

# Energy Catalyst Round 10 Assessor Guidance

This document contains the guidance for assessors for the Energy Catalyst Round 10 competition. This guidance is separated into 2 parts. The first part for the early stage (feasibility studies) competition strand and the second part for the mid (industrial research) and late (experimental development) competition strands.

Not all questions require assessment and those that do not are clearly identified.

For the questions being assessed, the scores awarded should be based on the criteria listed.

**This document should only be used in conjunction with Energy Catalyst Round 10 applications. Other rounds have and will use different assessor guidance.**

## Early-stage questions guidance

### Question 1. Applicant location (not scored)

You must state the name and full registered address of your organisation and any partners or subcontractors working on your project.

We are collecting this information to understand the geographical location of all applicants.

Your answer can be up to 200 words long.

**This question is not assessed.**

### Question 2. Technology lead (not scored)

You must state who the technology lead of the project will be.

A technology lead will lead on the development of the scope, work packages within the project and other work from a technical perspective. They can be from anywhere in the world. If they are registered in the UK, they can be the same organisation as the administrative lead.

Your answer can be up to 50 words long.

**This question is not assessed.**

### Question 3. Previous Energy Catalyst Project (not scored)

If your project is a direct follow on from a previously funded energy catalyst project, you must provide the Innovate UK project number.

If your project has not been previously funded, you must enter 'None' as your answer to this question.

Your answer can be up to 50 words long.

**This question is not assessed.**

#### Question 4. Target Country (eligibility - not scored)

Which ODA eligible country is the main target of your project?

Your answer can be up to 10 words long.

**This question is not assessed.**

#### Question 5. Technology area (eligibility - not scored)

Please confirm which primary technology area your project falls into:

- next generation solar technologies and business models
- smart green grids, including mini and main grid related technologies
- energy storage, including batteries and mechanical storage
- low carbon hydrogen
- modern cooking
- low energy inclusive appliances
- leave no one behind, specifically technologies and business models
- sustainable cooling
- diesel generator replacement
- other in scope technologies (please specify)

Your answer can be up to 50 words long.

**This question is not assessed.**

#### Question 6. Licenses and permits (eligibility criteria - not scored)

Will you have the correct licences and permits in place to carry out all of your project activities by your project start date?

We are unable to fund projects who do not have the correct licences or permits in place by project start date.

You must select one:

- yes
- no
- in process of being applied for
- not applicable

**This question is not assessed.**

### Question 7. In country entity (eligibility - not scored)

You can involve partners with a legal entity in one of the focus countries in sub-Saharan Africa, South Asia or Indo-Pacific region. This could include in -country offices.

State which one of your partners is the in -country entity and confirm their eligible office.

If not required, enter 'None'.

**This question is not assessed.**

### Question 8. Official Development Assistance (ODA) (eligibility - not scored)

To be eligible for Energy Catalyst grant funding, you must clearly explain and give evidence for why and how your project is in scope for [Official Development Assistance](#) (ODA).

Describe:

- how your project will promote the social welfare and economic development of an eligible country for this competition, by addressing a development need in that country.
- the benefits to project partners and to those people outside the consortium (in the developing country, particularly people in poverty and underserved groups,) making a clear distinction between the two.

You must:

- be clear about what stakeholder groups in the developing country you expect to benefit from this project, avoid making generic statements.
- explain how the project will, or has the potential to, deliver outcomes and impact in terms of energy access to poor households, businesses and services in an eligible country, and over what timescale
- give sufficient detail and data on how your project outputs are likely to create socio-economic impacts, whether they are positive or negative

Your answer can be up to 400 words long.

You must download, complete, and upload the ODA template as an appendix to support your answer. It can include an **explanation of your rationale of the expected outputs and impacts and must include a basic logic model**. It must be a PDF and no larger than 10MB in size. The font must be legible at 100% zoom.

**This question is not assessed.**

## **The follow questions are assessed**

### Question 9. Gender Equality and Social Inclusion (GESI)

How will your project and innovation help enable gender equality and social inclusion?

To score highly in this question, both gender equality and social inclusion will need to be addressed. A minimum pass criterion has been set for this question.

Please outline:

- the disadvantaged groups your project and innovation will support and how they will be engaged
- the barriers to gender equality and social inclusion in your chosen regions
- what actions will be taken through your project to address the identified barriers
- how your energy innovation will enable greater gender equality and social inclusion
- any potentially negative impacts your project could have and how you will mitigate against these

Your answer is a mandatory requirement under the International Development (Gender Equality) Act, 2014. You can read further guidance on [UKRI's approach to the Gender Equality Act](#).

Your answer can be up to 400 words long

**Your score should be based upon the following:**

### **9-10**

There is a compelling case for the positive impact this funding will make on gender equality and social inclusion during and beyond the lifetime of the project. Plans are specific, evidence based, realistic and highly likely to achieve positive impact. Both gender **and** social inclusion challenges are outlined and specific to a region(s). Impacted groups are identified and a realistic strategy for engaging with them during multiple stages of the project are outlined. Potentially negative impacts of the project are explored, and a thorough mitigation plan outlined.

### **7-8**

There is a good case for the positive impact on gender equality and social inclusion during and beyond the lifetime of the project. Plans are likely to achieve positive impacts on GESI. A generic understanding of regional challenges is shown. Impacted groups are identified and a strategy for engaging with them is outlined. Potentially negative impacts of the project are explored, and a mitigation plan outlined. GESI support may be required through the ECAP scheme to fully realise this project's impacts.

