

30.20.10 Check Applicant Eligibility and Scope

1.0 Process Summary

1.1 Process Owner

The Process Owner has overall responsibility for a process. They're accountable for the process operating efficiently and effectively.

Head of Pre Award

1.2 Process Champion

The Process Champions are responsible for ensuring the process documents are up-to-date, accurate and shared with Process Participants.



1.3 Purpose / Scope of the Process

Purpose / Scope of the Process

Insert a brief overview of what is the purpose of the process, what it does and what it doesn't cover.

The purpose of this process is to check all the applications in a competition to make sure they are NOT; ineligible, out of scope or banned due to a previous application or project.

Process Start Point

Insert description of what triggers the starts of the process.

The process is triggered when a competition closes and applications need to be checked for eligibility and scope.

Process End Point

Insert description of what triggers the ends of the process.

The process ends when the eligibility and scope checks have been completed on the applications.

1.4 Link to Process Model



2.0 Standard Operating Procedure

Step No.	Main Operating Steps	Procedure and Guidance	Responsible	Consulted	IT-Systems	Documents (see section 3 for links)
1	Run Reports	Procedure - Login into Jasper or PowerBI - Select and run IFS046, IFS035, IFS023a and IFS015 for the relevant competition number - Export all reports saving as Excel Paginated - Download all reports and save in the archive folder within the eligibility folder of the competition SharePoint folder Guidance and Troubleshooting - Save all reports as raw data	Competitions Manager		Jaspersoft PowerBI	IFS015 Report IFS023a IFS035 IFS046
2	Download Eligibility Template	Procedure - Download the eligibility template from the Competitions templates on SharePoint and save into the eligibility folder of the competition SharePoint folder Guidance and Troubleshooting - Create new tabs on the template to create the eligibility report	Competitions Manager		Microsoft Excel	Eligibility Report Template
3	Populate Eligibility Report	Procedure - Populate the eligibility template from the downloaded reports to create the eligibility report Guidance and Troubleshooting - Copy the data from IFS015, IFS046 and the cobalt replacement report Once completed, complete step 4-8 at the same time	Competitions Manager		Microsoft Excel	Eligibility Report
4	30.20.05 Check for Duplicate Applications	Check 30.20.05 Check for Duplicate Applications process	Competitions Manager			

For information and support on Business Process Management and Documentation contact the Process Team.

Step No.	Main Operating Steps	Procedure and Guidance	Responsible	Consulted	IT-Systems	Documents (see section 3 for links)
5	30.20.30 Assurance List Checks	Check 30.20.30 Assurance List Checks process	Competitions Manager			
6	Competition Specific Eligibility Checks	Procedure - Using the competition brief the Competition Manager must check that each application meets the eligibility requirements of the competition - From the eligibility tab review project costs or grant funding sought, number of organisations, organisation type, project start date, project duration - From the participants tab check non-funded partners, how many applications each organisation is part of, for collaborative applications check there are at least 2 grant claiming partners Guidance and Troubleshooting - Each competition will have individual eligibility criteria	Competitions Manager			
7	Companies House Number Check	Procedure - Check each UK business has an eligible Companies House registration number Guidance and Troubleshooting - Any number starting FC, BR, or JE means the application is ineligible - If there is no companies house number, this must be flagged to the Innovation lead. If the application is successful, the organisation must provide a valid Companies House registration number before their project starts	Competitions Manager			
8	Content Checks	Procedure - Review each tab of the IFS035 report - Investigate any flagged applications in line with the process manual - Record any applications that need further investigation on the eligibility report Guidance and Troubleshooting - xxx	Competitions Manager			

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Step No.	Main Operating Steps	Procedure and Guidance	Responsible	Consulted	IT-Systems	Documents (see section 3 for links)
9	Update Eligibility Report	Procedure - Populate the COI tab and sort into alphabetical order - Add notes to the eligibility tab based on the checks performed - Using the location tab flag any applicants that breach any competition location rules - Complete the ineligible decisions tab with the output of all eligibility checks for review at the scope review meeting Guidance and Troubleshooting - If the competition has an eligibility requirement based on a specific question use the IF5023a report to obtain the applicant answers - The ineligible decision tab will contain applications which have not met the eligibility or scope criteria of the competition	Competitions Manager		Microsoft Excel	Eligibility Report
10	Send Eligibility Report to Innovation Lead	Procedure - Send report to IL by email including a summary of the findings for discussion at the scope review meeting Guidance and Troubleshooting - xxx	Competitions Manager	Innovation Lead		Eligibility Report
11	Check Scope Requirement for each Application	Procedure - Check the scope description of each application against the scope aims of the competition brief. - If all applications are in scope of the competition, a 'Yes' comment needs to added to the first column and nothing else to be recorded. - Flag any that don't meet the scope. A clear justification should be provided as to why the application is not within scope and added into the next column.	Innovation Lead			Eligibility Report

