

**Pre-submission Questions:**

Q1. Where are the rules for participation?

A. Guidance on the rules for participation can be found in the 'How to Apply' section. For clarification of particular issues contact the DTI enquiries number 020 7215 5000 and they will forward you to someone who can help.

Q2. Where do I get an application form?

A. Application forms are available via the 'How to Apply' section. We expect all proposals to be submitted electronically, and only in exceptional circumstances will we accept paper applications.

Q3. If I apply, do I have to fill in lengthy forms?

A. Applications will be assessed through a two-stage process. To submit to the first, outline stage, all you need to do is complete the Outline Application form. This seeks the minimum information on which a reasoned assessment can be made. More detail will be necessary if you are invited to submit a full application and later invited to a financial review of project costs.

Q4. Does the DTI help put Applicants together (marriage broker)?

A. Sector team managers at the DTI may undertake promotional activities to bring Applicants together, additional to the general advertising of the Programme and the Call should they feel the need. For more information on this contact the enquiries line on 020 7215 5000 and they will forward you to the relevant sector team. However, the DTI does not carry out a comprehensive service of this nature.

Q5. How do potential EUREKA projects apply?

A. By completing an outline application form and stating in the Title and Abstract of the form that they also wish this to form part of a wider EUREKA project. Such EUREKA associated proposals will still be assessed nationally under the two stages for the Technology Programme and must fall with the Technology Priorities of the Call. In future we expect to see greater synergy between National and EUREKA areas, although for the first few calls of the Technology Programme this is not likely to be the case.

Q6. What if I have a project that does not fall into any of the Technology Priority areas identified in the April 2004 Call?

A. Your project will only be considered if directly relevant to the Call. For future calls we will be introducing 'wild-card' applications to ensure that the most innovative projects don't fall through the gaps, but criteria for assessment of these projects will be particularly demanding.

Q7. What if my research partners are not in the UK?

A. In exceptional circumstances collaborators outside EU are acceptable – there must be a clear and substantial gain for the UK brought about by their involvement. If you are in doubt, contact the DTI enquiries line on 020 7215 5000 and they will forward you to someone who can help.

Q8. Where am I required to exploit?

A. The Indicative Offer Letter, available from the 'How to Apply' section of the website, sets out the rules for exploitation.

Q9. What's the difference between Collaborative R & D and LINK?

A. LINK is an on-going framework for Collaborative R & D project and it is still used widely across Government. DTI's Collaborative R & D product builds on the best of the LINK scheme, but introduces funding for business-to-business collaborations and nearer to market projects. In the future, we would expect Collaborative R & D to attract co-funding from Other Government Departments too.

Q10. How soon can the project start?

A. As soon as possible and practical so long as you have a valid offer letter and all the collaborators in your project are in agreement. From the close of the Outline Call it will take approximately 24 weeks before offer letters are issued.

Q11. How big can a project be?

A. There is no theoretical maximum or minimum limit – each project will be assessed according to the same criteria – but at a rough guide we are seeking projects in the £2-5M range. More information on the types of projects required in each technology area is available in the Open Calls section.

Q12. How many partners can there be in a consortium?

A. There must be at least two partners in a consortium, but there is no upper limit. Proposals will need to explain the role(s) of each of the project partners and what

value that partner will be adding to the project and the exploitation of its outcomes. An unduly large group may be unwieldy in practice.

Q13. What are the arrangements for security of on-line submission?

A. Particularly sensitive information may be sent separately by hard copy with an explanation. However, maximum usage of on-line submission is sought in accordance with existing DTI security procedures and Government targets for e-govt.

Q14. What are the rules for sharing research ideas?

A. Successful projects will be required to agree a Collaboration Agreement. A suggested template will be supplied by DTI and will shortly be available on the website. Sharing research ideas may be best done under this Agreement.

Q15. What definitions of research and development are being used?

A. For full definitions see the Guidance for Applicants under the 'How to Apply' section.

Q16. How much of the bid becomes public? And if so, when?

A. For the April Call, the project title and abstract of all projects that are funded will be placed in the public domain. The names of the project partners would be expected to be included also, but the DTI will respect the wishes of the partners if they do not want their names disclosed.

Q17. Who owns the IP of the project?

A. This is entirely the decision of the collaborative partners, but must be agreed before the project commences.

Q18. What is the DTI doing for SMEs?