### **5-6 (minimum pass criteria = 5)**

The positive impacts on gender equality and social inclusion are explored. Outlined plans may somewhat achieve these impacts. A modest understanding of regional challenges is presented which is broad and non-specific. Underrepresented groups are mentioned but not thoroughly explored (for example, only gender is mentioned). Plans to work with these groups is modest. Potentially negative impacts of the project are explored but mitigations could be better. Significant GESI support through the ECAP scheme would likely to lead to a much greater impact.

### **3-4**

The arguments for the positive impacts on gender equality and social inclusion are poor or not sufficiently justified. Outlined plans are unlikely to achieve these. Overviews of underrepresent groups is extremely generic and not specific to the region. Potentially negative aspects of the project and a mitigation plan are barely or not explored. GESI support through the ECAP scheme is unlikely to lead to a much greater impact. This project should not be funded

### **1-2**

Little attempt has been made to answer the question. There is no argument for the positive impact of the project on GESI. This project should not be funded.

### Question 10. Need or challenge

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

Explain:

- the main motivation for the project
- the business need, technological challenge or market opportunity
- whether you have identified any similar innovation and its current limitations, including those close to market or in development
- any work you have already done to respond to this need, for example if the project focuses on developing an existing capability or building a new one
- the wider economic, social, environmental, cultural or political challenges which are influential in creating the opportunity, such as incoming regulations, using our [Horizons tool](#) if appropriate

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

#### 9-10

There is a compelling business motivation for the project. There is a clear understanding of the nearest state-of-the-art available. The applicant has shown, if applicable, how the project will build on previous relevant work. Any wider factors influencing this opportunity are identified.

#### 7-8

There is a good motivation for the project. There is a good awareness of the nearest state-of-the-art and wider factors influencing the opportunity.

#### 5-6

The project motivation is good but a lack of understanding of the nearest state-of-the-art or wider factors influencing this opportunity.

#### 3-4

Project motivation is poorly defined or not relevant to the applicant or team. References to the current state-of-the-art are not offered or are not relevant.

#### 1-2

There is little or no business drive to the project. References to the current state-of-the-art are not offered or are not relevant.

### Question 11. Approach and innovation

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

Explain:

- how you will respond to the need, challenge or opportunity identified
- how will you improve on any similar innovations that you have identified
- whether the innovation will focus on existing technologies in new areas, the development of new technologies for existing areas or a totally disruptive approach
- the freedom you have to operate
- how this project fits with your current product, service lines or offerings
- how it will make you more competitive
- the nature of the outputs you expect from the project (for example report, demonstrator, know-how, new process, product or service design) and how these will help you to target the need, challenge or opportunity identified

You can submit one appendix to support your answer. It can include diagrams and charts. It must be a PDF, up to 2 A4 pages long and no larger than 10MB in size. The font must be legible at 100% zoom.

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

#### **9-10**

The approach addresses the need, challenge or opportunity identified in Q1. The main innovations and risks are identified. Evidence is presented to show how the innovation and project outputs will differentiate from those of competitors. The project is significantly innovative either commercially or technically and will make a substantial contribution to the field. Solid evidence is presented to substantiate the level of innovation and freedom to operate.

#### **7-8**

The project addresses the need or challenge and the main innovations and risks are highlighted. Evidence shows that the proposed development is innovative and that the applicant has the freedom to operate. It is demonstrated how the project outputs will differentiate from those of competitors.

#### **5-6**

The project may address the need or challenge identified in Q1 and the innovations are highlighted. The level of innovation or freedom to operate is not strongly backed up with evidence. The main risks are not fully identified. Innovation focus is plausible and shows a link to improvements in competitiveness and/or productivity.

#### **3-4**

The approach is poorly defined with an unconvincing link to the need or challenge identified in Q1. Improvement in competitiveness and/or productivity is not very convincing.

#### **1-2**

The approach is not well defined or inconsistent with the need or challenge identified in Q1. There is no identification of how this will improve competitiveness.

## Question 12. Team and resources

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

Explain:

- the roles, skills and experience of all members of the project team that are relevant to the approach you will be taking
- the resources, equipment and facilities needed for the project and how you will access them, particularly in the light of any continuing COVID-19 restrictions
- the resources allocated for Gender Equality and Social Inclusion (GESI) activities
- the details of any vital external parties, including subcontractors, who you will need to work with to successfully carry out the project
- if your project is collaborative, the current relationships between project partners and how these will change as a result of the project
- any roles you will need to recruit for, taking into account the impact of COVID-19 restrictions on the team structure

You can submit one appendix. This can include a short summary of the main people working on the project to support your answer. It must be a PDF, up to 4 A4 pages long and no larger than 10MB in size. The font must be legible at 100% zoom.

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

### 9-10

The applicant or consortium is well placed to carry out the project and exploit the results. There is a clear plan to obtain all the resources, equipment and facilities they will need. There is strong evidence that the consortium will work well.

### 7-8

The applicant or consortium makes sense given the approach described in Q2. The applicant indicates how access will be obtained to all the resources, equipment and facilities they will need. The consortium is likely to work well.

### 5-6

The applicant or consortium has most, but not all, of the required skills and experience required. It is unclear whether or not the consortium will work well together.

