



Department for Business, Innovation & Skills

University Enterprise Zones Pilot

Application Form

January 2014

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1. SUMMARY INFORMATION

Applicants should refer to the Guidance for Bidders before completing this form. It provides details of the criteria which will be used to assess the bids, and details which you are required to provide as part of the application.

This form is designed to allow you to expand text boxes as required, so there is no word limit per question. However, applications should not exceed 11 pages, including the cover page. Annexes are permitted, though they should only contain relevant additional supporting documents, and any key pieces of evidence should be summarised clearly.

The document must be in Arial Size 12 Font.

1.1 Applicant Details

University name	Newcastle University Durham University
Address	
Lead contact name	
Direct telephone number	
E-mail	

1.2 Brief Project Summary

Brief description of project	<p>The North East Strategic Economic plan with its strapline "More and Better Jobs" places innovation and innovation hubs at the centre of the LEP economic strategy. The North East needs more business startups, especially those created by younger entrepreneurs. Nationally, the region has the lowest take up of the 'startup loans for young entrepreneurs scheme', evidenced in 2013 data that cites only 3% of loans had gone to startups in the North East compared to 34% in London. By implementing the proposed UEZ, the two Russell Group universities in the North East can make a significant step change to address this.</p> <p>Through the existing framework of the Angel Alliance, we will establish a University Innovation Corridor through the area covered by the North East LEP. It will be a mirrored structure between Newcastle and Durham Universities, in collaboration with Newcastle Science City and Business Durham, to establish both on-site and move-on incubation facilities associated with the universities. It will provide both graduating</p>
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	<p>students and academic staff and their industrial partners with commercial development pathways.</p> <p>In Durham we will build an incubator wing onto the new Centre for Innovation and Growth Hub to enable technology startup businesses to work in direct association with academic researchers and technologists of larger companies located in the Hub.</p> <p>At the NETPark Science Park, we will renovate and refurbish accommodation within the NETPark Research Institute, providing a similar level of interaction between early stage businesses and university research. The objective is that businesses incubated in Science Central or the Hub will be able to make an easy transition to grow-on space at either Science Central or NETPark, depending on the business benefits and needs.</p> <p>In Newcastle there will be three elements</p> <ul style="list-style-type: none"> - We will refurbish an existing building to extend the creative space available on campus for entrepreneurial students and graduates to meet and develop new ventures - We will construct an iconic building that will provide an early presence on Science Central and will provide local enterprises with the opportunity to work alongside industry partners and researchers, supporting the development of SMEs and startups - We will collaborate with Newcastle City Council to construct a new building on land on or adjacent to Science Central. This will deliver lab/office space that can support businesses with these specific accommodation requirements.
Total project cost	£12m
Amount of funding applied for	£4m
Amount of additional co-investment	£8m

2. PROJECT PROPOSAL

Provide an outline proposal for a pilot University Enterprise Zone. This should describe where the zone will be located, strategic context for its development, the concept for the zone (e.g. sector or technology specialism), the existing infrastructure and the partnership involved in developing it. It should describe any proposal to build incubator and grow on space as part of the University Enterprise Zone pilot and details of the offer to businesses. It should also set out arrangements to meet operating costs.

The Angel Alliance University Enterprise Zone

Within the existing framework of the Angel Alliance, we will establish a University Innovation Corridor through the area covered by the North East LEP. It will be a mirrored structure between Newcastle and Durham Universities, in collaboration with Newcastle Science City and Business Durham, to establish both on-site and move-on incubation facilities associated with the universities.

The area covered by the North East Local Enterprise Partnership exhibits some of the worse social deprivation indicators in the United Kingdom. The employment rate in the North East LEP area is (October 2013) 66.5% compared with 71.8% nationally and the unemployment rate is 10.3% compared with 7.7% nationally. Job Seekers Allowance claimants represent 4.7% of the population compared with 3.2% nationally. It has the lowest number of businesses per head of population (623 per 10,000 inhabitants) of any region, very substantially below the England average of 984 per 10,000 inhabitants. [Business Population Estimates for the UK and Regions 2013, Dept. for Business, Innovation and Skills]. The need to increase the number of jobs, and by implication the number of businesses, in the North East LEP area is recognised in all strategic documents emanating from the North East LEP and bodies such as the County Durham Economic Partnership. In particular there is a drive to create new high growth businesses by embracing the concepts of open innovation and developing an environment which is supportive of innovation in all its forms.