A. Implementation of the Technology Strategy will neither discriminate for nor against SMEs. There are a range of other DTI support mechanisms that do target SMEs, including Knowledge Transfer Partnerships ([ktponline.org.uk](http://ktponline.org.uk)) or Investigating an Innovative Idea ([www.dti.gov.uk/innovative-idea](http://www.dti.gov.uk/innovative-idea)). A full brochure of support services for SMEs can be found at ([www.dti.gov.uk/innovate](http://www.dti.gov.uk/innovate)).

Q19. Can spinout companies from Universities apply?

A. In principle, yes. For specific rules contact the DTI enquiries line on 020 7215 5000 and they will forward you to someone who can help.

Q20. Can a start up business apply?

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A. In principle, yes. For specific rules contact the DTI enquiries line on 020 7215 5000 and they will forward you to someone who can help.

Q21. Can a sole-trader apply?

A. In principle, yes. For specific rules contact the DTI enquiries line on 020 7215 5000 and they will forward you to someone who can help.

Q22. Can Assessors participate in a project?

A. Assessors can participate in projects. The qualities DTI and the Programme Contractor are looking for in Assessors are in many cases the same as those they would expect in project participants (for example familiarity with the technology, an understanding of what it can achieve in the future and how this potential might be realised). Assessors will not be allowed to assess a project they are participating in.

Q23. Can an academic make a proposal?

A. In conjunction with at least one industrial partner, yes. However DTI would expect the Industrial partners to provide project leadership, given that the project will be generating an innovation to meet a market need the industrial partners have foreseen.

Q24. What funding will academic partners receive?

A. Academic partners will receive 100% funding and the usual allowance of 46% for overhead. For further information on eligible costs please see the Guidance for Applicants under the 'How to Apply' section.

Q25. What does industry lead mean?

A. The project leader should not, for example, be from an HEI and overall industrial input should be significant.

Q26. Can I bid into more than one Technology Priority area in the same project?

A. No. You must choose the main priority under which your bid sits. If you believe your project addresses more than one priority area you should make this clear in the abstract. All proposals will undergo preliminary examination to check they are in scope and to identify those that cross priority areas and ensure they are assessed correctly.

Q27. Can a UK company do work outside the UK or Europe within the project?

A. Only exceptionally and with the agreement of the DTI – contact the DTI enquiries line on 020 7215 5000 and they will forward you on to someone who can advise. A key aim of DTI support is to help improve the UK's innovation performance. It will be

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up to the proposers to convince the DTI that supporting work and building intellectual capital outside the UK will meet this aim.

Q28. Can public bodies participate in projects and how are their contributions treated?

A. In principle, yes. Treatment of their contributions will be guided by (i) whether they seek grant (ii) maximum funding and state aid requirements.

Q29. Can a project be (a) project managed by a collaborator? (b) Or sub-contractor?

A. (a) yes – (b) yes – but the project leader is expected to have a significant commitment through direct engagement, resource input and overall expertise.

### **Funding Questions:**

Q30. How much money is available in the April Call?

A. About £50m and DTI is prepared to make a modest over commitment dependant on the quality of proposals received.

Q31. How is the funding in the April Call allocated across the 7 priorities?

A. Although indicative funding allocations are included in the full descriptions of the technologies in the call, the allocation of funds across the seven priorities will depend on the quality of the proposals received.

Q32. To what level are projects funded?

A. The funding levels and types of project they apply to are outlined in the Guidance for Applicants and Additional Information documents on the 'How to Apply' section.

Q33. Can other Government Departments co-fund my research?

A. Yes, although the total public funding for the project cannot exceed the limits set in the Guidance for Applicants. In your proposal you should include: details of other public funding sought; whether the funding from that source is approved or when the decision on funding will be made.

Q34. Do State Aids rules cover this programme?

A. Yes

Q35. Which costs can I include in my bid for funding and which can I not?

A. The list of eligible costs is contained in the Guidance for Applicants on the 'How to Apply' section

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Q36. What are the rules concerning capital grants?

A. The rules concerning capital grants are outlined in the Guidance for Applicants on the 'How to Apply' section

Q37. How do I decide which funding category my project sits in?

A. Detailed definitions are given in the Guidance for Applicants on the 'How to Apply' section. You can only get support consistent with the type of proposal you are submitting (e.g. basic or applied R&D, managed network). Proposals inappropriately submitted to categories attracting higher levels of DTI support run the risk of being rejected.

