UK Research and Innovation

22 September 2020

Freedom of Information request: FOI2020/00260

Thank you for your Freedom of Information request received on the 20 August in which you requested the following:

Your request:

RE: Innovate UK Smart Grants: January 2020 (Deadline 28 May 2020). (Applicants were notified of their outcomes on 07 August 2020).

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

Stream 1 projects (6-18 months duration, eligible project costs between £25-£500k), and;
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 partner, (iii) 3+ partners*
8. *The total funding allocated in this competition round.*

Finally, please can you advise on the budget / how much funding will be allocated for the upcoming Smart competition that will open on 28th August 2020.

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)*

2728 applications were submitted and 2440 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	2089
Stream 2	351
Total	2440

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
Stream 1	129
Stream 2	23
Total	152

We estimate that the cost of determining how many of these applications were first-time applications and how many were resubmissions 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.

To explain further, in order to gather this information we would be required to go into each individual application to confirm the applicant's response. Given the volume of applications, our reasonable time estimate to complete this task would be over 20 hours. Consequently, UKRI is not obliged under Section 12 of the FOIA to process this section of your request further.

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 Appli-cations	Successful Applications	Total Appli-cations	Successful Applications
Additive layer manufacturing (ALM)	11	0	7	3
Advanced therapies	10	2	6	0
Aerospace	6	0	1	0
Agricultural productivity	29	2	9	0
Assembly / disassembly / joining	8	2	0	0
Biosciences	77	5	23	1
Ceramic / electronic / functional materials	0	0	1	0
Chemical / bio processes	11	2	8	1
Composite materials	12	1	4	2
Connected and autonomous vehicles	9	1	4	0
Connected transport	20	1	3	0
Creative industries	115	9	10	0
Diagnostics, medical technology and devices	80	11	29	1
Digital health	184	9	18	1
Digital industries	389	16	26	1
Digital manufacturing	7	0	5	0
Digital technology	332	17	28	0

Electronic materials and manufacturing	6	0	2	0
Electronics manufacturing	15	4	3	0
Electronics, sensors and photonics	12	1	4	0
Emerging technology	90	4	17	1
Energy - other	42	4	10	0
Energy and automotive	21	0	1	0
Energy efficiency	52	6	11	1
Energy systems	28	1	6	0
Enhancing food quality	20	1	5	1
Forming technologies	2	0	0	0
Independent living and wellbeing	24	0	2	0
Low carbon vehicles	21	1	6	0
Marine transport	15	1	4	0
Material recovery and treatment	15	2	5	1
Materials, process and manufacturing design technologies	26	2	5	0
Metals / metallurgy	4	1	1	0
Nanotechnology / nanomaterials	9	2	2	0
Nuclear fission	3	1	1	0
Offshore wind	12	4	6	1
Other transport	15	0	4	0
Polymers and plastics	11	3	1	0
Precision medicine	8	2	2	0
Preclinical technologies and drug target discovery	11	1	3	0
Rail transport	8	0	6	0
Resource efficiency	20	1	3	1
Robotics and autonomous systems	29	1	9	2
Satellite applications	10	0	0	0
Sensor and instrument design or manufacture	11	1	2	1
Smart infrastructure	43	1	12	1
Space technology	10	1	1	0
Surface engineering	4	0	3	0
Surface engineering, coatings and thin films	1	0	3	1
Sustainable materials	23	0	3	1
Therapeutic and medicine development	20	2	10	1
Urban living	33	1	4	0
Other/unspecified	115	2	12	0

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

Stream	Average Grant Request	Average Project Size
Stream 1	£266,701	£389,818
Stream 2	£707,714	£1,030,716

5. *The average score of successful applications*

Stream	Average score of funded projects
Stream 1	85.06%
Stream 2	86.8%

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

Research Category	Successful Applications			
	Stream 1		Stream 2	
	Stream 1	%	Stream 1	%
Experimental Development	16	12.4%	1	4.3%
Feasibility Studies	17	13.2%	2	8.7%
Industrial Research	96	74.4%	20	87.0%

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	Feasibility Studies	Industrial Research	Total
1	15	7	49	71
2	1	7	34	42
3		3	9	12
4			2	2
5			1	1
6			1	1
Total	16	17	96	129

Stream 2	Research Category			
Number of Partners	Experimental Development	Feasibility Studies	Industrial Research	Total
2		1	4	5
3		1	6	7
4	1		6	7
5			2	2
6				
7			2	2
Total	1	2	20	23

8. *The total funding allocated in this competition round*

Stream	Total Allocated Funding
Stream 1	£34,404,429
Stream 2	£16,277,422
Total	£50,681,851

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,
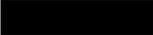
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