### 3-4

There are significant gaps in the consortium with little or no information about how these will be filled. There may be some partners with little relevance to the project activities.

### 1-2

The applicant or consortium will not be capable of either carrying out the project or exploiting the results.

### Question 13. Market awareness

What does the market you are targeting look like?

Describe:

- the target markets for the project outcomes, any other potential markets (domestic, international or both)
- the size of the target markets for the project outcomes, backed up by references where available
- the structure and dynamics of the target markets, including customer segmentation, together with predicted growth rates within clear timeframes
- the target markets' main supply or value chains and business models, and any barriers to entry that exist
- the current UK position in targeting these markets
- the size and main features of any other markets not already listed

If your project is highly innovative, where the market may be unexplored, describe or explain:

- what the market's size might be
- how your project will try to explore the market's potential

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

#### **9-10**

The target market size, drivers and dynamics are fully quantified and evidenced. Where the market is new or unexplored, possible routes are identified based on precedents. Relevant secondary markets are substantiated and described in brief.

#### **7-8**

There is a good awareness of the target market's drivers and dynamics. The market size is quantified with some evidence. For a new market, a good attempt is made at describing the possible routes to market and estimating the market size. Relevant secondary markets are described showing good awareness.

#### **5-6**

The general market size and dynamics are understood but the addressable market is poorly quantified. Secondary markets are mentioned but little information is offered.

#### **3-4**

Some information about the general market is offered but the extent of the addressable market for the project is not described. Secondary markets are barely mentioned.

#### **1-2**

The market is poorly defined or is irrelevant to the motivations of the project.

## Question 14. Outcomes and route to market

How are you going to grow your business and increase long term productivity as a result of the project?

Explain:

- your current position in the markets and supply or value chains outlined, and whether you will be extending or establishing your market position
- your target customers or end users, and the value to them, for example why they would use or buy your product
- your route to market, particularly if COVID-19 has changed market dynamics
- how you are going to profit from the innovation, including increased revenues or cost reduction
- how the innovation will affect your productivity and growth, in both the short and the long term
- how you will protect and exploit the outputs of the project, for example through know-how, patenting, designs or changes to your business model
- your strategy for targeting the other markets you have identified during or after the project

If there is any research organisation activity in the project, describe:

- your plans to spread the project's research outputs over a reasonable timescale
- how you expect to use the results generated from the project in further research activities

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

### **9-10**

Target customers are identified along with the value proposition to them. The routes to market and how profit, productivity and growth will increase is identified and evidenced. The exploitation and/or dissemination of the main project outputs is outlined.

### **7-8**

Target customers are identified along with the value proposition to them. The routes to market and how profit, productivity and growth will increase is outlined with some evidence. The exploitation and/or dissemination of the main project outputs is outlined.

### **5-6**

Target customer types are described but the value proposition to them is less clear. There is some information about how profit, productivity or growth increases may be achieved at some point.

### **3-4**

There is some information about the target customer types but there is little about the value proposition or how profit, productivity or growth will be affected.

**1-2**

The applicant provides little or no information about the target customers.

**Question 15. Wider impacts**

What impact might this project have outside the project team?

Describe and, where possible, measure the economic benefits from the project such as productivity increases and import substitution, to:

- external parties
- customers
- others in the supply chain
- broader industry

Describe and, where possible, measure:

- any expected impact on government priorities
- any expected environmental impacts, either positive or negative
- any expected regional impacts of the project

Describe any expected social impacts, either positive or negative on, for example:

- lives impacted
- jobs, such as safeguarding, creating, changing or displacing them
- education
- public empowerment
- health and safety
- regulations
- joint ventures
- CO2 avoidance

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The positive impact on others outside of the team is understood (supply chain partners, customers, broader industry, etc) Social, economic and/or environmental impacts are considered. Expected regional impacts are described with compelling evidence to justify claims. Any possible negative impacts are fully mitigated where appropriate.

**7-8**

There is good awareness of how the project may impact others outside of the team. Expected regional impacts are described. Any possible negative impacts are partially mitigated where appropriate.

**5-6**

There is basic awareness of how the project could impact some others outside the project. Some relevant stakeholders are not considered. Little mitigation is offered where there may be negative impacts.

**3-4**

The applicant provides some information about possible impacts but significant gaps remain.

**1-2**

There is no information about how the project might impact others or how the project might have impact beyond the project boundaries.

## Question 16. Project management

How will you manage your project effectively?

Explain:

- the main work packages of your project, indicating the lead partner assigned to each and the total cost of each one
- your approach to project management, identifying any major tools and mechanisms you will use to get a successful and innovative project outcome
- the management reporting lines
- your project plan in enough detail to identify any links or dependencies between work packages or milestones, taking into account the possible impact of further COVID-19 restrictions

It is expected that your GESI activities are interwoven throughout your project. If you chose to separate GESI activities into a separate work package an explanation needs to be provided.

You must submit a project plan or Gantt chart as an appendix to support your answer. It must be a PDF, up to 2 A4 pages long and no larger than 10MB in size. The font must be legible at 100% zoom.

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The project work packages are outlined with the research category, lead partner and total cost provided for each one. The approach to project management is described. The plan is designed to meet the objectives of the project in a realistic and efficient way. Any links or dependencies between work packages or milestones are identified GESI activities are interwoven throughout the project, if not, a justifiable reason is provided.

