

[REDACTED]

7 September 2021

Dear [REDACTED],

Freedom of Information request: FOI2021/00377

Thank you for your Freedom of Information request received on the 16 August in which you requested the following:

Your request:

I am writing to request the following information with regard to the below Innovate UK competition to better understand the funding assessment process.

For the following competition, please can you kindly provide:

SMART January 2021 (Competition closed: Thursday 27th May 2021).

- 1. Total number of applications*
- 2. Total number of successful applications*
- 3. Total number of applications ineligible for assessment*
- 4. Total number of applications considered a resubmission of a previous application*
- 5. Total number of successful applications which were considered a resubmission of a previous application*
- 6. The score of the lowest scoring funded project*
- 7. The score of the highest-scoring funded project*
- 8. The average (mean) score of funded projects*
- 9. The average number of Assessors indicating that they recommend a project for funding per application*
- 10. The number of projects with an outlying assessor score, which was removed*
- 11. The number of projects against which an assessor marked that they would not recommend the project for funding*

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. Total number of applications*

2617 applications were submitted for the Innovate UK Smart Grants: January 2021 competition. Applications are not split by stream prior to being checked for eligibility status, therefore only the overall total is available.

2. *Total number of successful applications*

Stream	Number of successful applications
Stream 1	63
Stream 2	11
Total	74

3. *Total number of applications ineligible for assessment*

286 applications were considered ineligible for assessment. As advised in Q1, applications are not split by stream prior to being checked for eligibility status, therefore only the overall total is available.

4. *Total number of applications considered a resubmission of a previous application*

Stream	Number of applications considered a resubmission	Successful resubmissions
Stream 1	587	28
Stream 2	87	3
Total	674	31

It is worth noting that the resubmission option is self-selected by the applicant during the application process and not verified by Innovate UK.

During eligibility checks the content of applications is reviewed to ensure the resubmission limit has not been exceeded using artificial intelligence, but not the resubmission question data. This is to ensure that the checks are thorough and that applicants cannot get additional applications through by answering “no” to the resubmission question.

5. *Total number of successful applications which were considered a resubmission of a previous application*

See response to Q4.

6. *The score of the lowest scoring funded project*

Stream	Lowest scoring funded project
Stream 1	85.6%
Stream 2	87.4%

7. *The score of the highest-scoring funded project*

Stream	Highest scoring funded project
Stream 1	91.5%
Stream 2	92.5%

8. *The average (mean) score of funded projects*

Stream	Average score of funded projects
Stream 1	87.49%
Stream 2	88.83%

9. *The average number of Assessors indicating that they recommend a project for funding per application*

Stream	Average number of assessors recommending a project for funding per application
Stream 1	2.76
Stream 2	3.37

10. *The number of projects with an outlying assessor score, which was removed*

We estimate that the cost of determining the number of projects with an outlying assessor score which was removed 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 review each individual application to gather the information requested. Given the volume of applications, our reasonable time estimate to complete these tasks would be over 194 hours to extract the relevant data at 5 minutes per application. Consequently, UKRI is not obliged under Section 12 of the FOIA to process this section of your request further.

11. *The number of projects against which an assessor marked that they would not recommend the project for funding*

A total of 1911 applications (1672 in Stream 1 and 239 in Stream 2) had at least one assessor who would not recommend that they received funding. This only impacts upon the funding decision if the majority of assessors would not recommend the project for funding. There were no projects that scored above the funding threshold where more than one assessor marked that they would not recommend that the project received funding.

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 Rights Team
UK Research and Innovation
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