In 2008, Newcastle and Durham Universities signed a memorandum of understanding to work in partnership to maximise the impact of the scientific discoveries being made at both institutions for the benefit of the North East. It was signed beneath the Angel of the North statue, which represents the boundary between Tyneside and County Durham, and thus became known as the Angel Alliance. The partnership focuses on enhancing the research base and turning academic research into commercial success. The Angel Alliance builds on the long-standing expertise and an impressive track record in both universities in creating spin out companies from the creative ideas of both students and staff.

The Angel Alliance structure has provided the basis for collaborative projects supporting the translation of technology from the non-clinical to the clinical sector through direct engagement with the clinical base of the regional NHS Foundation Trusts including the Newcastle upon Tyne Hospitals NHS Foundation Trust, County Durham and Darlington NHS Foundation Trust and South Tees Hospitals NHS Foundation Trust alongside Newcastle University's Faculty of Medical Sciences. A highly successful £2.6m EPSRC funded Knowledge Transfer Account to take research outputs from the physical sciences and engineering into the healthcare sector through the clinical base had Business Development Managers (BDMs) working equal time in each university. The formal university employer of any specific BDM was transparent to academic staff. For many years there have been regular joint meetings of technology transfer staff. In addition to

much formal academic collaboration, for example the ESRC North East Doctoral Training Centre and the AHRC Northern Bridge Doctoral Training Partnership, the universities have collaborated closely on provision of support for graduate startup businesses. This has been exemplified by the North East Universities Business Planning Competition, Blueprint, in which Durham and Newcastle have played principal roles.

Durham and Newcastle have a long-standing history of close working between their Technology Transfer operations. This was initiated in 2001 through the HEFCE funded joint Northeast Centre for Scientific Enterprise and continued close liaison and exchange of best practice that continues to this day.

The present proposal is to extend further this collaboration by provision of incubator space and science labs and offices on Science Central in Newcastle and incubator space on the Durham University Mountjoy site in Durham City and at NETPark in Sedgfield.

Figure 1 (attached) illustrates the concept

The key advantage of the mirrored partnership approach is that the location of university incubation is determined by the long term business priorities and needs. Businesses arising or aligning with the Durham or Newcastle University research bases can use the local university incubator facilities, and, dependent upon the longer term business needs, can be incubated at either facility. The decision would depend on the precise facilities needed and match to specific university expertise. As businesses develop, growth and move-on space will be available through the partnership supported by science park provision through access to Newcastle Science City's Science Central development, Business Durham's NETPark, and the Centre for Process Innovation's (CPI) incubation facilities to support printable electronics. Where access to process development and larger chemical plant is needed, use can be made of the High Value Manufacturing Catapult through CPI's incubation facilities (based at Wilton within the adjacent Tees Valley LEP). Again, the business needs would determine best location and it might be that some companies move from science park to science park as their business develops. The provision of coordinated business support involving all partners will provide the mechanism through which facilities can be best aligned with individual business needs.

Co-ordinated support mechanisms will also be applied to student startup activity arising from the two universities. This will include some common elements of business support, cross-university exchanges and the ability for student startups to align with either university's incubation facilities as best fit their long-term needs. Similarly student businesses will have the same options for growth and move-on space through the partnerships with Science Central, NETPark and CPI respectively.

At Newcastle University we will extend the space available for our established 'Rise Up' programme that offers support and mentoring for students and graduates. Last year 'Rise Up' created 32 new businesses creating over 50 jobs. By refurbishing an existing building on campus, the University will provide vital space to aspiring entrepreneurs to allow them to nurture their fledgling ventures in a pre-incubation 'hatchery' environment. After a period of time, these companies can then access grow-on space on Science Central, freeing up space for the next wave of student and graduate entrepreneurs. The building selected to be refurbished is a Grade II listed building (Claremont Building) and is adjacent to the current 'Rise Up' facility. The refurbishment will thus repurpose an historic inner city building and use it to facilitate the development and growth of new businesses. A total of 330 square meters will be available over two floors.