**7-8**

The project work packages are outlined with the research category, lead partner and total cost provided for each one. The approach to project management is stated. The plan seems appropriate to the project objectives. Any links or dependencies between work packages or milestones are identified. GESI activities are interwoven throughout the project, if not, a justifiable reason is provided.

**5-6**

The project work packages are outlined but there are some details missing. The plan seems reasonable but not tailored to the objectives of the project. GESI activities are mentioned.

**3-4**

The plan has serious deficiencies or major missing aspects. The plan has little chance of meeting the objectives of the project. GESI activities are not mentioned

**1-2**

The plan is totally unrealistic or fails to meet the objectives of the project.

**Question 17. Project Legacy**

What will the effect of the project be on energy access in the target country beyond the lifetime of the project?

You are expected to consider how you will contribute to improving wider energy access in the target country, outside of technology development.

Describe where applicable the:

- continued benefit to the target country in relation to the wider energy access agenda and delivery of sustainable development goals (SDGs) 7 'Affordable and clean energy' and 13 'Climate action'
- connections and networks made through the project and consortium
- skills development and training in country

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The positive impact of the project legacy is fully understood outside of the technology development. There is a fully documented account of the continued benefit to the target country and the delivery of SDGs 7 and 13. There is a great understanding how the networks made during the project will have a benefit outside of the project.

**7-8**

The positive impact of the project legacy is understood outside of the technology development. There is a documented account of the continued benefit to the target country and the delivery of SDGs 7 and 13. There is a great understanding how the networks made during the project will have a benefit outside of the project.

**5-6**

There is a basic understanding of the positive impact of the project legacy outside of the technology development. There is a limited documented account of the continued benefit to the target country and the delivery of SDGs 7 and 13. There is a great understanding how the networks made during the project will have a benefit outside of the project.

**3-4**

The positive impact of the project legacy is not understood. Description is limited to what will place during the lifespan of the project. There is limited to know documented benefit to the target country and the delivery of SDGs 7 and 13. There is limited understanding of how the networks made during the project will have a benefit outside of the project.

**1-2**

There is no information about how the project might impact others or how the project might have impact beyond the project boundaries.

**Question 18. Risks**

What are the main risks for this project?

Explain:

- the main risks and uncertainties of the project, including the technical, commercial, managerial and environmental risks
- how you will mitigate these risks
- any project inputs that are critical to completion, such as resources, expertise, and data sets
- any output likely to be subject to regulatory requirements, certification, ethical issues and so on, and how you will manage this

You must submit a risk register as an appendix to support your answer. It must be a PDF, up to 2 A4 pages long and no larger than 10MB in size. The font must be legible at 100% zoom.

**Your score should be based upon the following:**

**9-10**

The key risks and uncertainties of the project are considered and mitigated. Critical inputs to the project are identified. Relevant constraints or conditions on the project outputs (regulatory requirements, certification or ethical issues) are identified. The risk analysis is appropriate and professional.

**7-8**

The key risks and uncertainties of the project are considered with appropriate mitigations. Relevant constraints or conditions on the project outputs are identified.

**5-6**

Most major risks have been identified but there are some gaps or the mitigation and management is insufficient to properly control the risks.

**3-4**

The risk analysis is poor or misses major areas of risk. The mitigation and management is poor.

**1-2**

The risk analysis is superficial with minimal mitigation or management suggested.

**Question 19. Added value**

How will this public funding help you to accelerate or enhance your approach to developing your project towards commercialisation? What impact would this award have on the organisations involved?

Explain:

- what advantages would public funding offer your project, for example, appeal to investors, more partners, reduced risk or a faster route to market (this list is not exhaustive)
- the likely impact of the project outcomes on the organisations involved
- what other routes of investment have you already approached
- what your project would look like without public funding
- how this project would change the R&D activities of all the organisations involved

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

There is a compelling case for the positive difference funding will make. Alternative sources of support are described with an explanation of why they are discounted or used in conjunction with the grant funding. The project will significantly increase the industrial partners' R&D spend during the project and afterwards.

**7-8**

The arguments for public funding are good and justified. The project will significantly increase the industrial partners' commitment to R&D.

**5-6**

The public funding arguments are acceptable but the difference made by the grant will be modest. The project will improve the industrial partners' commitment to R&D.

**3-4**

The funding arguments are poor or not sufficiently justified. There is not likely to be any improvement to the industrial partner's commitment to R&D.

**1-2**

There is no justification for public funding and no reason why the applicant should not fund the work.

## Question 20. 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?

In terms of your project goals, explain:

- your total project costs
- the grant you are requesting
- how each partner will finance their contributions to your project
- how this project represents value for money for you and the taxpayer
- how it compares to what you would spend your money on otherwise
- the balance of costs and grant across the project partners
- any subcontractor costs and why they are critical to your project

Your answer can be up to 400 words long

**Your score should be based upon the following:**

### 9-10

The project costs are entirely appropriate and represent excellent value for money compared to alternative approaches outlined (including doing nothing). The partners have a clear idea of how they will finance their contribution. The balance of costs and grants between partners and use of subcontractors is justified and reasonable for the proposed project.

### 7-8

The project costs are appropriate and should be sufficient to successfully complete the project. The balance of costs and grants between partners and use of subcontractors seems reasonable. The project represents good value for money compared to alternative outlined approaches (including doing nothing).

### 5-6

The project costs seem ok but the justifications are not clear. The balance of costs and grants between partners is acceptable. Little information is offered about alternative approaches and the value for money this project offers.

