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18 June 2021

Dear █████████ ,

Freedom of Information request: FOI2021/00271

Thank you for your Freedom of Information request received on the 2 June in which you requested the following:

Your request:

I am writing to request the following data for the last 2 completed rounds of the Smart Grants (Innovate UK Smart Grants: August 2020 and Innovate UK Smart Grants: November 2020).

1. *Number of applications initiated overall (including those that were not submitted)*
2. *Number of actual submissions overall (number officially submitted)*
3. *Number of Grants awarded overall*
4. *% Success Rate overall*
5. *Number of Projects submitted for each research category*
6. *Number of Projects awarded for each research category*
7. *% Success Rate for each research category*
8. *Average Total Project costs for each research category*
9. *Average value of Grant awarded for each research category*
10. *Average duration of Grant for each research category*
11. *Total IUK commitment of funds per round*

Our response:

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

1. *Number of applications initiated overall (including those that were not submitted)*

    A total of 4500 applications were started, included those that were not submitted, for the August 2020 round. A total of 2707 applications were started, including those that were not submitted, for the November 2020 round.

2. *Number of actual submissions overall (number officially submitted)*

    There were 2183 applications submitted for the August 2020 round, 264 of these were ineligible.
    There were 1501 applications submitted for the November 2020 round, 202 of these were ineligible.

3. *Number of Grants awarded overall*

    There were 74 grants awarded overall for the August 2020 round. There were 73 grants awarded overall for the November 2020 round.

4. *% Success Rate overall*

Excluding ineligible applications, the overall success rate for the August 2020 round was 3.9% and for the November 2020 round the overall success rate was 5.6%.

5. *Number of Projects submitted for each research category*

Research Category	Number of Submitted Projects*	
	August 2020	November 2020
Experimental Development	392	317
Feasibility Studies	393	250
Industrial Research	1134	732

* This data excludes ineligible applications.

6. *Number of Projects awarded for each research category*

Research Category	Number of Funded Projects	
	August 2020	November 2020
Experimental Development	7	4
Feasibility Studies	6	11
Industrial Research	61	58

7. *% Success Rate for each research category*

Research Category	Success Rate*	
	August 2020	November 2020
Experimental Development	1.8%	1.3%
Feasibility Studies	1.5%	4.4%
Industrial Research	5.4%	7.9%

* This data excludes ineligible applications.

8. *Average Total Project costs for each research category*

Research Category	Average Project Cost*	
	August 2020	November 2020
Experimental Development	£515,504	£353,164
Feasibility Studies	£270,924	£418,965
Industrial Research	£505,064	£516,570

* This data is for successful projects only.

9. *Average value of Grant awarded for each research category*

Research Category	Average Grant Awarded	
	August 2020	November 2020
Experimental Development	£246,051	£147,093
Feasibility Studies	£194,109	£314,994
Industrial Research	£356,794	£372,989

10. *Average duration of Grant for each research category*

Research Category	Average Duration of Grant*	
	August 2020	November 2020
Experimental Development	15 months	13 months
Feasibility Studies	13 months	17 months
Industrial Research	17 months	16 months

* This data is for successful projects only.

11. Total IUK commitment of funds per round

As per the information published in the competition briefs for the August 2020[1] and November 2020[2], 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[3].

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.

Please note that while applicants are asked to select a research category for their proposal, this is not used in the decision-making process. Innovate UK Smart Grants competitions are funded on a "top down" basis, based on the score awarded by the independent assessors and split across two streams as it defined in the competition brief.

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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Information Governance
Information Rights Team
UK Research and Innovation
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[1] https://apply-for-innovation-funding.service.gov.uk/competition/701/overview
[2] https://apply-for-innovation-funding.service.gov.uk/competition/762/overview
[3] https://www.gov.uk/government/publica ions/innovate-uk-funded-projects