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Step No.	Main Operating Steps	Procedure and Guidance	Responsible	Consulted	IT-Systems	Documents (see section 3 for links)
		Guidance and Troubleshooting The scope requirement for each application should be completed before the scope review meeting.				
12	Scope Review Meeting	Procedure - Scope review meeting is attended by the Competition (CM) and Innovation Lead (IL) - CM shares the eligibility report on screen - All meeting participants complete a Conflict of Interest (COI) check and any conflicts are recorded - Each tab is presented, and any possible ineligible decisions are discussed - Once all tabs have been discussed the Ineligible Applications tab should be presented to confirm all applications that are going to be marked and informed as ineligible. Guidance and Troubleshooting - Wording for each application that has been deemed ineligible or out of scope must be clearly saved in the Eligibility Report on the Ineligible Decisions Tab - If a project is deemed as out of scope, detailed justification must be provided by the IL to be sent to the applicant - If there are no ineligible applications a note should be made on the final sheet of this.	Competitions Manager	Innovation Lead	Meeting	Eligibility Report
13	Mark Ineligible Applications	Procedure Each application must be marked as ineligible in Innovation Funding System (IFS) and a reason recorded Guidance and Troubleshooting	Competitions Manager		Innovation Funding Service	

Step No.	Main Operating Steps	Procedure and Guidance	Responsible	Consulted	IT-Systems	Documents (see section 3 for links)
		Use the reason captured in the ineligible decisions tab				
14	Notify Ineligible Applicants	Procedure - Send a notification from IFS to each application giving the reason they are ineligible or out of scope - Save the ineligible notification in the post sub-folder of the competition folder on SharePoint Guidance and Troubleshooting - Template wording is in the process manual Process Ends	Competitions Manager	Lead Applicant	Innovation Funding Service	

3.0 Supporting Information

3.1 Related Training Materials

What training material is available to support this process

3.2 Related Policies / Guidance

What Policies and Guidance inform this process.

Operations: Financial Eligibility Review of Project Costs

Policy Owner: Head of Funding Assurance

Link to Policy/Guidance: Policy 


3.3 Participants

Departments, Teams and Roles with the process.

Competition Lead

Competitions Manager

The Competitions Manager role is responsible for the operational delivery of Competitions, and the management of all of the Portfolio Manager in Operations.

Department: Business Operations Department

Team: Competitions Team

Head of Pre Award

Innovation Lead

The Innovation Lead role is the business/technical lead, they have overall responsibility for a Competition or Project.

Lead Applicant

3.4 IT Systems

IT Systems and Applications used within the process.

Innovation Funding Service

IFS is Innovate UKs competition and applicant management application.

IT System Owner: IFS Product Manager

Jaspersoft

Jaspersoft is the platform used to provide reports from the data warehouse.

Meeting

PowerBI

3.5 Documents

Documents used within the process.