In order to accelerate the provision of an early presence on Science Central we will deliver a lightweight fabric and timber structure ("The Beacon Building"). This is an important part of the University's vision for the site; an exciting space for engagement, multi-disciplinary research and learning. The structure itself will be a research and engagement tool linking the urban, sustainability and digital themes, facilitating new collaborations and new businesses. The innovative nature of the structure itself will allow a 450 square meter building to be delivered in 12 months. The completely open-plan space will provide maximum flexibility to accommodate numerous uses including accommodation for startup businesses, innovation 'sandpits', workshops, and multidisciplinary teams working together for days or months. Specific initiatives that could be included are an Urban Observatory, Decision Theatre and a Smart grid lab. These areas will provide opportunities for high tech spin out companies in addition to attracting SMEs who wish to access university expertise to facilitate their development and growth.

The third element at Newcastle will be collaboration with Newcastle City Council in constructing a second commercial building on land on or adjacent to the Science Central site. This will provide science labs and office space. This will help ensure that there is a smooth pipeline of accommodation on site to market to potential occupiers from the region and also from outside the region. The central location of the site (10 minute walk to the University, City Council, high street and train and bus stations) make it a wonderful base for co-locating with university academics and students, and science-based businesses. This new building will complement the facilities that Newcastle University and Newcastle City Council have already committed to build. The first building "The Core" is scheduled to be operational by September 2014. The University's first building is due to open in 2017 and is part of a £50m commitment that the University has made.

At Durham, we will build a 'hatchery'/incubator wing of 700 square meters floor space over 2 storeys onto the Centre for Innovation and Growth Hub, located on the Mountjoy Site in Durham city. This will accommodate a 100 square meter hatchery to accommodate 8-10 prestartup businesses on a supported hot-desk basis with up to 6 x 25 square meters pre incubation units plus up to 6 larger 50 square meter incubator units for technology focused activity. The Centre for Innovation and Growth is at an advanced stage and has recently received its first £10m funding from the North East LEP's North East Investment Fund. It also features in the strategic ERDF programme of County Durham's submission to the North East LEP of the County's Transition Region ESIF bid. High growth companies emerging both from the graduate startup support programme of the Durham Careers, Employability and Enterprise Centre and spin-offs coming from the research base through Durham Business and Innovation Services will have office space provided in a building equipped with advanced laboratory space, in which scientists from large and small technology companies will work alongside university academic staff. The provision of this shared accommodation will enhance the innovation environment, not just because of the opportunity to rent laboratory space on a variety of timescales, but also to interact informally with established practitioners in technology-based companies. We envisage that part of the space will be in an open-plan 'hatchery' format, mirroring the proposed Newcastle 'Rise Up' facility. The other part will be separated into distinct offices which will be used by formally established businesses, most of which will have emerged from the Kick-Start programme of the University's Careers, Employability and Enterprise Centre. (Redaction)

The North East Technology Park (NETPark) is located in Sedgefield, 15 miles south of Durham city and mid-way between Durham University's Stockton and Durham

campuses. There is a frequent public transport service between all three sites. It incorporates an incubator for technology companies, two Discovery Buildings for more mature companies and several buildings housing independent units such as the Kromek Group plc and CPI. At NETPark, Durham University has a Research Institute, established in 2004, which is the home of the Centre for Advanced Instrumentation, itself a world leader in building instruments for astronomy and space science. More recently, through its Centre for Precision Optics, the group has provided ultra-precision machining services to a variety of small companies, principally, but not exclusively, in the field of optical components.

Redaction

The arrangements for meeting operating costs have been agreed in outline. Some income will derive from tenants who acquire accommodation in the facilities mentioned. A proportion of the operating costs will be met by the two universities. Further funding to support the expansion of the student and graduate enterprise activities will be sought from appropriate sources.