**Assessment Questions:**

Q38. Who assesses the projects?

A. The assessment is carried out by a set of independent experts.

Q39. Why is the assessment not carried out by the DTI?

A. The assessment of projects will be carried out by independent experts, as has previously been the case for DTI-funded Collaborative R & D programmes. The main difference under the new system is that a DTI Programme Contractor, not the DTI itself, carries out the administration of the assessment procedure.

Q40. Who is the DTI Programme Contractor for the April Call?

A. NEL/TUV are managing the call process for the DTI in the April call.

Q41. Have the Assessors for the April call been identified?

A. We have a pool of qualified Assessors from which we will draw for the April call, however, the Assessors have not all yet been identified.

Q42. What is an incomplete application?

A. Applications that give inadequate or unclear information, and thus preclude proper consideration by the Assessors on an equal basis with other applications.

Q43. How is an application assessed?

A. Each proposal will be assessed independently by three expert Assessors against the published criteria. At full proposal stage, Assessors will meet to discuss their assessments and resolve any differences of opinion prior to submitting an agreed view on the project.

Q44. Who checks the Assessors' judgement against the DTI's assessment criteria?

A. The view of the Assessors will be reviewed against the criteria and against how those elements of the project that are comparable to other projects were marked. The final assessment of all projects will be submitted to the DTI.

Q45. If my project is rejected will I know why?

A. Yes. You will receive basic feedback to guide you to the criteria against which your project failed to meet the grade.

Q46. Who are the Assessors?

A. The DTI and the Programme Contractor in conjunction have identified a number of experts in the areas covered by the call. These experts are independent and will need to sign Non-Disclosure Agreements (NDAs) and declare any conflicts of interest with proposals they have been asked to assess.

Q47. Will academic research be subject to peer review?

A. Where there is the likelihood of co-funding with a Research Council in the April call then yes. Otherwise no. Further information can be found in the 'Guidance for Applicants' and 'Additional Information' documents on the 'How to Apply' section.

Q48. Is there any negotiation during the financial review?

A. No. Under financial review the project costings will be examined and any allocations for ineligible costs, or for eligible costs that are too high, will be identified.

Q49. What information (e.g. company accounts) are required for a financial review?

A. The usual application support documentation will initially be required – e.g., signed S2A form per grant recipient; company accounts for each grant recipient; signed letters of support (including level of intended resource input) for non-grant recipients. The DTI reserves the right to seek clarification in the overall context of the assessment process.

Q50. When is it required?

A. This will be required at full application stage to enable parallel overall assessment of all aspects. Please also refer to the 'How to Apply' section of the website for timescales and further details.

Q51. Can I appeal against the assessment?

A. No.

**Call specific questions:**

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Q52. Why is the call not in my particular area of technology?

A. DTI has needed to balance immediately available resources against potential promising technology areas and in compiling the list of technologies for the April call, drew upon evidence provided by industry experts. The process of narrowing down the call inevitably meant a prioritisation of technology areas.

Q53. How did the DTI decide on the Technology Priorities being called?

A. Discussions with key business stakeholders on the content of the Technology Strategy during the Innovation Review pointed to some priority areas that needed DTI support urgently. These broad areas were flagged up in the Innovation Report published in December 2003. The priority areas for the April 2004 call have been approved by Ministers.

Q54. When will there be a call in my particular technology?

A. DTI will shortly be establishing a Technology Strategy Board that will advise on the overall content of the Technology Strategy and on those areas that should be the subject of future calls. If you believe your technology should be covered by the Technology Strategy and have the evidence to back this up you should contact the DTI enquiries line on 020 7215 5000 and you will be forwarded to the relevant person who can help.

Q55. Where can I find out more about the Technology Strategy Board?

A. Please refer to the Technology Strategy Board section of the website.

Q56. Haven't you already identified the priorities for the Technology Strategy before the Technology Strategy Board has been established?

A. For the April call - we have. However, for future calls this will not be the case. The Technology Strategy Board will be in place over the summer to build on the strategy work already carried out, and shape future calls.

Q57. What if I have a proposal for a Knowledge Transfer Network that is not in a Technology Priority area highlighted in the April 2004 Call?

A. If a particular priority area has not been put forward in the call, no proposals for funding against it will be considered.

Q58. How long does a Collaborative R & D project have to last?

