Assessor Induction (Part 1)

- All assessors must complete this induction and attend the 'live' Q&A session before being permitted to assess on a competition for Innovate UK

- This recording and slide deck have been sent to you a week before the 'live' Q&A – if you have not received your Q&A invitation, please contact ███████████████████████████

- This induction will include an introduction to the Competitions Team at Innovate UK, who our assessors are and their role, the assessment process, the application form, real applicant responses, the funding rules, additional information

Competitions Team – who are we?

- 15 Portfolio Managers, supported by the Applications & Assessments Team

- Support the Innovation Leads/Sector Teams in running a fair and transparent competition process

- We create, maintain and process all competition documentation, manage competition milestones and run panels and interviews.

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Who are Innovate UK assessors?

- Assessors are selected by the Innovation Lead and any co-funders based on their expertise in a particular area. The funding partners must ensure that the quality of available expertise is of the highest calibre

- Innovate UK assessors come from a mixture of academic and industry backgrounds

- We ensure that our assessors remain anonymous. Your name will not be published, including under Freedom of Information requests

In your role as an assessor, you will…

- Help us to ensure that our assessment process is independent, fair and transparent

- Ensure that Innovate UK (and any co-funders) selects the best proposals for funding

- Provide feedback to applicants that will help them to develop their idea

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Getting started

Create your account

Once a competition is live, Innovation Leads will select assessors from our pool based on their expertise in a particular area. Those assessors will receive an invitation to assess and will be asked to create an account on the Innovation Funding Service (IFS).

Your skills

These innovation areas have been chosen as your current areas of expertise. They will influence the typ____ competition you will be invited to assess. If you would like to amend them or add new ones please cont____ of the Competitions team support@innovateuk.gov.uk.

Innovation areas
- Urban living
- Smart infrastructure

Skill areas

Town Planning, Construction

Assessor type

Academic

Edit

Your details

These details will be used for all accounts linked to your email address.

Your name
Paul Plum

Address

Phone number
054106122665

Email address
paul.plum@gmail.com

Return to assessor dashboard

Declaration of interest

Principal employer and role
University of Sheffield
Professor

Professional affiliations
None declared

Appointments, directorships and consultancies

Organisation	Position
Plum Planning	CEO

Other financial interests
None declared

Close family member appointments, directorships and consultancies

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Contract and DOI will need to be completed online prior to allocation

What happens next?

- Once a competition has closed, we will hold a webinar, where the Innovation Lead will brief you on the competition scope and answer any questions you may have

- Innovation Leads will then allocate assessments to those assessors who have agreed to assess the competition and have attended the webinar

- Allocated assessments will appear on your assessor dashboard

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Assessor dashboard

- You will receive an email notifying that you can review the applications you have been allocated

- Log in to your account

- Select the competition title

Applications assigned to you

- View brief before accepting applications

- You can click the link to read the application and then accept or reject the assessment

- You will have to accept the applications by the date specified

- **If you receive any applications that you do not feel qualified to assess based on your expertise please notify us as soon as possible, so that we can reallocate these**

Sustainable living models for the future

Competition:
▮▮▮▮▮▮▮▮▮▮

Innovation Lead:
▮▮▮

View competition brief (opens in a new window)

Accept applications deadline:
12:00pm Thursday 12 January 2068

Submit applications deadline:
12:00pm Saturday 28 January 2068

Applications for assessment (4)

▮▮▮▮▮▮▮▮ ▮▮▮	Pending	Accept or reject
▮▮▮▮▮▮▮ ▮	Pending	Accept or reject
▮▮▮▮▮ ▮▮	Pending	Accept or reject
▮▮▮▮ ▮▮		In progress

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Rejecting applications

▼ Unable to assess this application?

If you have discovered a conflict of interest or are unable to review this assessment, you can return this application to Innovate UK

Please select a reason for rejecting the competition

Select a reason ▾

Use this space to provide more information

Words remaining: 100

Reject

You can reject applications on IFS

Please select a reason for rejecting the competition
Please enter a reason.