### 3-4

The project costs seem too high or too low given the proposed project. The split of costs and grants between partners is unbalanced, or inappropriate use is being made of subcontractors.

### 1-2

The costs are not appropriate or justified. The balance between partners and subcontractors is not justified.

## Mid and late-stage questions guidance

### Question 1. Applicant location (not scored)

You must state the name and full registered address of your organisation and any partners or subcontractors working on the project.

We are collecting this information to understand the geographical location of all applicants.

Your answer can be up to 200 words long.

**This question is not assessed.**

### Question 2. Technology lead (not scored)

You must state who the technology lead of the project will be.

A technology lead will lead on the development of the scope, work packages within the project and other work from a technical perspective. They can be from anywhere in the world. If they are registered in the UK, they can be the same organisation as the administrative lead.

Your answer can be up to 50 words long.

**This question is not assessed.**

### Question 3. Previous Energy Catalyst Project (not scored)

If your project is a direct follow on from a previously funded energy catalyst project, you must provide the Innovate UK project number.

If your project has not been previously funded, you must enter 'None' as your answer to this question.

Your answer can be up to 50 words long.

**This question is not assessed.**

### Question 4. Target Country (eligibility - not scored)

Which ODA eligible country is the main target of your project?

Your answer can be up to 10 words long.

**This question is not assessed.**

### Question 5. Technology area (eligibility - not scored)

Please confirm which primary technology area your project falls into:

- next generation solar technologies and business models
- smart green grids, including mini and main grid related technologies
- energy storage, including batteries and mechanical storage
- low carbon hydrogen

- modern cooking
- low energy inclusive appliances
- leave no one behind, specifically technologies and business models
- sustainable cooling
- diesel generator replacement
- other in scope technologies (please specify)

Your answer can be up to 50 words long.

**This question is not assessed.**

#### Question 6. Licences and permits (eligibility criteria - not scored)

Will you have the correct licences and permits in place to carry out all of your project activities by your project start date?

We are unable to fund projects who do not have the correct licences or permits in place by project start date.

You must select one:

- yes
- no
- in process of being applied for
- not applicable

**This question is not assessed.**

#### Question 7. In country entity (eligibility - not scored)

You must involve at least one partner with a legal entity in one of the focus countries in sub-Saharan Africa, South Asia or the Indo-Pacific region, this could include in country offices.

You must state which one of your partners is the in-country entity and confirm their eligible office.

Your answer can be up to 200 words long.

**This question is not assessed.**

#### Question 8. Official Development Assistance (ODA) (eligibility - not scored)

To be eligible for Energy Catalyst grant funding, you must clearly explain and give evidence for why and how your project is in scope for [Official Development Assistance](#) (ODA).

Describe:

- how your project will promote the social welfare and economic development of an eligible country for this competition, by addressing a development need in that country

- the benefits to project partners and to those people outside the consortium in the developing country, particularly people in poverty and underserved groups, making a clear distinction between the two

You must:

- be clear about what stakeholder groups in the developing country you expect to benefit from this project, avoid making generic statements
- explain how the project will, or has the potential to, deliver outcomes and impact in terms of energy access to poor households, businesses and services in an eligible country, and over what timescale
- give sufficient detail and data on how your project outputs are likely to create socio-economic impacts, whether they are positive or negative

Your answer can be up to 400 words long.

You must download, complete and upload the ODA template as an appendix to support your answer. It can include an explanation of your rationale of the expected outputs and impacts and must include a basic logic model. It must be a PDF and no larger than 10MB in size. The font must be legible at 100% zoom.

**This question is not assessed.**

## **The follow questions are assessed**

### Question 9. Gender Equality and Social Inclusion (GESI)

How will your project and innovation help enable gender equality and social inclusion?

To score highly in this question, both gender equality and social inclusion will need to be addressed. A minimum pass criterion has been set for this question.

Please outline:

- the disadvantaged groups your project and innovation will support and how they will be engaged
- the barriers to gender equality and social inclusion in your chosen regions
- what actions will be taken through your project to address the identified barriers
- how your energy innovation will enable greater gender equality and social inclusion
- any potentially negative impacts your project could have and how you will mitigate against these

Your answer is a mandatory requirement under the International Development (Gender Equality) Act, 2014. You can read further guidance on [UKRI's approach to the Gender Equality Act](#).

Your answer can be up to 400 words long

**Your score should be based upon the following:**

**9-10**

There is a compelling case for the positive impact this funding will make on gender equality and social inclusion during and beyond the lifetime of the project. Plans are specific, evidence based, realistic and highly likely to achieve positive impact. Both gender **and** social inclusion challenges are

outlined and specific to a region(s). Impacted groups are identified and a realistic strategy for engaging with them during multiple stages of the project are outlined. Potentially negative impacts of the project are explored, and a thorough mitigation plan outlined.

### 7-8

There is a good case for the positive impact on gender equality and social inclusion during and beyond the lifetime of the project. Plans are likely to achieve positive impacts on GESI. A generic understanding of regional challenges is shown. Impacted groups are identified and a strategy for engaging with them is outlined. Potentially negative impacts of the project are explored, and a mitigation plan outlined. GESI support may be required through the ECAP scheme to fully realise this project's impacts.

