to change your password. This must be at least 8 characters long

You will see a list of files that exist in the folder (if any)



Click the upload tab to open the file upload application

Click Select Files to show the file browser

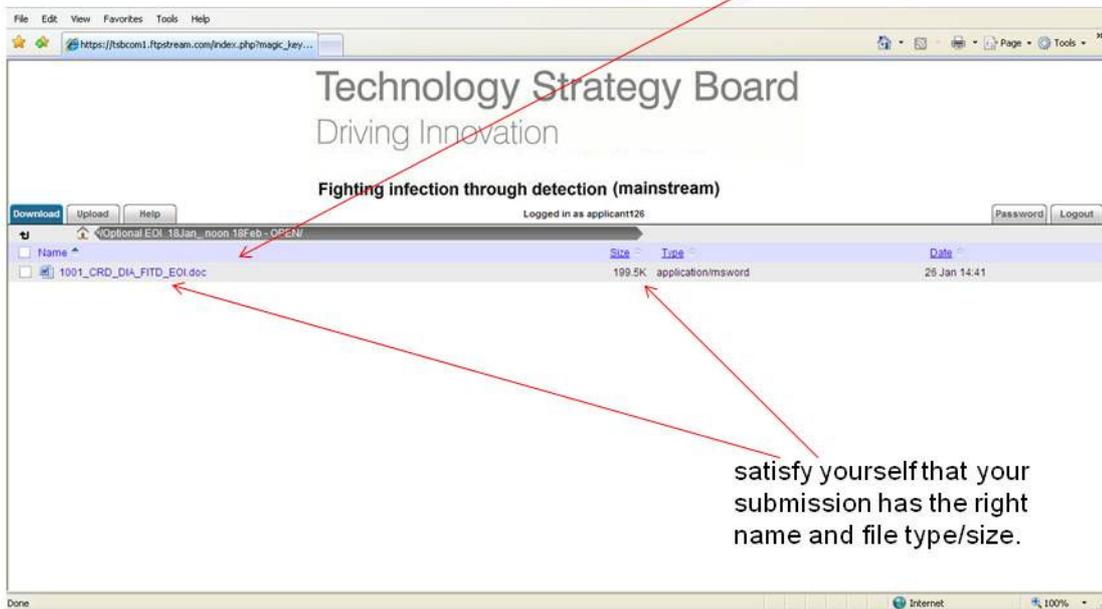


Files waiting to be uploaded will be shown with a pending status

Select Your file and click Open

Click Start Upload to upload the file(s)

Once uploaded, the files will appear in the list.



You will be able to see if the upload of documents has been successful by reviewing your secure folder. For security reasons it is not possible to download/open a submitted application. You should therefore verify that the file showing on your secure upload site has the same name and size as the one you intended to submit. If you experience any difficulty, please contact the Competitions Helpline on 0300 321 4357.

Appendix 2 – Guidance on submitting academic partner information

Every academic participant must complete and submit an on-line “Standard Proposal” via the Research Councils’ Joint electronic submissions website (Je-S) by the deadline detailed in the timeline for this Competition. Failure to do so could result in the whole application becoming ineligible.

To submit an on-line form you will need to be registered with Je-S. If you are not registered with Je-S, you should make arrangements for registration as soon as possible to ensure that you are able to meet the deadline, as registration may take some time.

You must obtain the unique competition application number for your application from the lead partner of your project. This unique reference number links together all the Application and Finance Forms for the project.

To access the on-line Form, you should log onto Je-S, then:

1. Select “Add New Document”
2. Under the option for “Council” select “Technology Strategy Board”
3. Under the option for “Document Type” select “Standard Proposal”
4. Under the option for “Scheme” select “Technology Strategy Board – CR&D”

A one-page ‘**Justification of Resources**’, in which you are required to describe the need for the resources, should be submitted as an attachment to the Je-S application. You will also be requested to complete a two-page ‘**Pathways to Impact**’ appendix. This appendix must be submitted with both the Je-S submission and the Technology Strategy Board submission and will be considered as part of the assessment of your proposal. Guidance on the content of the ‘Justification of Resources’ and ‘Pathways to Impact’ appendices are available on the Je-S website: <https://je-s.rcuk.ac.uk>.

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 Research Council funding applications. Academic and research staff should therefore be familiar with the system.

All academic participants will need to provide a pdf copy of the Je-S submission output document, showing a status of ‘With Council’, to the lead partner so that they can complete the finance table in the Application Form and upload the pdf document with the application. Please make sure that you allow sufficient time for Je-S approval before the Competition submission deadline. Important Note:

Academic collaborators should note that Research Council standard procedures apply to this competition in the same manner as for all Research Council proposals. Principal Investigators, submissions are held in a “Submitter Pool” in the Je-S system until Head of Department and University Research Office approval have both been received. It is the Research Office approval that has to meet the deadline and the onus is on the Principal Investigators to notify their Heads of Department and Research Office that a proposal has been submitted and that a deadline is imminent.

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 or by phone on 01793 444164.

Appendix 3 – Information Security & Confidentiality

Electronic submission of application documents

The electronic submission of applications uses https, which encrypts and decrypts the requests and information between your 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.

Assessor confidentiality and potential conflicts of interest

Assessors are required to accept confidentiality agreements and to declare any potential conflicts in 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.

Appendix 4 – Glossary of Terms

| | |
|--------------------------------|--|
| Academic Collaborator | This can be either a University or in some situations an RTO undertaking academic work as part of the project, which must be registered with Je-S. |
| Assessment | This refers to the process by which the Application Forms are reviewed and/or assessed and marked by an independent panel of experts. |
| Assessor | A person with specialist knowledge invited to participate in and conduct the assessment of the proposals in the competitive process. |
| Business Support Group | This is an information and assistance facility available to anyone who is interested in applying or who has applied for a Technology Strategy Board Competition. This facility covers all aspects of the Competition and its process. |
| Collaboration Agreement | This refers to the legal document between the various collaborators in the project. |
| Collaborators | This refers to all of the participants within the project and can be a mix of Industry with Industry or Industry with Academia. |
| Competition | This refers to the specific Competition for funding. |
| Competitions website | http://www.innovateuk.org/Competitions |
| Application Form | This is the formal document to be completed by you for submission into the Competition. |
| Gateway Question | Gateway questions are questions which must be passed in order for the application to be considered for success in the Competition. |
| Industry | This refers to the active participation of both business and industry. |
| Je-S | The Joint Electronic Submission (Je-S) system used for the calculation and submission of Academic Collaborators costs (see Appendix 2). |
| Offer Letter | This refers to the legally binding offer issued to the lead participant of the project, which forms the formal legal terms and conditions under which a grant is awarded. |
| RTO | Research and Technology Organisation |
| Scope | This refers to the specific aims and project objectives of the particular Competition. Details of the scope of each of the Competitions can be found within the relevant Competition outline documents which can be found on the Competitions website http://www.innovateuk.org/Competitions/Competitionsearch.aspx |
| SME | A Small or Medium Sized Enterprise must have fewer than 250 employees with either an annual turnover not exceeding €50m or a balance sheet totaling €43m, and not be part of a larger Enterprise that would fail these tests. Please refer to the EU definition of an SME for further details. |