Select a reason ▾

Us

Select a reason

Conflict of interest

Not my area of expertise

Too many assessments

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Conflicts of interest

Direct Conflict – <u>cannot</u> assess the competition	Indirect conflict – can assess the competition, but not proposals with a conflict
You have been directly involved in the writing of the proposal.	You work for or with the company but had no knowledge, involvement, or you do not stand to benefit from the outcome of the application
You are part of the project or feel in any way that you are not able to independently and objectively assess an application.	You previously worked for an organisation or individual named in the application
Feel you could benefit (directly or indirectly) from either scoring the application well or scoring it poorly (for example as a direct competitor)	

To ask advice please email ███████████████

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How to score and provide feedback

Remember…

- You are acting as an <u>individual, independent assessor</u>, not a representative of your organisation. Your scores should therefore reflect your <u>personal expert views</u> against the criteria laid down in the guidance notes

- Do not search for named applicants on LinkedIn, other social media platforms or follow any links provided within the applications as you may identify yourself as an assessor

- You must not share any other information with others and your scoring must be done independently. You must take care to ensure <u>data security</u> at all times

- If you are unable to complete an assessment (for example, you have too many applications to assess, it is not precisely in your area of expertise, etc) please reject the application(s) as soon as possible, so that we can reallocate them to another assessor promptly

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Assessing your applications

- There will be a competition specific assessor briefing webinar for each competition that you are asked to assess on

- Assessments are on the application itself, each project must be considered on its standalone merits and not compared with other applications you are assessing

- You should read the whole application before you start to score it, appendices work best when opened using Safari.

- You will need to provide scores and written feedback for each question

- Ensure you are fair and equitable in your scoring. If you think that your scoring may have changed during the duration of the assessment, go back & briefly review your initial assessments to ensure consistency

It is vital that the process of assessment is respected, endorsed and seen to be both fair and of value. The functioning of Innovate UK competitions are entirely dependent on the project evaluations performed by **individual independent experts**.

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Do: ✓

- Back-up your scores, write at adequate length

- Highlight any points that need further clarification

- Describe the strengths and weaknesses

- Double check any matters-of-fact you quote

- Give clear, precise feedback

- Check your spelling, keep the language professional

- Refer to Innovate UK, not IUK

Do not: ✗

- Paste in sections of the scoring guidance

- Cut and paste the same feedback into different applications

- Cut and paste the feedback into the wrong application

- Give single word feedback or give ambiguous, vague feedback

- Ask questions

- Write in the first person

- Use exclamation marks or use capital letters for emphasis

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Use professional language

"Worst and most outrageous proposal ever seen by this reviewer. No original idea, no contribution to UK economy, total waste of public money, which will hopefully NOT HAPPEN!"

"It's a challenge to work out what they plan to do because it's obscured by wordy nonsense."

Consider how the applicant may interpret your feedback

Avoid ambiguous, vague feedback

"This project does not fulfil the requirements of this call."

"The project would have been better suited to the feasibility funding call last year than this competition."

Consider whether your feedback is constructive, specific and useful for the applicant

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The application form

Getting started

- All the information you need to be able to review the applications is contained within each question

- You can see a detailed breakdown of finances and who is in the consortium

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Assessment overview

Project details

These sections give important background information on the project. They do not need scoring however you do need to mark the scope.

Application details	No score required
Project summary	No score required
Public description	No score required
Scope	

Application questions

Each question should be given a score out of 10. Written feedback should also be given.

1. Business opportunity	Score 6 / 10	✔ Complete
2. Potential market	Score 7 / 10	✔ Complete
3. Project exploitation		
4. Economic benefit		

Assessor scoring matrix

- Guidance is provided

- Scoring is usually 1 – 10 but this can change, please read guidance carefully

- Do not be afraid of the extremes if you believe that the application warrants the score

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Business opportunity

Please review the answer provided and score the answer out of 10 points.

1. What is the business opportunity that your project addresses?

Question score

6 ▾ / 10

Feedback
Please justify your score by writing 2 or 3 sentences which will be returned to the applicant as feedback.

▼ Guidance for assessing business opportunity

Your score should be based upon the following:

9 to 10	The applicants have a very clear understanding of the business opportunity and the problems that must be overcome to enable successful exploitation. The project is well aligned with these needs.
7 to 8	The applicants have a good idea of the potential market and opportunities. The needs of the customer are central to the project's objectives.
5 to 6	The business opportunity is plausible but not clearly expressed in terms of customer needs.
3 to 4	The business opportunity is unrealistic or poorly defined. The customer's true needs are not well understood and are not linked to the project's objectives.
1 to 2	There is little or no business drive to the project. The results are not relevant to the target customers or no customer interests are provided.

Words remaining: 100

Eligibility criteria

- You should ensure you are familiar with the eligibility criteria for the competition you are assessing, including:

  - **Total project costs**
  - **Project duration**
  - **Collaborative vs. single applicant**
  - **Types of organisations eligible to apply**
  - **The number of partners**

- There will be a % limit on the total project costs that can be incurred by research organisations within the project

Grant % rates

Grants are awarded to each individual organisation in a consortium. The amount of funding depends on the type and size of organisation and the activity they are doing on the project.