### 5-6 (minimum pass criteria = 5)

The positive impacts on gender equality and social inclusion are explored. Outlined plans may somewhat achieve these impacts. A modest understanding of regional challenges is presented which is broad and non-specific. Underrepresented groups are mentioned but not thoroughly explored (for example, only gender is mentioned). Plans to work with these groups is modest. Potentially negative impacts of the project are explored but mitigations could be better. Significant GESI support through the ECAP scheme would likely to lead to a much greater impact.

### 3-4

The arguments for the positive impacts on gender equality and social inclusion are poor or not sufficiently justified. Outlined plans are unlikely to achieve these. Overviews of underrepresent groups is extremely generic and not specific to the region. Potentially negative aspects of the project and a mitigation plan are barely or not explored. GESI support through the ECAP scheme is unlikely to lead to a much greater impact. This project should not be funded

### 1-2

Little attempt has been made to answer the question. There is no argument for the positive impact of the project on GESI. This project should not be funded.

## Question 10. Need or challenge

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

Explain:

- the main motivation for the project
- the business need, technological challenge or market opportunity
- whether you have identified any similar innovation and its current limitations, including those close to market or in development
- any work you have already done to respond to this need, for example if the project focuses on developing an existing capability or building a new one
- the wider economic, social, environmental, cultural or political challenges which are influential in creating the opportunity, such as incoming regulations, using our [Horizons tool](#) if appropriate

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

There is a compelling business motivation for the project. There is a clear understanding of the nearest state-of-the-art available. The applicant has shown, if applicable, how the project will build on previous relevant work. Any wider factors influencing this opportunity are identified.

**7-8**

There is a good motivation for the project. There is a good awareness of the nearest state-of-the-art and wider factors influencing the opportunity.

**5-6**

The project motivation is good but a lack of understanding of the nearest state-of-the-art or wider factors influencing this opportunity.

**3-4**

Project motivation is poorly defined or not relevant to the applicant or team. References to the current state-of-the-art are not offered or are not relevant.

**1-2**

There is little or no business drive to the project. References to the current state-of-the-art are not offered or are not relevant.

**Question 11. Approach and innovation**

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

Explain:

- how you will respond to the need, challenge or opportunity identified
- how will you improve on the similar innovation that you have identified
- whether the innovation will focus on existing technologies in new areas, the development of new technologies for existing areas or a totally disruptive approach
- the freedom you have to operate
- how this project fits with your current product, service lines or offerings
- how it will make you more competitive
- the nature of the outputs you expect from the project (for example report, demonstrator, know-how, new process, product or service design) and how these will help you to target the need, challenge or opportunity identified

You can submit one appendix to support your answer. It can include diagrams and charts. It must be a PDF, up to 2 A4 pages long and no larger than 10MB in size. The font must be legible at 100% zoom.

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The approach addresses the need, challenge or opportunity identified in Q1. The main innovations and risks are identified. Evidence is presented to show how the innovation and project outputs will differentiate from those of competitors. The project is significantly innovative either commercially or technically and will make a substantial contribution to the field. Solid evidence is presented to substantiate the level of innovation and freedom to operate.

**7-8**

The project addresses the need or challenge and the main innovations and risks are highlighted. Evidence shows that the proposed development is innovative and that the applicant has the freedom to operate. It is demonstrated how the project outputs will differentiate from those of competitors.

**5-6**

The project may address the need or challenge identified in Q1 and the innovations are highlighted. The level of innovation or freedom to operate is not strongly backed up with evidence. The main risks are not fully identified. Innovation focus is plausible and shows a link to improvements in competitiveness and/or productivity.

**3-4**

The approach is poorly defined with an unconvincing link to the need or challenge identified in Q1. Improvement in competitiveness and/or productivity is not very convincing.

**1-2**

The approach is not well defined or inconsistent with the need or challenge identified in Q1. There is no identification of how this will improve competitiveness.

**Question 12. Team and resources**

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

Explain:

- the roles, skills and experience of all members of the project team that are relevant to the approach you will be taking
- the resources, equipment and facilities needed for the project and how you will access them, particularly in the light of any continuing COVID-19 restrictions
- the resources allocated for Gender Equality and Social Inclusion (GESI) activities
- the details of any vital external parties, including subcontractors, who you will need to work with to successfully carry out the project
- if your project is collaborative, the current relationships between project partners and how these will change as a result of the project
- any roles you will need to recruit for, taking into account the impact of COVID-19 restrictions on the team structure

You can submit one appendix. This can include a short summary of the main people working on the project to support your answer. It must be a PDF, up to 4 A4 pages long and no larger than 10MB in size. The font must be legible at 100% zoom.

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The applicant or consortium is well placed to carry out the project and exploit the results. There is a clear plan to obtain all the resources, equipment and facilities they will need. There is strong evidence that the consortium will work well.

**7-8**

The applicant or consortium makes sense given the approach described in Q2. The applicant indicates how access will be obtained to all the resources, equipment and facilities they will need. The consortium is likely to work well.

**5-6**

The applicant or consortium has most, but not all, of the required skills and experience required. It is unclear whether or not the consortium will work well together

**3-4**

There are significant gaps in the consortium with little or no information about how these will be filled. There may be some partners with little relevance to the project activities

**1-2**

The applicant or consortium will not be capable of either carrying out the project or exploiting the results.

**Question 13. Market awareness**

What does the market you are targeting look like?