Eligibility Report

Eligibility Report Template

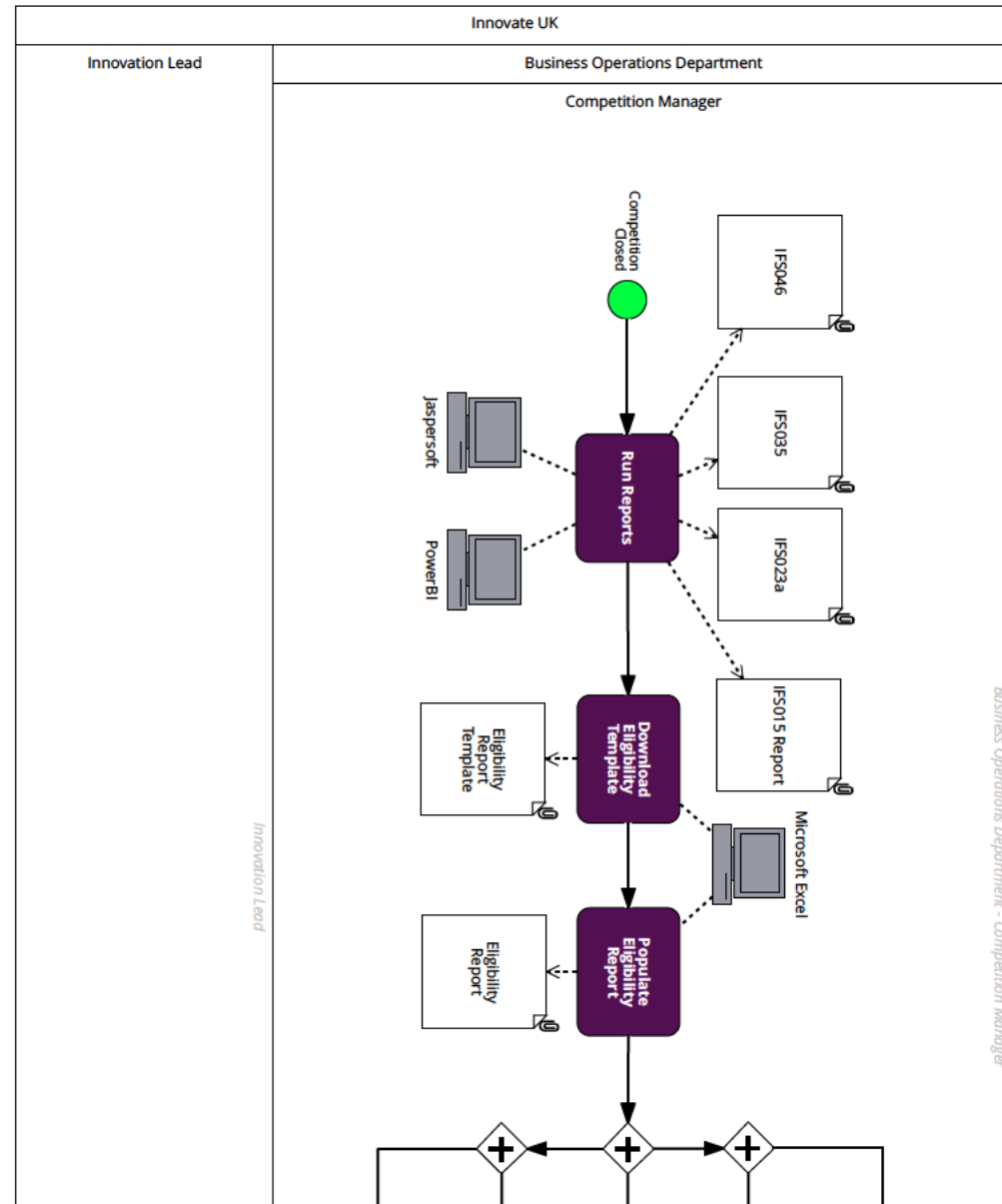
IFS015 Report

IFS023a

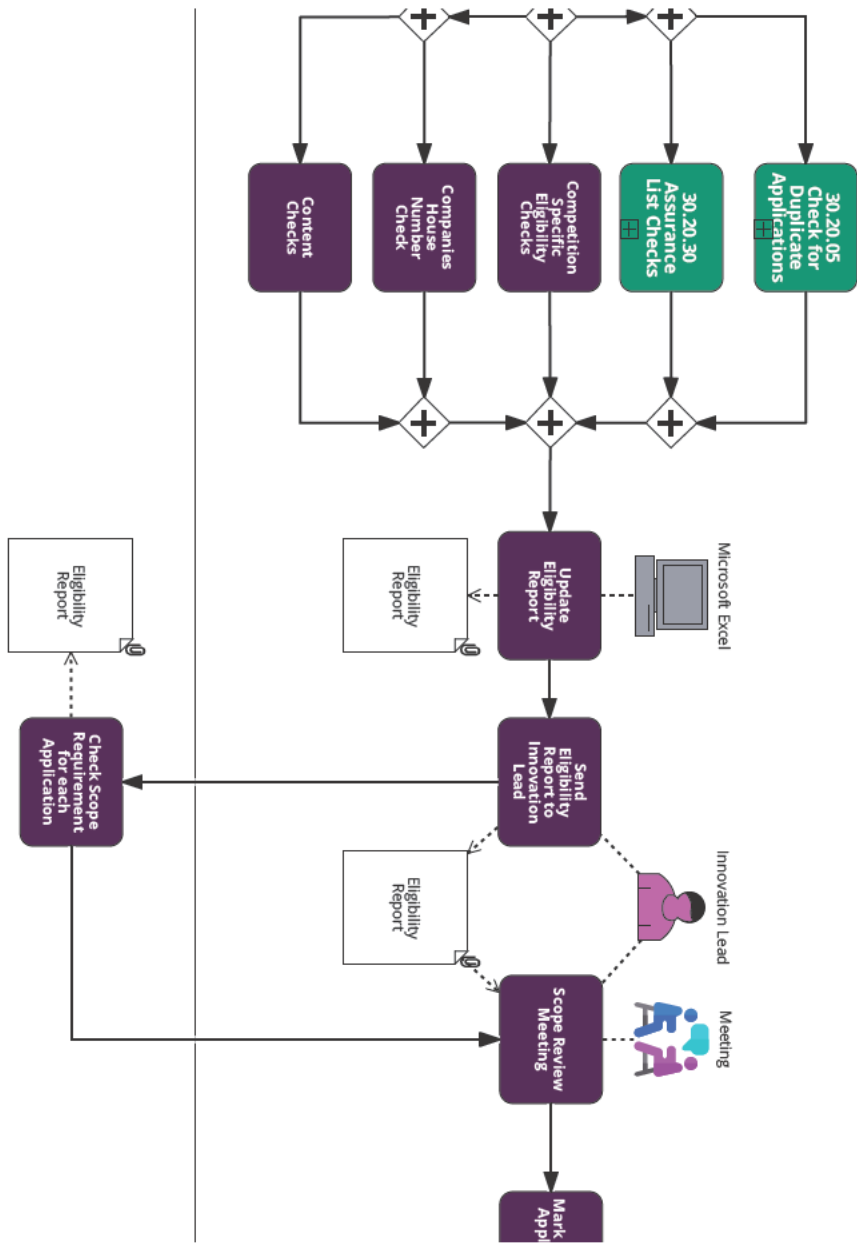
IFS035

IFS046

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