Organisation / type of activity	Industrial research	Experimental development
Business & research organisations undertaking commercial / economic activity	Micro/Small – 70% Medium – 60% Large – 50%	Micro/Small – 45% Medium – 35% Large – 25%
Research Organisation (non-economic activity)	Universities – 100% (80% of Full Economic Costs) Other research organisations can claim 100% of their project costs	Other research organisations must: • be non-profit distributing & • disseminate the project results & • explain in the application form how this will be done
Public Sector Organisation or Charity (non-economic activity)	100% of eligible costs	Must: • be performing research activity & • disseminate project results & explain in the application form how this will be done • ensure that the eligible costs do not include work / costs already funded from other public sector bodies

• Check out the EU definition of a business (it may affect the grant you are able to claim) http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition_en

• If you are 100% owned by a large parent company as a small subsidiary this means by EU rules you are classed as a large company and will only be entitled to the relevant grant

Project details

Application Details - title, timescales, Research Category, Innovation Area & previously submitted application

Equality, Diversity and Inclusion - external survey the applicants must complete, you will not see the results

Project Summary - short summary and objectives of the project including what is innovative about it

Public Description - description of the project which will be published if it is successful

Scope - How does your project align with the scope of this competition? - if the project is not in scope, it will be ineligible for funding

Scope

- Yes/No answer

- Comments required for both answers

- Guidance is provided

If you mark an application as out of scope this **must not** affect your assessment on the rest of the application

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Scope

Please indicate whether this application is in scope for this competition.

How does your project align with the scope of this competition?

This is the applicant response from Test One for Scope.

Please select the research category for this project

Industrial research ▼

Is this application in scope?

◉ Yes   ○ No

Feedback
Please justify your answer by writing 2 or 3 sentences which will be returned to the applicant as feedback.

▼ Guidance for assessing scope

You should still assess this application even if you think that it is not in scope. Your answer should be based upon the following:

Yes The application contains the following: Is the consortia business led? Are there two or more partners to the collaboration? Does it meet the scope of the competition as defined in the competition brief?

No One or more of the above requirements have not been satisfied.

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Has the applicant selected the appropriate research category for the proposal?

- **Technical Feasibility Studies** - This means analysis and evaluation of a project's potential, aimed at supporting the process of decision making

- **Industrial Research** - This means planned research or critical investigation to gain new knowledge and skills. This should be for the purpose of product development, processes or services that lead to an improvement in existing products, processes or services

- **Experimental Development** - This means the acquiring, combining and shaping of existing scientific, technical and other relevant knowledge and skills. This would be to produce plans, arrangements and designs for your products, processes or services

Applicants are allowed work packages at different levels and a subsequent composite funding rate, but this should be explained and broken down accordingly (e.g. majority of project industrial research but some work packages of experimental development).

Refer to https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants for more information

You should decide on the research category that the majority of the project falls into

Application questions

Detailed guidance available on IFS

Application form		Appendix
Question 1	Need or challenge	No
Question 2	Approach and innovation	Yes
Question 3	Team and resources	Yes
Question 4	Market awareness	No
Question 5	Outcomes and route to market	No
Question 6	Wider impacts	No
Question 7	Project management	Yes
Question 8	Risks	Yes
Question 9	Added value	No
Question 10	Costs and value for money	No

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Finance Summary table

Funding

Finances summary

	Total costs	% Grant	Funding sought	Other public sector funding	Contribution to project
▮▮▮▮ Lead organisation	▮▮▮▮	▮▮	▮▮▮▮	▮▮▮▮	▮▮▮▮
Total	▮▮▮▮		▮▮▮▮	▮▮▮▮	▮▮▮▮

Project cost breakdown

	Total	Labour	Overhead costs	Materials	Capital usage	Subcontracting costs	Travel and subsistence	Other costs
▮▮▮▮ Lead organisation	▮▮▮▮	▮▮▮	▮▮	▮▮▮	▮▮	▮▮▮	▮▮▮	▮
Total	▮▮▮▮	▮▮▮	▮▮	▮▮▮	▮▮	▮▮▮	▮▮	▮▮

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Final question for assessors

- Yes/No answer

- Requires comments for both answers

- Additional comments – these are for internal use but may be released under the Freedom of Information Act

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Do you believe that this application is suitable for funding?