3. PROJECT OBJECTIVES AND DEMAND FOR SERVICES

3.1 Project Objectives

What are the objectives for the project and how do they fit with wider Government objectives?

The project objectives are :

- (1) To provide a step change in business incubation and support for businesses aligning with Newcastle and Durham universities' research strengths**
- (2) To provide the opportunity within the North East LEP region for innovative university staff and graduates to develop their ideas into businesses within the region, retaining and developing high-level skills.**
- (3) To incubate and develop science-based businesses and creative industries in the areas identified in the North East LEP Innovation Strategy.**
- (4) To grow these businesses with increased employment and turnover, including those that attract inward global investment.**

Redaction

3.2 Demand for services

What demand is there for the services being proposed and what evidence is there that there is a market failure that needs to be addressed?

The success of the 'Rise Up' programme at Newcastle University is leading to increased demand, but constrained capacity, from students and graduates for space to inspire and shape their ideas. There is a clear demand for hot-desking space, structured bookable/allocated space and 'maker space/rapid prototyping facilities'. With these early stage ideas a rent-free period in a 'hatchery' environment on campus is better preparation than moving straight to the kind of space and rent that will be available on the Science Central site. We would also establish joint programmes of activity and support with colleagues at Durham and would welcome the opportunity to set up a structured shared mentoring scheme and greater interactivity between the student communities and societies.

The Science Central site in Newcastle is a 20.7 acre location with the first building ("The Core") scheduled to be completed by September 2014. This building, owned by Newcastle City Council, will provide the university with accommodation to develop a Continuing Professional Development centre. However, there is a need to provide a suitable space to allow researchers, SMEs and startups to collaborate in an open innovation environment that is conducive to generating and exploring cutting edge research that will lead to the creation of new enterprises. The 'Beacon Building' will provide this environment and will accelerate the presence of an engagement and growth facility on Science Central thus bringing forward the creation of new businesses and jobs.

A report was commissioned on the assessment of demand in Newcastle for lab facilities and incubator space for life science startup companies and service providers. The findings of this report (dated December 2013) indicate that there is a lack of both incubator space and grow-on space for new startups and university spin-outs within Newcastle. The lack of grow-on space for established start-ups exacerbates the lack of incubator space for new startups. The longer established startups have nowhere to relocate and subsequently use the same space that could be made available to new companies. The needs of established companies take precedence over providing space for new startups. The report also found evidence of new startup companies and companies not yet fully established that have failed to secure suitable facilities in Newcastle because of a lack of incubator space. The result is that new life science companies with established connections to the city are being turned away.

There are no incubation or pre-startup facilities in Durham city. Early stage university startups have historically had to rent space within university departments. This space is at a premium for teaching and research and the businesses have to be quickly moved on, often a painful process. Durham is routinely approached by external businesses seeking space on campus to be close to facilities and research teams. These requests generally have to be declined due to priority allocation of space to core research and the lack of dedicated incubation space.

Durham has a growing student enterprise culture with over 200 students engaging in our Blueprint student business planning programme this year. This probably equates to about 100 embryonic business proposals. Ten student businesses were setup in 2012/13. Most of these were established outside of the region as the lack of appropriate local facilities presented a barrier. This supports the rationale for the UEZ and provision of incubator space within Durham city to enhance the number of startups that stay within the region.

The County Durham Plan has expansion and development of Durham city at its heart so a city incubator development would be entirely consistent with this

Discussions with Durham student startups has suggested that a supported open plan hatchery similar to that described above in Newcastle would be appropriate for early stage pre startups, with small 25 square meter units for businesses to expand into as they become established

Redaction.

4. FINANCIAL INFORMATION

4.1 Co-investment

What is the indicative amount, nature and source of co-investment (this should be at least twice the amount of funding applied for)? You will be required to provide proof of the co-investment details.

BIS investment sought £4m

Redaction

4.2 State Aid Compliance

Does your proposed investment comply with State Aid rules?

Yes

5. STRATEGIC PARTNERSHIPS AND OBJECTIVES

5.1 Local Enterprise Partnership

Demonstrate how this proposal contributes to the Strategic Economic Plan being developed by the relevant LEP.

