

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.



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 Your name will not be published, including under Freedom of Information requests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



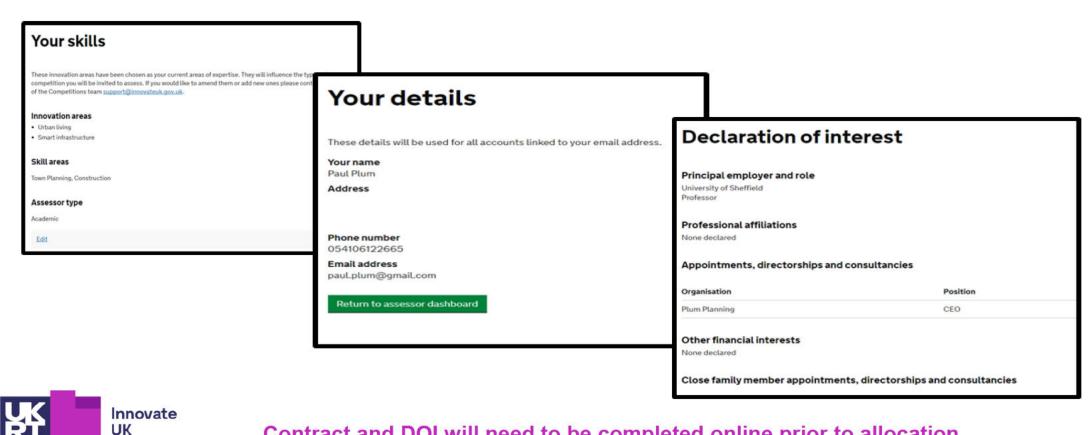




Getting started

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).



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

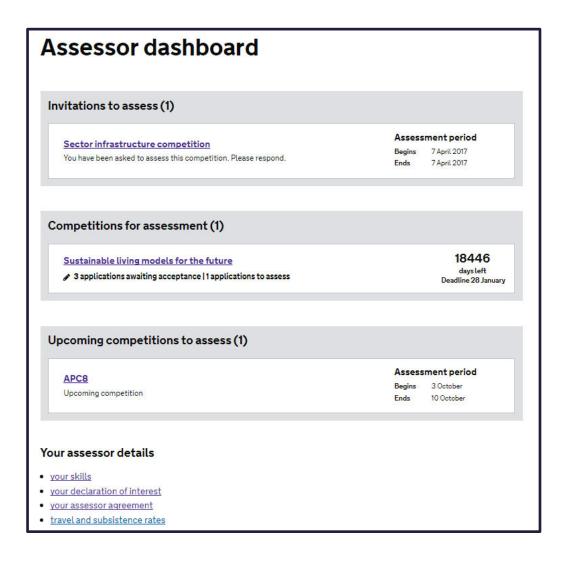
What happens next?

- 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



Assessor dashboard

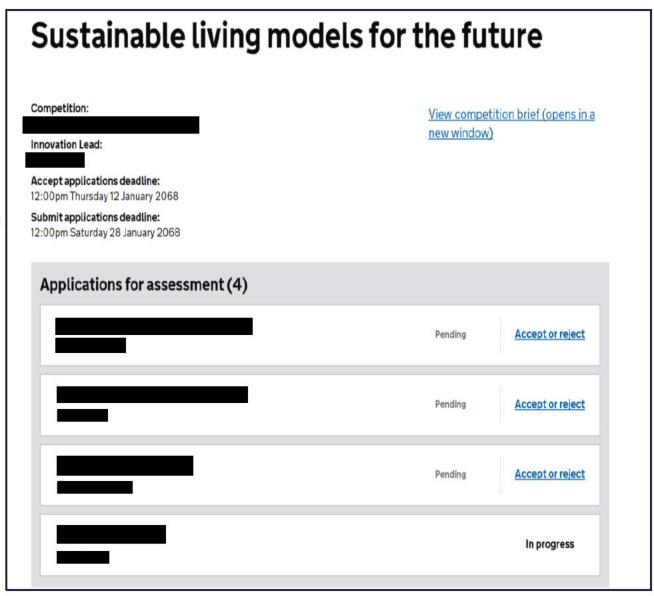
- You will receive an email notifying that you can review the applications you have been allocated
- Log in to your account
- Select the competition title