○ Yes   ● No

Your feedback
Please explain your decision with a few sentences. This feedback will be sent to the applicant.

> Large & potentially important project. However, "No" triggered to highlight confusions / inconsistencies in the proposal. If support, greater clarity should be sought.

Words remaining: 100

Do you have any other comments about this application? Your comments here will only be shared with Innovate UK. (Optional)

> Please can Innovate UK double check the research category, as I think this is Experimental Development, but they have selected Industrial Research.

Words remaining: 100

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Completing, saving and submitting assessments

Do not "submit" assessments until all have been completed

- Once you have completed an assessment, save it

- Once all assessments have been completed, you can submit them

- You can submit individual assessments or a group of assessments

Once you have submitted an assessment, it cannot be edited

Applications for assessment (3)

Pending — Accept or reject

In progress

55 %
Overall score
Not recommended — Assessed

Once you have completed your assessment of these applications, use the checkboxes to submit assessments individually or as a series. You cannot edit any submitted assessments.

Submit assessments

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Application questions

Question 1 : Need or challenge

What is the business need, technological challenge or market opportunity behind your innovation?

- What is the main motivation for the project?

- What is the nearest current state-of-the-art? Have you considered those near market and/or in development?

- Describe any work you have already done to address this need

- Identify the wider economic, social, environmental, cultural and/or political challenges which are influential in creating the opportunity.

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Question 2 : Approach and innovation

What approach will you take and where will the focus of the innovation be?

- How will you address the need, challenge or opportunity identified?

- Explain how it will improve on the nearest current state-of-the-art identified

- Where will the focus of the innovation be within the project and do you have freedom to operate?

- Explain how this project fits with your current product/service lines/offerings

- Describe the nature of the outputs you expect from the project and how these will take you closer to addressing the need, challenge or opportunity identified

An appendix may be used to provide graphics/diagrams to demonstrate the innovation in their technology/product/service

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Question 3 : Team and resources

Who is in the project team and what are their roles?

- Describe the roles, skills and relevant experience of all members of the project team

- State the resources, equipment and facilities required for the project and how you will access them

- Provide details of any key external parties, including sub-contractors

- (if collaborative) describe the current relationships between the project partners and how these will change as a result of the project

- Are there any gaps in the team that will need to be filled?

An appendix may be used to describe the skills and experience of the main people who will be working on the project

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Question 4 : Market awareness

What does the market you are targeting look like?

• What is the market(s) (domestic and/or international) that you will be targeting in the project and any other potential markets?

• You should consider:

  the size of the addressable market(s) for the project outcome(s)
  the structure and dynamics of the market, and predicted growth rates within clear timeframes
  the main supply/value chains and business models in operation
  the current UK position in addressing this market

• For highly innovative projects, where the market may be unexplored, explain:

  what the route to market could or might be
  what its size might be
  how the project will seek to explore the market potential

• For other markets, briefly describe the size and key features of those

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Question 5 : Outcomes and route to market

How do you propose to grow your business and increase your productivity into the long term as a result of the project?

• What is your current position in the market(s) and your route to market?

• Who are your target customers and/or end users, and what is the value proposition to them?

• Tell us how you will profit from the innovation and how it will impact your productivity and growth

• Describe how you will protect and exploit the outputs of the project

• Outline your strategy for addressing the other markets identified during or after the project

• For any research organisation activity in the project, outline your plans to disseminate project research outputs over a reasonable timescale

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Question 6 : Wider impacts

What impact might this project have outside the project team?

- What are the economic benefits from the project, to those outside the project?

- Highlight the expected social and/or environmental impacts, either positive or negative

- Explain any expected regional impacts of the project

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Question 7 : Project management

How will you manage the project effectively?

• Outline the main work packages of the project, indicating for each:
The relevant research category
The lead partner assigned
The total cost of each package

• Describe your approach to project management and the management reporting lines

• Outline your project plan in sufficient detail to identify any links or dependencies between work packages or milestones

An appendix may be used to submit a project plan or Gantt chart

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Question 8 : Risks

What are the main risks for this project?

• Identify the key risks and uncertainties of the project, including the technical, commercial, managerial and environmental risks

• Explain how these risks will be mitigated

• List any project inputs on the critical path to completion (such as resources, expertise, data sets)

• Are the outputs likely to be subject to regulatory requirements, certification, ethical issues, etc.? If so how will you manage these?

An appendix may be used to submit a risk register

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Question 9 : Added Value

What impact would an injection of public funding would have on businesses involved?

