



[REDACTED]

27 April 2021

Dear [REDACTED],

**Freedom of Information request: FOI2021/00182**

Thank you for your Freedom of Information request received on the 29 March in which you requested the following:

**Your request:**

*RE: Innovate UK Smart Grants: November 2020 (Deadline 20 January 2021). (Applicants were notified of their outcomes on 26 March 2021).*

*I would be very grateful if you could please provide the below information on the above funding competition for both:*

- a) *Stream 1 projects (6-18 months duration, eligible project costs between £25-£500k), and;*
- b) *Stream 2 projects (19-36 months duration, total eligible project costs between £25K-£2M).*

*The information I would like to request is as follows:*

- 1. The total number of applications submitted and the number of those that were assessed (i.e. deemed eligible for funding);*
- 2. The overall number of applications awarded funding and a breakdown of how many of these were first-time applications and how many were resubmissions;*
- 3. The total number of applications within each innovation area and the number of those that were successful in each area;*
- 4. The average grant request and project size of the applications successfully awarded funding;*
- 5. The average score of successful applications;*
- 6. The percentages of successful applications that were Industrial Research and Experimental Development;*
- 7. The number of successful Industrial Research and Experimental Development projects that were (i) single applicant/partner, (ii) 2 partners, (iii) 3+ partner;*
- 8. The total funding allocated in this competition round.*

**Our response:**

I can confirm UK Research and Innovation (UKRI) hold the information relevant to your request. Please see the information below.

Please note that:

**Stream 1:** Projects 18 months or less in duration, with total project cost of £500k or less

**Stream 2:** Projects either over 18 months in duration and/or £500k project costs

1. *The total number of applications submitted and the number of those that were assessed (i.e. deemed eligible for funding)*

1501 applications were submitted and 1299 were assessed. Ineligible applications are not split into streams, therefore only the total number of eligible applications received is available per stream:

Stream	Number of eligible applications submitted
Stream 1	1149
Stream 2	150
Total	1299

2. *The overall number of applications awarded funding and a breakdown of how many of these were first-time applications and how many were resubmissions*

Stream	Number of successful applications	Successful resubmissions
Stream 1	61	13
Stream 2	12	3
Total	73	16

It is worth noting that the resubmission option is self-selected by the applicant during the application process and not verified by Innovate UK.

During eligibility checks the content of applications is reviewed to ensure the resubmission limit has not been exceeded using artificial intelligence, but not the resubmission question data. This is to ensure that the checks are thorough and that applicants cannot get additional applications through by answering “no” to the resubmission question.

3. *The total number of applications within each innovation area and the number of those that were successful in each area.*

Innovation Area	Stream 1		Stream 2	
	Total Applications	Successful Applications	Total Applications	Successful Applications
Additive layer manufacturing (ALM)	8	2	2	1
Advanced therapies	7	0	1	0
Aerospace	5	0	0	0
Agricultural productivity	18	2	8	3
Assembly / disassembly / joining	3	0	1	1
Biosciences	30	2	7	0
Ceramic / electronic / functional materials	0	0	1	0
Chemical / bio processes	5	1	0	0
Composite materials	5	1	2	0
Connected and autonomous vehicles	4	0	0	0
Connected transport	11	0	0	0
Creative industries	76	2	7	0
Diagnostics, medical technology and devices	55	3	15	2
Digital health	107	1	12	1
Digital industries	237	8	16	1
Digital manufacturing	9	3	4	0
Digital technology	201	11	13	0

Electronic materials and manufacturing	10	3	2	0
Electronics, sensors and photonics	12	2	2	0
Emerging technology	31	0	7	0
Energy – other	26	3	6	1
Energy and automotive	11	0	1	0
Energy efficiency	14	1	3	0
Energy systems	14	1	3	0
Enhancing food quality	8	2	0	0
Independent living and wellbeing	9	1	1	0
Low carbon vehicles	5	0	1	0
Marine transport	7	0	1	0
Material recovery and treatment	4	0	4	0
Materials, process and manufacturing design technologies	18	1	3	0
Metals / metallurgy	3	1	1	0
Nanotechnology / nanomaterials	2	0	0	0
Offshore wind	8	2	5	0
Other transport	13	0	1	0
Polymers and plastics	2	0	0	0
Precision medicine	1	0	2	0
Preclinical technologies and drug target discovery	7	0	0	0
Rail transport	7	1	1	0
Resource efficiency	11	0	2	1
Robotics and autonomous systems	22	1	2	1
Satellite applications	1	0	0	0
Smart infrastructure	26	2	3	0
Space technology	4	0	0	0
Surface engineering, coatings and thin films	2	1	2	0
Sustainable materials	4	2	0	0
Therapeutic and medicine development	15	0	2	0
Urban living	14	0	0	0
(blank)	57	1	6	0
<b>Total</b>	<b>1149</b>	<b>61</b>	<b>150</b>	<b>12</b>

