



[REDACTED]

3 November 2021

Dear [REDACTED],

Freedom of Information request: FOI2021/00452

Thank you for your Freedom of Information request received on the 8 October in which you requested the following:

Your request:

'Specifically for organisations that have been awarded grants which cover a percentage of the costs of research and or development, of the quarterly payments, how many are paid on time in each 3 month period expressed as a percentage and a total number of grants?

How many payments are disputed for some reason or another, expressed as a percentage?

How many organisations fail to get paid the full initial grant awarded for any reason, expressed as a percentage and the total amount?"

Clarified on 13/14 October as follows:

In reference to time period - over the past three years

In reference to question on "How many payments are disputed for some reason or another, expressed as a percentage?" responded as follows:

Any payment that was not made on time regardless of the cause.

an example would be if there were 10 companies being paid quarterly then in the year there should be 40 payments 10 in each quarter, how many were paid as per the initial quarterly schedule vs how many were not paid or delayed?

Our response

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

With regard to parts 1 and 2 of your request for information on payments (paid on time, disputed) we have estimated that the cost of complying with your request and collating this information over the past three years would exceed the appropriate statutory limit as specified within Section 12 of the FOIA which for UKRI is set at £450. This represents the estimated cost of 18 hours of staff resource on locating, retrieving and extracting the information.

We have determined that to gather this information it would be necessary to manually carry out sensitive checks on the data for each grant awarded. This extensive analysis would require going over every payment schedule and comparing to payments made. This would mean assessing over 200,000 payments to review their timeliness to plan and manually access and extract the information from each grant award.

Innovate UK did not capture a service definition of "late" prior to 2021; payments are made as soon as all the relevant information is in place from both sides.

Prior to January 2021, Innovate UK used a variety of different systems to complete the end-to-end grant process and due to the volume of grant awards involved, extracting the data would exceed the appropriate limit. For just the 2021 fiscal year to the present date we estimate that to retrieve the information would exceed two working days, and to extract and retrieve information from over the date range specified of three years, we anticipate this request would take well in excess of the appropriate cost limit to complete.

Consequently, UKRI is not obliged under Section 12 of the FOIA to process this section of your request further.

We are however able to provide the information for the 2021 period for questions 1 and 2 as follows:

For question 1 on *“Specifically for organisations that have been awarded grants which cover a percentage of the costs of research and or development, of the quarterly payments, how many are paid on time in each 3 month period expressed as a percentage and a total number of grants”*

- Number of payments made with due date in 2021 – 24665
- Number of these made before or on the due date – 19447
- % payments made ‘on time’ – 79%
- Number of overdue payments – 5218
- % payments overdue – 21%

From 1 January 2021, 6962 claims were submitted late to a value of £418m. Participants have 1 month after the end of the period in which to submit the claim. So ‘late’ in this context is where a claim was submitted to Innovate UK after the end of that month.

Of those submitted late:

- 6575 (£407m) have been approved for payment.
- 65 (£1.7m) have been approved to be paid by third parties.
- 63 (£1.7m) currently have a status of Queried by Innovate UK. This means that the participant hasn’t yet responded to a query raised by our claims team.
- 258 (£7.5m) are still being processed by Innovate UK. The majority of these (233) relate to claims due in September.

With regard to question 2 on *“How many payments are disputed for some reason or another, expressed as a percentage”*, in 2021 (from 1 January 2021 to 22 October 2021), 5,895 individual claims have been queried back to the participant at least once to a grant value of £153,424,982.40. Of these, 5103 (Value of £139,045,658.50) have subsequently been approved for payment. Innovate UK does not currently capture the reason for the query, although Innovate UK is implementing a change to do this. Claims that were queried were not necessarily paid late – in many cases the participants respond quickly and the claim is approved within tolerances.

During the period 1 January 2021 – 22 October 2021, 30,015 claims were approved. The percentage of those that were queried (Innovate UK’s interpretation of disputed and this could be for a number of reasons) is therefore 17% (based on the number of approved claims in the period).

For question 3 *“How many organisations fail to get paid the full initial grant awarded for any reason, expressed as a percentage and the total amount”* Innovate UK is able to provide figures for the past three years as requested within the appropriate cost limit.

Based on projects with an end date between 1st October 2018 and 30th September 2021 (last 3 years) and with a project status of ‘closed’ -

- Total number of organisations (project participants) – 6176
- Number of organisations with ‘claimed to date’ values less than the ‘grant offered’ value – 3998
- % of organisations claiming less than the grant value – 65%
- Total ‘grant offered’ for these projects - £1,286,074,813.91
- Total difference between ‘claimed to date’ and ‘grant offered’ values - £69,145,259.14
- % of the total ‘granted offered’ value not ‘claimed’ – 5%

Please note that the difference was less than £100 for 665 of these organisations, and was between £100 and £1000 less for a further 917.

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:

Head of Information Governance


Email: foi@ukri.org or 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,


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