1) The North East Independent Economic Review led by Lord Adonis for the North East Local Enterprise Partnership (North East LEP), concluded that our region has a low intensity of research and development, and recommended that innovation should be a priority for local partners. In response to this challenge, the North East LEP Board has placed innovation at the centre of proposals to drive economic growth. The draft Strategic Economic Plan (SEP) was submitted to Government in December 2013. Its title sums it up as 'More and Better Jobs'. Creating a more entrepreneurial culture is essential for this.

The UEZ with its emphasis on high-tech companies in their early stage of growth provides direct support to this innovation agenda

2) The vision of the North East businesses, as expressed through the (business-led) North East LEP Board, is that of an economy which can generate more and better jobs. This requires a strong private sector with an entrepreneurial spirit, which can grow and increase demand for those jobs, but also the development of high value added activities which can support more productive (better) jobs.

The UEZ provides the facilities and support for the best high growth startups to work in close proximity to the university partners. It establishes a broad geographical and conceptual innovation corridor linking the North East LEP and Tees Valley LEP areas. It provides best access to the facilities needed by the companies, whether these reside in Newcastle or Durham and the subsequent grow-on space through partner Business Durham's NETPark offering or facilities offered through Newcastle Science City. Through CPI's base on NETPark it links to the chemical manufacturing incubation facilities of CPI at Wilton on Teesside.

3) The draft SEP identifies innovation as a key stimulus to entrepreneurial approaches in businesses and communities, which deliver commercial success and social change. The importance of the commercialisation of ideas means that this will be delivered through a predominantly business-driven process.

To achieve this vision, the SEP has set out a number of priority actions. One of them is the facilitation of highly effective innovation activities within the region by building innovation hubs and supporting innovation-centric businesses, small and large.

The SEP places great emphasis on open innovation and innovation hubs aligning well with the LEP business engagement strategy. Both Durham's Centre for Innovation and Growth and Newcastle's Science Central are both called out specifically in the SEP as emerging assets and existing plans in this area.

4) The North East LEP will invest up to £100m European structural funding in innovation. Key programmes that are of relevance to the UEZ will be the two

proposed £25m catalytic innovation programmes. It is anticipated that the UEZ will support a number of the businesses that will work with the Universities to deliver aspects of these programmes.

5) The North East LEP Independent Economic Review also highlighted the importance of capitalising on those capacities where we have a globally leading-edge, or areas of Smart Specialisation. Through an in-depth study for the North East LEP a series of areas of such specialisation have been identified. This includes a broad range of technology areas in which the two north east research intensive universities show national research leadership. In the recent Witty review Durham and Newcastle were placed in the top 20 in the following areas and it is anticipated that a proportion of the business startups would be associated with these themes:

Advanced material and nanotechnology (D), Agri-science(N), Agri-technology (D,N), Automotive (N), Big Data (N), Energy Storage (N,D), Life Sciences (N), Oil and Gas (D,N), Offshore wind (D), Regenerative medicine (N), Satellites (D)

5.2 Wider strategic plans

Demonstrate how this proposal fits with the wider strategic plans of the relevant university or universities.

The proposal maps onto Newcastle University's Vision 2021 – A World-class Civic University. Specifically, it will support our aim of playing a leading role in the economic, social and cultural development of the North East of England. In terms of our engagement strategy, it will contribute to our objective to develop and implement the concept of Newcastle Science City. A demonstrable component of this will be to increase partnerships with companies through collaboration based on skills, know-how and inventions and knowledge transfer. Finally, it will support our aim to establish Newcastle University in the minds of prospective students as the best place to develop their entrepreneurial potential and to remove barriers to exploring ideas and starting a sustainable business.

The proposal shows close alignment with Durham University's 2010-20 strategy and maps directly to the following objectives

- Core Value "to create communities in which critical thinking and creativity are combined with opportunities for personal growth and development, so that all can realise their full potential"
- Sustainability Aim 1: To be a socially-responsible institution, working with partners to enhance economic and social development internationally, nationally and locally
- Research Aim 3: To shape and respond to international, national and local research agendas
- Education Aim 1: To provide an academic education that is research-led and transformative
- Education Aim 2: To provide our students with outstanding and distinctive opportunities for personal development, ensuring future success and employability
- Education Aim 3: To ensure a diverse and international student experience

6. INDICATIVE PLAN AND MILESTONES

6.1 Provide an indicative plan that shows the timetable for the establishment of the zone and the delivery of the facilities.