A. There is no predetermined minimum or maximum, but an upper ceiling of 4-5 years is suggested to facilitate optimum, timely taking forward of outcomes to the UK's benefit.

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Q59. Can I have a copy of an Offer Letter?

A. An Indicative Offer Letter is available from the 'How to Apply' section of the website,

Q60. What happens if the consortium changes during the proposal stage?

A. Changes may be proposed for various reasons (e.g., withdrawal; company takeover). The DTI will normally be averse to considering any changes before assessment of the full application has occurred. Each request will be considered on its merits, but there should be a general presumption that changes before project start will nullify the application.

Q61. When will the next call be?

A. The next Call under the Technology Programme is currently scheduled for late October 2004.

### **Post offer letter stage**

Q62. What's the DTI's involvement in Offer Letters?

A. The DTI will issue Offer Letters for the April 2004 call following the successful completion of the financial review. For future calls DTI will work with a Programme Contractor to handle this task. However, at all times, there will be an auditable trail to ensure the Programme Contractor manages the process correctly.

Q63. What's the DTI's involvement in payments?

A. This will be advised nearer offer letter time.

Q64. How will research projects be monitored?

A. Projects will be monitored in accordance with the terms of the Offer Letter. Monitoring is likely to be undertaken by specialist contractors.

Q65. How will research projects be audited?

A. Research projects will be audited in accordance with the terms of the offer letter.

Q66. Who will audit research projects?

A. Research projects will be audited by an independent auditor.

Q67. What are the claim conditions?

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A. Guidance will be issued on this in due course to successful applicants who accept the offer letter.

Q68. What are the offer letter rules?

A. An Indicative Offer Letter with standard terms and conditions is available from the 'How to Apply' section of the website.

Q69. How is contribution- in- kind audited?

A. Individual grant recipients will have all contributions audited by an independent auditor as indicated above. Non-grant supporting or related contributions will need an end-project signed statement from the body concerned indicating the actual level of resource input achieved compared to initial equivalent estimate.

Q70. Can an academic publish his/her results?

A. The DTI is keen to see academics publishing the findings of their research, however this must be done in the manner agreed in the project's Collaboration Agreement.

Q71. What happens if a consortium partner withdraws during the project?

A. The Programme Contractor must be notified of the withdrawal of a partner. The remaining partners will need to consider whether the original aims of the project can be met by rebalancing the work within the smaller consortium or whether they need to recruit a new partner. The Programme Contractor should be kept apprised of developments and will be charged by the DTI with deciding whether and at what point the project should be abandoned.

Q72. What happens if a consortium partner is changed or added during the project?

A. The Programme Contractor must be notified of any change in partner arrangements and the other partners in the consortium must be happy with the new arrangements. Note that no further funding will be made available if extra partners are added.

### **The Technology Strategy & Technology Strategy Board**

Q73. What is the Technology Strategy?

A. For a full description see the Technology Programme Overview on the 'Technology Programme' main page.

Q74. Who will be on the Technology Strategy Board?

A. The Technology Strategy Board are being recruited to assist the DTI with the development of the Technology Strategy. We want to ensure that the Board as a whole can form a comprehensive view of UK technology priorities across all sectors and we expect most of the members of the Board to be from the business world. We will also invite some people from the science base, other government departments and regional bodies. For full details see the Technology Programme Overview on the 'Technology Programme' main page.

Q75. Have you appointed members for the Technology Strategy Board?

A. No. We will shortly begin recruitment. Details of this will posted on the website.

Q76. Why is recruitment taking so long?

A. It is imperative that we get the right calibre of people to sit on the Technology Strategy Board so the terms of reference, make up of the Board and person specifications have taken time to get right. Appointments will be made in line with Nolan principles and we will shortly be advertising for applicants. Details will posted on the website.

**Do you have any other questions that are not answered by the Guidance for Applicants or this list of FAQs? If so then e-mail them to [technologyprogramme@dti.gov.uk](mailto:technologyprogramme@dti.gov.uk).**

## GLOSSARY

Term	Definition
Financial Review	A review of project costs that is carried out after a project has successfully gone through the assessment process and financial viability checks. The review will be undertaken by the Programme Contractor, who will be tasked with identifying allocations against ineligible costs, incorrect or excessive allocations against eligible costs and excessive
NDA	Non-Disclosure Agreement. Assessors will be obliged to agree and sign to ensure they observe the confidentiality of documents they see.