4. *The average grant request and project size of the applications successfully awarded funding*

<b>Stream</b>	<b>Average Grant Request</b>	<b>Average Project Size</b>
<b>Stream 1</b>	£252,836	£363,574
<b>Stream 2</b>	£855,306	£1,150,358

5. *The average score of successful applications*

<b>Stream</b>	<b>Average score of funded projects</b>
<b>Stream 1</b>	84.96%
<b>Stream 2</b>	85.47%

6. The percentages of successful applications that were Industrial Research and Experimental Development

Research Category	Successful Applications			
	Stream 1	%	Stream 2	%
Experimental Development	4	7%	0	0%
Industrial Research	48	79%	10	83%

7. The number of successful Industrial Research and Experimental Development projects that were; (i) Single applicant/partner, (ii) 2 partner, (iii) 3+ partners

Stream 1	Research Category	
Number of Partners	Experimental Development	Industrial Research
1	4	29
2	0	14
3+	0	5
<b>Total</b>	<b>4</b>	<b>48</b>

Stream 2	Research Category	
Number of Partners	Experimental Development	Industrial Research
2	0	5
3+	0	5
<b>Total</b>	<b>0</b>	<b>10</b>

8. The total funding allocated in this competition round

As per the information published in the [competition brief](#)<sup>1</sup>, the total funding allocated for the Innovate UK Smart Grants: November 2020 competition is up to £25 million.

The exact figure is exempt from disclosure under Section 22(1) of the FOIA as it is intended for future publication. Section 22 is a qualified exemption meaning that it is subject to the public interest test.

UKRI understand that being transparent in regard to the total amount of funding provided is in the public interest. However, the data is still incomplete and we are of the view that releasing the information as it currently stands would be inaccurate, incomplete and misleading and thus not in the public interest.

To explain further, successful projects are required to complete various project set up steps, including providing Innovate UK with documentation, collaboration agreements and exploitation plans, as well as passing financial viability and eligibility checks in order to receive grant funding. Until these steps have been completed accurate total funding amounts cannot be confirmed.

Once these checks have been completed and the projects have moved past the setup phase and are live, their information, including total funding amount, will be published in the [Innovate UK Transparency Data](#)<sup>2</sup>.

We have therefore determined that the outcome of this test is that the public interest is insufficient to justify immediate disclosure. The exact date on when this information will be updated is dependent on when the projects complete the setup process.

If you have any queries regarding our response or you are unhappy with the outcome of your request and wish to seek an internal review of the decision, please contact:

<sup>1</sup> <https://apply-for-innovation-funding.service.gov.uk/competition/762/overview>

<sup>2</sup> <https://www.gov.uk/government/publications/innovate-uk-funded-projects>

Head of Information Governance

Email: [foi@ukri.org](mailto:foi@ukri.org) or [infogovernance@ukri.org](mailto:infogovernance@ukri.org)

Please quote the reference number above in any future communications.

If you are still not content with the outcome of the internal review, you may apply to refer the matter to the Information Commissioner for a decision. Generally, the ICO cannot make a decision unless you have exhausted the review procedure provided by UKRI. The Information Commissioner can be contacted at: <http://www.ico.gov.uk/>

If you wish to raise a complaint regarding the service you have received or the conduct of any UKRI staff in relation to your request, please see UKRI's complaints policy: <https://www.ukri.org/about-us/policies-and-standards/complaints-policy/>

Yours sincerely,

  
Information Governance  
Information Rights Team  
UK Research and Innovation  
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