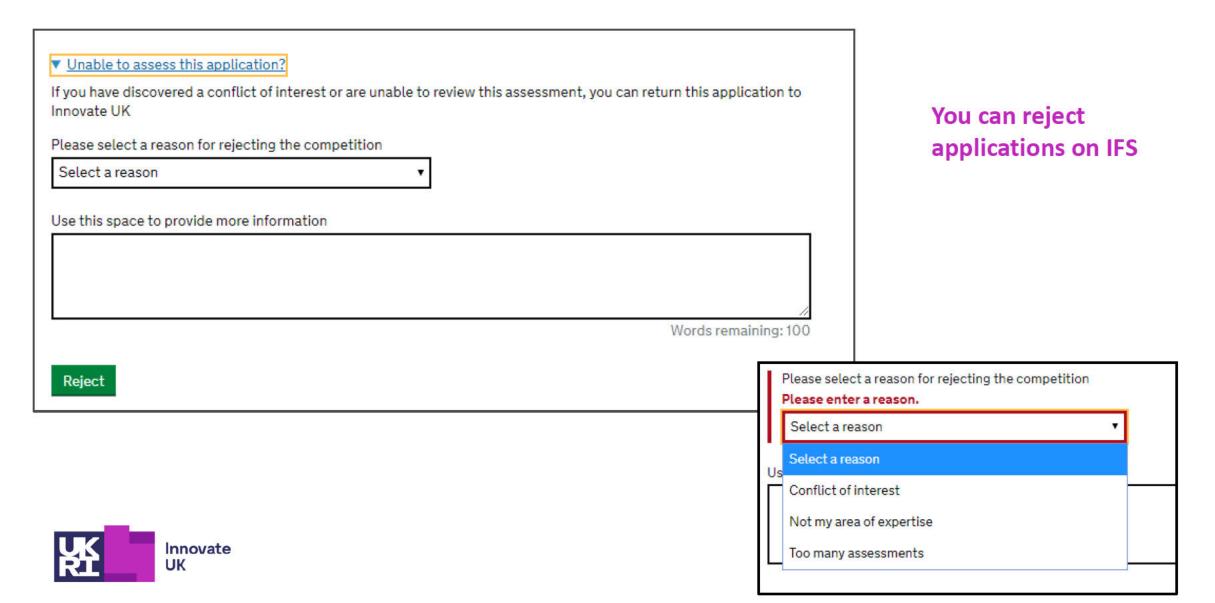
Applications assigned to you

- 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





Rejecting applications



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





How to score and provide feedback

Remember...

- You are acting as an <u>individual</u>, <u>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



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**.





- 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





- 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

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



Avoid using questions

Developing concrete fibre roof tiles with a lower carbon footprint. Will these tiles be lower cost? What will make the conservative building industry buy the tiles? What is the user driven "unmet need"?

Please break down the cost? High value project needs a lot more to convince this assessor there is value. How much project staff, what about data acquisition and correlation is this free of charge?

The applicant may not have the opportunity to respond to queries



Address your feedback to the applicant, not Innovate UK



"Costings seem reasonable –
however I am concerned that total
costs exceed £250k as I thought this
was the limit for total project cost.
This is flagged for internal discussion
at Innovate UK as in general this
proposal is of high quality."

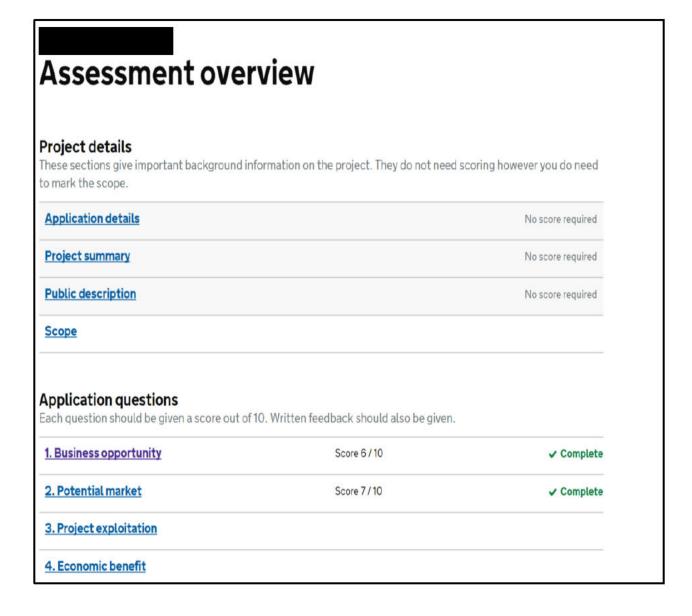
If you want to highlight a concern about an application to us, please email us before the assessor deadline