• Tell us if this project could go ahead without public funding. If so, what difference would the public funding make (such as faster to market, more partners, reduced risk)?

• Describe the likely impact of the project on the businesses of the partners involved

• Why are you unable to wholly fund the project from your own resources or other forms of private-sector funding?

• Explain how this project would change the nature of the partners' R&D activity (and related spend)

Question 10 : Costs and value for money

How much will the project cost and how does it represent value for money for the team and the taxpayer?

- Justify the total project cost and the grant being requested, in line with the project goals

- How will the partners finance their contributions to the project?

- Explain how this project represents value for money for you and the taxpayer

- Justify the balance of costs and grant across the project partners

- Describe any sub-contractor costs and why they are critical to the project

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Returning assessments and what we do with the scores

Returning your assessments

Each application is reviewed by up to 5 assessors. We will use an average of the 5 scores and will review any outliers.

We will decide whether we need to hold a Moderation Panel and be in touch to invite you to attend if we need you.

Our assessment deadlines are always at **noon**. We work to tight timescales, so if you think you may miss the deadline please let us know as early as possible (at least the Friday before the deadline) so that we can reallocate your assessments.

Late assessments cause many disruptions in the process, therefore, if you consistently submit assessments after the assessment deadline you will not be allocated assessments in future competitions

Application assessment

Score Av	Score Spread	Count of No Scope	Count of No Recc'd
84.4	20	0	0
84.4	31	0	1
84.2	31	0	1
84	25	0	0
84	21	0	0

- The score spread shows the difference between the top and bottom scores

- If score spread is 30 or more, we will look to see if an outlier is apparent

- If there is a 3 or more appear in either the two columns **Count of No Scope** or **Count of No Recc'd** we review the applications feedback and if justified, the application will not be eligible for funding

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Identifying outliers

Scope?	Recc'd?	Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10		Total
true	true	9	8	10	10	9	9	10	9	10	9		93
true	true	9	9	8	7	10	7	8	10	9	10		87
true	false	5	6	7	6	6	7	5	7	7	6		62
true	true	8	8	9	9	9	9	9	9	9	9		88
true	true	10	8	9	9	10	10	8	9	10	9		92
	Average	8.2	7.8	8.6	8.2	8.8	8.4	8.0	8.8	9.0	8.6		84.4
	Spread	5	3	3	4	4	3	5	3	3	4		31

- The **green** box = particular assessor scores on an application
- The **purple** box = set of scores for a particular question
- The **red** box = at first glance this looks like an outlier

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Case studies

Applications:

You will have received two case studies by email alongside this presentation (each containing 1 application, 3 appendices, 1 assessor guidance). The information contained within the case studies are from submitted applications.

The assessor guidance is tailored to each case study to help you score the responses to the questions. Please read through the entire case study and think how you would score the responses and what feedback comments you would provide.

There will be a poll at the 'live' Q&A session, where we will go through what the applicants scored for three questions on each of the case studies. This should help you to gauge how your scoring and feedback may differ or be in line with others.

We will focus on:
• Case study 1: questions 2, 5, 6
• Case study 2: questions 1, 5, 10

The relevant assessor guidance for these questions is highlighted in purple to assist you.

Additional information

Invoicing

- The assessment rates can be found in the guidance on IFS. Once you have completed your assessments, you must submit an invoice for your work within 30 days of the assessment deadline. Invoices should be sent to ███████████████████████

- Receipts must be provided for all expenses and must be justified. If missing, your invoice will not be processed

- When submitting your invoice, please use the template provided and:

  – Use a maximum of 6 characters in your invoice number, ensure each invoice you submit is numbered differently

  – For VAT claims, include your VAT number

  – Use your full name and/or company name to help us identify you

Please note that our Finance Team will be contacting you to verify the bank details on your first invoice

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Where to go for further information

Innovation Funding Service:
https://apply-for-innovation-funding.service.gov.uk/competition/search

Funding rules:
https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules

Project costs:
https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance

Useful contacts

Conflicts, assessment issues, invoice submission or related queries

Applications & Assessment Team

e-mail: ███████████████████████████

General competition related queries (including IFS system queries)

Customer Support Service

Tel: 0300 321 4357 (lines open Monday - Friday, 9:00am - 11:30pm then 2:00pm-4:30pm)

e-mail: support@innovateuk.ukri.org

Thank you for taking the time to complete this part of the Assessor Induction, we look forward to seeing you at the 'live' Q&A!