Describe:

- the target markets for the project outcomes, any other potential markets (domestic, international or both)
- the size of the target markets for the project outcomes, backed up by references where available
- the structure and dynamics of the target markets, including customer segmentation, together with predicted growth rates within clear timeframes
- the target markets' main supply or value chains and business models, and any barriers to entry that exist
- the current UK position in targeting these markets
- the size and main features of any other markets not already listed

If your project is highly innovative, where the market may be unexplored, describe or explain:

- what the market's size might be
- how your project will try to explore the market's potential

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The target market size, drivers and dynamics are fully quantified and evidenced. Where the market is new or unexplored, possible routes are identified based on precedents. Relevant secondary markets are substantiated and described in brief.

**7-8**

There is a good awareness of the target market's drivers and dynamics. The market size is quantified with some evidence. For a new market, a good attempt is made at describing the possible routes to market and estimating the market size. Relevant secondary markets are described showing good awareness.

**5-6**

The general market size and dynamics are understood but the addressable market is poorly quantified. Secondary markets are mentioned but little information is offered.

**3-4**

Some information about the general market is offered but the extent of the addressable market for the project is not described. Secondary markets are barely mentioned.

**1-2**

The market is poorly defined or is irrelevant to the motivations of the project.

**Question 14. Outcomes and route to market**

How are you going to grow your business and increase long term productivity as a result of the project?

Explain:

- your current position in the markets and supply or value chains outlined, and whether you will be extending or establishing your market position
- your target customers or end users, and the value to them, for example, why they would use or buy your product
- your route to market, particularly if COVID-19 has changed market dynamics
- how you are going to profit from the innovation, including increased revenues or cost reduction
- how the innovation will affect your productivity and growth, in both the short and the long term
- how you will protect and exploit the outputs of the project, for example through know-how, patenting, designs or changes to your business model
- your strategy for targeting the other markets you have identified during or after the project

If there is any research organisation activity in the project, describe:

- your plans to spread the project's research outputs over a reasonable timescale
- how you expect to use the results generated from the project in further research activities

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

### **9-10**

Target customers are identified along with the value proposition to them. The routes to market and how profit, productivity and growth will increase is identified and evidenced. The exploitation and/or dissemination of the main project outputs is outlined.

### **7-8**

Target customers are identified along with the value proposition to them. The routes to market and how profit, productivity and growth will increase is outlined with some evidence. The exploitation and/or dissemination of the main project outputs is outlined.

### **5-6**

Target customer types are described but the value proposition to them is less clear. There is some information about how profit, productivity or growth increases may be achieved at some point.

### **3-4**

There is some information about the target customer types but there is little about the value proposition or how profit, productivity or growth will be affected.

### **1-2**

The applicant provides little or no information about the target customers.

## **Question 15. Wider impacts**

What impact might this project have outside the project team?

Describe and, where possible, measure the economic benefits from the project such as productivity increases and import substitution, to:

- external parties
- customers
- others in the supply chain
- broader industry

Describe and, where possible, measure:

- any expected impact on government priorities
- any expected environmental impacts, either positive or negative
- any expected regional impacts of the project

Describe any expected social impacts, either positive or negative on, for example:

- lives impacted
- jobs, such as safeguarding, creating, changing or displacing them
- education
- public empowerment
- health and safety regulations
- joint ventures
- CO2 avoidance

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The positive impact on others outside of the team is understood (supply chain partners, customers, broader industry, etc) Social, economic and/or environmental impacts are considered. Expected regional impacts are described with compelling evidence to justify claims. Any possible negative impacts are fully mitigated where appropriate.

**7-8**

There is good awareness of how the project may impact others outside of the team. Expected regional impacts are described. Any possible negative impacts are partially mitigated where appropriate.

**5-6**

There is basic awareness of how the project could impact some others outside the project. Some relevant stakeholders are not considered. Little mitigation is offered where there may be negative impacts.

**3-4**

The applicant provides some information about possible impacts but significant gaps remain.

**1-2**

There is no information about how the project might impact others or how the project might have impact beyond the project boundaries.

**Question 16. Project management**

How will you manage your project effectively?

Explain:

- the main work packages of your project, indicating the lead partner assigned to each and the total cost of each one
- your approach to project management, identifying any major tools and mechanisms you will use to get a successful and innovative project outcome
- the management reporting lines

- your project plan in enough detail to identify any links or dependencies between work packages or milestones, taking into account the possible impact of further COVID-19 restrictions

It is expected that your GESI activities are interwoven throughout your project. If you chose to separate GESI activities into a separate work package an explanation needs to be provided.

You must submit a project plan or Gantt chart as an appendix to support your answer. It must be a PDF, up to 2 A4 pages long and no larger than 10MB in size. The font must be legible at 100% zoom.

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The project work packages are outlined with the research category, lead partner and total cost provided for each one. The approach to project management is described. The plan is designed to meet the objectives of the project in a realistic and efficient way. Any links or dependencies between work packages or milestones are identified. GESI activities are interwoven throughout the project, if not, a justifiable reason is provided.

**7-8**

The project work packages are outlined with the research category, lead partner and total cost provided for each one. The approach to project management is stated. The plan seems appropriate to the project objectives. Any links or dependencies between work packages or milestones are identified. GESI activities are interwoven throughout the project, if not, a justifiable reason is provided.

**5-6**

The project work packages are outlined but there are some details missing. The plan seems reasonable but not tailored to the objectives of the project. GESI activities are mentioned.