The application form

Getting started

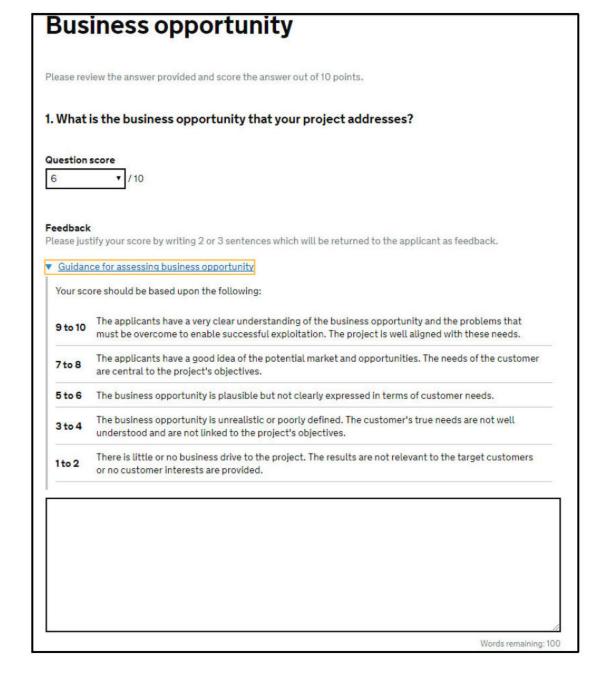
- All the information you need to be able to review the applications is contained within each question
- You can see a detailed breakdown of finances and who is in the consortium





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





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)	• disseminate project results & explain in the applica	



- 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



Diana	
Please	indicate whether this application is in scope for this competition.
How	does your project align with the scope of this competition?
This is t	the applicant response from Test One for Scope.
	select the research category for this project
Indust	trial research •
Is this a	application in scope?
(Y	es No
lacksquare	
Feedba	ack
Please	justify your answer by writing 2 or 3 sentences which will be returned to the applicant as feedback.
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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



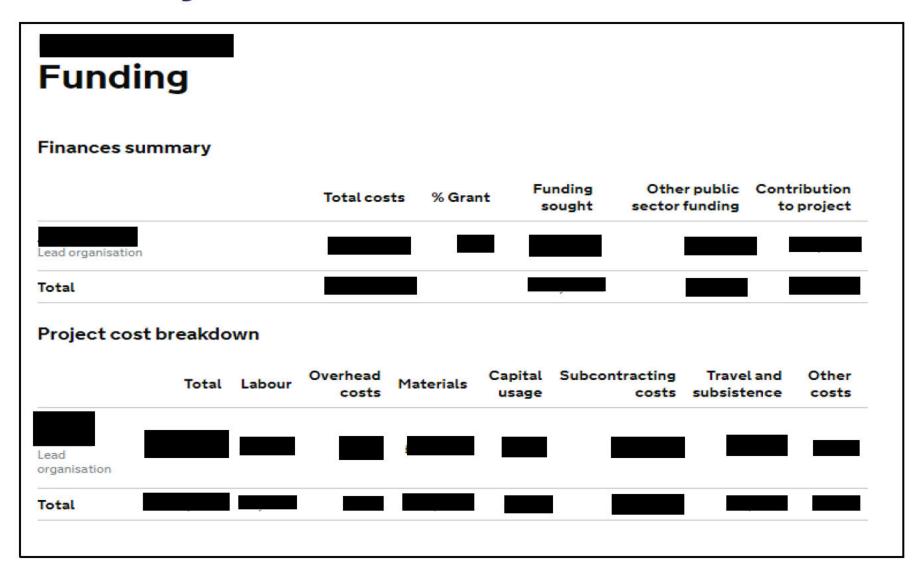
Application questions

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



Finance Summary table





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

Do you believe that this application is suitable for funding?





) 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.



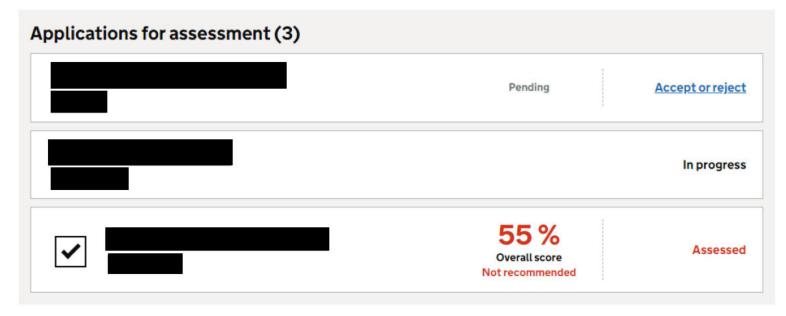
Words remaining: 100

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



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





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.



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



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

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



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



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



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

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?



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





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	Count of No Count of N				
Score Av	Spread ▽	Scope 💌	Recc'd <u></u> ✓			
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



Identifying outliers

Scope?	Recc'd?	Q1 Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q1	0	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





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



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!

