4 March 2021

Dear ██████████ ,

Freedom of Information request: FOI2021/00053

Thank you for your Freedom of Information request received on the 8 February in which you requested the following:

Your request:

For the Smart Grant August 2020 competition, for both the <18 month (<£500k) and >18 month (up to £2 million) streams:

1. *The number of applications*
2. *The number of successful applications*
3. *The success rate*
4. *The minimum successful score*
5. *The maximum successful score*
6. *Maximum score of failed applications*
7. *Average grant fund value per project*
8. *Total funds allocated*
9. *The score distributions of the applications (e.g. % (or number) of applications which scored <70, 71-75, 76-80, 81-85, 86+)*
10. *The count of successful projects by innovation area for each strand.*

I would also like to request the number of unsuccessful applications, if any, which scored above the minimum funded score, please.

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 number of applications*

   There were 2183 applications submitted, 264 of these were ineligible. 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	1649
Stream 2	270
Total	1919

2. *The number of successful applications*

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

3. *The success rate*

Stream	Success Rate
Stream 1	3.8%
Stream 2	4.1%

4. *The minimum successful score*

Stream	Highest scoring funded project	Lowest scoring funded project	Highest scoring non-funded project
Stream 1	93.2%	84.8%	84.6%
Stream 2	90%	86.4%	86%

5. *The maximum successful score*

Please see Q4.

6. *Maximum score of failed applications*

Please see Q4.

7. *Average grant fund value per project*

Stream	Average Grant Value
Stream 1	£268,690
Stream 2	£708,533

8. *Total funds allocated*

As per the information published in the competition brief [1], the total funding allocated for the Innovate UK Smart Grants: August 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 [2].

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[1] https://apply-for-innovation-funding.service.gov.uk/competition/701/overview

[2] https://www.gov.uk/government/publications/innovate-uk-funded-projects

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.

9. *The score distributions of the applications (e.g. % (or number) of applications which scored <70, 71-75, 76-80, 81-85, 86+)*

Stream 1

Score (%)	Number of Applications	Distribution of Applications
0 – 70	963	58.4%
70.1 – 75	280	17%
75.1 – 80	238	14.4%
80.1 – 85	136	8.2%
85.1 – 100	32	1.9%

Stream 2

Score (%)	Number of Applications	Distribution of Applications
0 – 70	90	33.3%
70.1 – 75	66	24.4%
75.1 – 80	60	22.2%
80.1 – 85	40	14.8%
85.1 – 100	14	5.2%

10. *The count of successful projects by innovation area for each strand*

Stream 1

Innovation Area	Number of Successful Applications
Additive layer manufacturing (ALM)	1
Agricultural productivity	3
Bioscience	6
Creative industries	4
Diagnostics, medical technology and devices	9
Digital health	3
Digital industries	7
Digital manufacturing	1
Digital technology	3
Electronic materials and manufacturing	2
Emerging technologies	5
Energy - other	1
Energy efficiency	1
Energy systems	1
Independent living and wellbeing	1
Low carbon vehicles	1
Materials, process and manufacturing design technologies	1
Not Specified	3
Other transport	1
Preclinical technologies and drug target discovery	1

Surface engineering, coatings and thin films	3
Sustainable materials	3
Therapeutic and medicine development	2

Stream 2

Innovation Area	Number of Successful Applications
Additive layer manufacturing (ALM)	2
Connected transport	1
Creative industries	1
Diagnostics, medical technology and devices	1
Digital industries	1
Digital manufacturing	1
Digital technology	1
Nuclear fission	1
Smart infrastructure	1
Transport - Marine	1

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
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