



[REDACTED]

20 January 2022

Dear [REDACTED],

Freedom of Information request: FOI2021/00539

Thank you for your Freedom of Information request received on the 30 December and clarification received on the 17 January in which you requested the following:

Your request:

As per stated previously that your Innovate UK Smart Grant have been receiving a huge amount of applications which is more highly competitive, could you please make available these number of historical record in November 2020, January 2021, May 2021 and August 2021 competition round on:

- 1) *Total number of Applications*
- 2) *The number of Successful Applicants*
- 3) *Names of Successful Applicants*
- 4) *Number of Unsuccessful Applicants*
- 5) *Names of Unsuccessful [Applicants]*

Also could you please let me know if there is any public sample successful application in the past I can access?

Our response:

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

Under Section 21 of the FOIA, information already reasonably accessible, the following information you have requested is already available in the public domain:

- Total number of applications (Q1), number of successful applicants (Q2) and number of unsuccessful applicants (Q4) to Innovate UK (IUK) Smart Grant competitions in [November 2020](#)¹, [January 2021](#)² and [May 2021](#)³.
- Names of successful applicants (Q3) to all IUK Smart Grant competitions, including November 2020 and January 2021 are published in the [Innovate UK Transparency Data](#)⁴.

UKRI actively publish information on the FOI requests that are received. A copy of the request and response sent by UKRI is available on [UKRI's FOI disclosure log](#)⁵ which contains all FOI requests from April 2018 to November 2021. This includes a number of requests relating to the IUK Smart Grant competitions covering a wide range of information.

Section 21 is an absolute exemption which means that there is no requirement to conduct a public interest test.

¹ <https://ukri.disclosurelog.co.uk/case/1b92aabc-2cda-4a12-acbb-cb33677e4272>

² <https://ukri.disclosurelog.co.uk/case/865a446d-b3b9-415b-b342-e08b910bd061>

³ <https://ukri.disclosurelog.co.uk/case/366d7a25-79d6-45b6-91fb-4fd7aae4721f>

⁴ <https://www.ukri.org/publications/innovate-uk-funded-projects-since-2004/>

⁵ <https://ukri.disclosurelog.co.uk/>

Applicants were notified of the results of the August 2021 competition on 17 December 2021 and as such, the requested information for this competition to answer Q1, Q2 and Q4 can be found in Table 1.

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

Table 1: Smart Grant August 2021 applications

	Number of applications submitted*	Number of applications assessed	Number of successful applications	Number of unsuccessful applications
Stream 1		629	64	565
Stream 2		77	10	67
Total	815	706	74	632

* applications are not broken down into streams prior to assessment

The information you have requested in Q3, on '*names of successful applicants*' from the May 2021 and August 2021 Smart Grant competitions 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 names of successful applicants to its competitions is in the public interest. However, this data is released once projects have cleared project set up, including financial viability and eligibility checks, and therefore we are of the view that releasing the information before these stages have been completed would be inaccurate, incomplete and misleading and thus not in the public interest.

We have therefore determined that the outcome of this test is that the public interest is insufficient to justify immediate disclosure.

In regard to Q5, the '*names of unsuccessful applicants*', we have determined that this information falls under Section 41 of the FOIA, information provided in confidence.

To explain further, Innovate UK's application guidance states that if an application is successful that some of their information will be published and made publicly available. It is therefore implied that all organisations can confidently apply to Innovate UK and information relating to their specific application will be kept confidential unless they are successful. If the information was released, we believe it would result in an actionable breach of confidentiality.

As this exemption is absolute there is no requirement to conduct a public interest test.

In regard to your final point on '*public samples of successful applications*', IUK do not make copies of applications to its competitions public, however [case studies](#)⁶ that relate to all IUK competitions are available from www.gov.uk.

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/>

⁶ <https://www.gov.uk/government/collections/innovate-uk-case-studies>

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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