**3-4**

The plan has serious deficiencies or major missing aspects. The plan has little chance of meeting the objectives of the project. GESI activities are not mentioned

**1-2**

The plan is totally unrealistic or fails to meet the objectives of the project.

**Question 17. Project Legacy**

What will the effect of the project be on energy access in the target country beyond the lifetime of the project?

You are expected to consider how you will contribute to improving wider energy access in the target country, outside of technology development.

Describe where applicable the:

- continued benefit to the target country in relation to the wider energy access agenda and delivery of sustainable development goals (SDGs) 7 'Affordable and clean energy' and 13 'Climate action'
- connections and networks made through the project and consortium
- skills development and training in country

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

### **9-10**

The positive impact of the project legacy is fully understood outside of the technology development. There is a fully documented account of the continued benefit to the target country and the delivery of SDGs 7 and 13. There is a great understanding how the networks made during the project will have a benefit outside of the project.

### **7-8**

The positive impact of the project legacy is understood outside of the technology development. There is a documented account of the continued benefit to the target country and the delivery of SDGs 7 and 13. There is a great understanding how the networks made during the project will have a benefit outside of the project.

### **5-6**

There is a basic understanding of the positive impact of the project legacy outside of the technology development. There is a limited documented account of the continued benefit to the target country and the delivery of SDGs 7 and 13. There is a great understanding how the networks made during the project will have a benefit outside of the project.

### **3-4**

The positive impact of the project legacy is not understood. Description is limited to what will place during the lifespan of the project. There is limited to know documented benefit to the target country and the delivery of SDGs 7 and 13. There is limited understanding of how the networks made during the project will have a benefit outside of the project.

### **1-2**

There is no information about how the project might impact others or how the project might have impact beyond the project boundaries.

## **Question 18. Risks**

What are the main risks for this project?

Explain:

- the main risks and uncertainties of the project, including the technical, commercial, managerial and environmental risks
- how you will mitigate these risks

- any project inputs that are critical to completion, such as resources, expertise, and data sets
- any output likely to be subject to regulatory requirements, certification, ethical issues and so on, and how you will manage this

You must submit a risk register as an appendix to support your answer. It must be a PDF, up to 2 A4 pages long and no larger than 10MB in size. The font must be legible at 100% zoom.

**Your score should be based upon the following:**

**9-10**

The key risks and uncertainties of the project are considered and mitigated. Critical inputs to the project are identified. Relevant constraints or conditions on the project outputs (regulatory requirements, certification or ethical issues) are identified. The risk analysis is appropriate and professional.

**7-8**

The key risks and uncertainties of the project are considered with appropriate mitigations. Relevant constraints or conditions on the project outputs are identified.

**5-6**

Most major risks have been identified but there are some gaps or the mitigation and management is insufficient to properly control the risks.

**3-4**

The risk analysis is poor or misses major areas of risk. The mitigation and management is poor.

**1-2**

The risk analysis is superficial with minimal mitigation or management suggested.

**Question 19. Added value**

How will this public funding help you to accelerate or enhance your approach to developing your project towards commercialisation? What impact would this award have on the organisations involved?

Explain:

- what advantages would public funding offer your project, for example, appeal to investors, more partners, reduced risk or a faster route to market (this list is not exhaustive)
- the likely impact of the project outcomes on the organisations involved
- what other routes of investment have you already approached
- what your project would look like without public funding
- how this project would change the R&D activities of all the organisations involved

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

There is a compelling case for the positive difference funding will make. Alternative sources of support are described with an explanation of why they are discounted or used in conjunction with the grant funding. The project will significantly increase the industrial partners' R&D spend during the project and afterwards.

**7-8**

The arguments for public funding are good and justified. The project will significantly increase the industrial partners' commitment to R&D.

**5-6**

The public funding arguments are acceptable but the difference made by the grant will be modest. The project will improve the industrial partners' commitment to R&D.

**3-4**

Generic The funding arguments are poor or not sufficiently justified. There is not likely to be any improvement to the industrial partner's commitment to R&D.

**1-2**

There is no justification for public funding and no reason why the applicant should not fund the work.

**Question 20. 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?

In terms of your project goals, explain:

- your total project costs
- the grant you are requesting
- how each partner will finance their contributions to your project
- how this project represents value for money for you and the taxpayer
- how it compares to what you would spend your money on otherwise
- the balance of costs and grant across the project partners
- any subcontractor costs and why they are critical to your project

Your answer can be up to 400 words long.

**Your score should be based upon the following:**

**9-10**

The project costs are entirely appropriate and represent excellent value for money compared to alternative approaches outlined (including doing nothing). The partners have a clear idea of how they will finance their contribution. The balance of costs and grants between partners and use of subcontractors is justified and reasonable for the proposed project.

**7-8**

The project costs are appropriate and should be sufficient to successfully complete the project. The balance of costs and grants between partners and use of subcontractors seems reasonable. The project represents good value for money compared to alternative outlined approaches (including doing nothing).

**5-6**

The project costs seem ok but the justifications are not clear. The balance of costs and grants between partners is acceptable. Little information is offered about alternative approaches and the value for money this project offers.

**3-4**

The project costs seem too high or too low given the proposed project. The split of costs and grants between partners is unbalanced, or inappropriate use is being made of subcontractors.

**1-2**

The costs are not appropriate or justified. The balance between partners and subcontractors is not justified.