Grant Award June 2014

Durham/NETPark Builds:

Project brief and procurement of integrated design team. June - Sept 2014

Concept Design Sept- Oct 2014

Technical Design Oct 2014-April 2015

Planning Oct 2014-April 2015

Procurement contractors. Single stage design and build Oct 2014-June 2015

Construction phase June 2015-July 2016

Handover and close out July 2016- Sept 2016

The refurbishment of the proposed 'hatchery/pre-incubation' building in Newcastle is estimated to take about 18 months. Listed building consent would be required. Assuming this is granted then the facility should be available around January - February 2016

The Beacon Building on Newcastle Science Central is an innovative design and construction and can be delivered within 12 months.

- Brief definition and concept design (6 weeks) - Aug 2014
- Design and Tender (14 weeks) - Dec 2014-Jan 2015
- Construction - (26 weeks) - May - June 2015
- Fit out and commission - (6 weeks) July 2015

Science Labs and Offices (in collaboration with Newcastle City Council): Initial planning indicates that if funding was granted mid-2014 the project could be delivered starting 2015-16. All necessary approvals are in place or being progressed and there is a high degree of confidence that approvals will be granted. Outline planning permission has already been secured for the Science Central site so detailed permission is not a problem. The intention is to procure the design and construction of the building using NEPO frameworks, to shorten the procurement timescales as much as is reasonably possible.

6.2 Predicted spend profile

Outline the predicted spend profile during development, demonstrating that the award will be spend across the three year period

The predicted spend profile is still being finalised. The estimated breakdown of the total £12m funding is as follows:

Redaction

7. RISKS AND CONTINGENCIES

Outline the risks (management, financial, commercial), strategies for their mitigation, and contingency planning. Please add additional lines to the table as required.

No.	Risk	Mitigation
1	Failure to complete building works on time due to unforeseen delays	Ensure contingency built into development programme. Minimise time taken to take key decisions
2	Failure to ensure sufficient numbers of occupants are attracted to the initiative to justify the investment	Work closely with the LEP, Business Durham and Newcastle City Council to define and market the offering
3	Lack of support for student and graduate enterprises	Build on existing programmes in both universities to clearly define how the joint initiative will add greater value. Seek additional operational funding to supplement the capital investment
4	Lack of engagement between the universities and startups/companies attracted to the innovation corridor	Define clearly the range of funding and other supports available to companies to facilitate interaction with universities, a prime example being KTP
5		

8. DATA PROTECTION ACT

BIS is subject to the Freedom of Information Act 2000, which gives a public right of access to information held by a public authority, which may result information arising from this work, or the outputs from the work undertaken being subject to disclosure if a valid request is made. We will comply with such requests in accordance with the legislation and our own policies.

Institutions can if they wish provide potentially sensitive information (such as information relating to commercial interests) in a separate annex attached to the application form. This will highlight to us that there are concerns about disclosure.

Where we consider it to be appropriate and practicable we will seek views of applicants before disclosing this information in response to a Freedom of Information request. The applicant acknowledges that the information provided in the annex is of indicative value only, and that BIS may nevertheless be obliged to disclose this information. Our assumption will be that all information in the main application documents can be disclosed on request.

9. DECLARATION

I declare that the information in the application form and accompanying documentation is correct to the best of my knowledge and belief

Signed.....

Name.....

Position.....

Date.....

Now email this application to uez@bis.gsi.gov.uk. The deadline for this application to be received by BIS is 5pm on 31 March 2014.

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Any enquiries regarding this publication should be sent to:

Department for Business, Innovation and Skills
1 Victoria Street
London SW1H 0ET
Tel: 020 7215 5000

If you require this publication in an alternative format, email enquiries@bis.gsi.gov.uk, or call 020 7215 5000.

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