

# UKRI Industrial Strategy Challenge Fund Digital Innovation Hub Programme

## “Sprint” Exemplar Innovation Projects

### Guidance Notes for Applicants

Health Data Research UK (HDR UK) is leading the development and delivery of the ambitious, UK-wide Digital Innovation Hub Programme. As part of this programme, we invite proposals from consortia incorporating academic researchers, the NHS and industry to establish “confidence in concept” of the Digital Innovation Hub Programme technology, governance and delivery solutions.

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## Background

Please refer to the [Specification of “Sprint” Exemplar Innovation Projects on the MRC website](#) and the [Health Data Research UK website](#) for details of the programme.

## Eligibility

Applications must demonstrate participation across the following sectors: Academia, NHS and Industry. Each sector must be represented by a named lead. The proportion of input across the three sectors can vary according to project need.

Exemplars that tap into new ideas and technologies that would not be available to them through normal channels, with the prospect of speeding up the adoption of new technology are particularly welcome. All submitted ideas will be addressed on their potential to inform the design and delivery of the Digital Innovation Hub Programme and demonstrate commercial feasibility.

All proposals must be led by a NHS or academic organisation. At least one of the Senior Investigators must have a strong track record of grant support and/or research and innovation outputs. Evidence of active industry participation in the consortium and/or user-centred design based on defined innovation needs will be essential.

The lead applicant must hold an appointment at an established UK academic or NHS institution with significant health data science research activity. Additional investigators, for example from industry, without academic affiliation are encouraged, but may not lead.

HDR UK is actively committed to promoting equality and diversity.

Projects must start by February 2019 and complete by December 2019.

## Funding available

Up to £3M is available to fund the delivery of between six and eight Digital Innovation Hub Sprint Exemplar Innovation Projects. This is part of the Digital Innovation Hub Programme funded by the UK Research and Innovation’s Industrial Strategy Challenge Fund. Applicants may submit proposals in the order of £100,000-£400,000 and approximately six to ten months. Projects must conclude by December 2019.

Awards may include:

- Staff salaries (e.g. research staff, data architects, software engineers, project managers, technicians and other support staff). Please note that PhD studentships cannot be supported through this call.
- Consumables directly attributable to the project.
- Research equipment essential for the project (up to an anticipated maximum of £20,000, no single item of equipment may exceed £10,000 inc. VAT).
- Travel and subsistence, and other meeting costs where relevant.
- Contributions and research costs of industry – up to £100,000 for SMEs. It is not anticipated that large industry costs will be met.

Please note only direct costs will be covered by this grant, including directly attributable indirect costs (these must be absolutely required for delivery of the proposed work). Other overheads cannot be applied for. Applicants cannot apply for costs that are already covered by public or other sources of funding.

## **Industrial collaboration**

### Industrial collaboration document

Applicants will be expected to specify details of their industrial collaboration as part of their application.

### Consortia Agreements and Heads of Terms

**Successful applicants will be expected to enter into a legally binding Consortium Agreement with their project partners within two weeks of the issue of an award letter and in advance of a project starting. This agreement will allow the partners to think through and work out the arrangements for relative responsibilities in relation to governance, IP, reporting and access to data before a project starts.**

Applicants should submit a Head of Terms as part of their application. This is not legally binding but should be substantially similar to the Consortia Agreement that would be signed if the project were funded. The Heads of Terms should be compliant with state aid rules\* (and in this regard must meet the IP arrangements set out below) and cover:

- Scope and aims of the proposed project
- Duration of project
- Key tasks and responsibilities of the partners
- Project management arrangements
- Financial/resource contributions
- IP management and distribution arrangements
- Data management and governance
- Publications and announcements
- Withdrawal/Change of Control
- Termination

\*Your application should explain how you will satisfy State aid rules both in terms of the funding that you are applying for and the relationship as between consortium members.

### Industrial partner contribution

In calculating the value of the industrial partner(s)' contribution the following costs may be included:

- The salaries of the personnel working directly on the project
- Materials consumed in the course of the project
- Sub-contract charges and consultancy fees and cost of equivalent services used exclusively for the research activity, bought from outside sources project management costs such as travel, office space etc. that are in addition to those normally involved
- Cash contribution from the industrial partner (if applicable)

## Intellectual property

To be eligible for funding, the project must meet the Intellectual Property (IP) arrangements (as set out below), and these must be reflected in the Heads of Terms (HoT) to be submitted with your application.

- I. Industry partners do not seek pre-negotiated rights to any IP arising from the project which has been generated by academic or NHS partners. It may be acceptable for an industry partner to receive a non-exclusive license to use any data for internal research and development, where this explicitly excludes any rights to or capacity to prevent use or exploitation of this data by academic or NHS partners.
- II. There is no required minimum level of contribution by industry partners.
- III. Foreground project IP generated by an academic or NHS partner must be fully allocated to the academic or NHS partner in question.
- IV. Industry partners may have a right to negotiate for access (at a fair market price) to an academic/NHS party's IP but terms cannot be agreed until the project has been completed.
- V. Project results must be published in accordance with open access principles. Prior to publication, partners may have the opportunity to review manuscripts and raise objections but only when it is clear that publication will present a risk to their existing listed IP.
- VI. Project outputs will be published and HDR UK shall be entitled to make the same available to third parties as part of the Digital Innovation Hub programme and development, in particular, later phases of the programme (for example, the Design and Dialogue, and Delivery and Implementation phases).

## Open access to project results

Any scientific publications arising from the project must be published in accordance with open access principles.

## Outputs, monitoring and reporting

### Exemplar days

Successful applicants will be required to attend quarterly Exemplar Days – two Interim Exemplar Days and a final Exemplar day at the completion of the funded projects. Exemplar Days will be for all funded Sprint Exemplar Innovation Projects and will provide an opportunity for progress updates and cross-project dissemination. At each Exemplar Day all funded projects will be required to give a progress update presentation. The lessons learnt from all of the projects will be used to inform the design of the Digital Innovation Hub Programme Delivery and Implementation Phase.

Participation in the Exemplar Days is a condition of funding.

### Final report

Applicants will be required to submit a Final Report (no more than 10 A4 pages) within one month of the end date of their project. This should cover:

- Description of their project outputs

- Description of the likely impact of their project and how this contributes to the Delivery and Implementation phase of the Digital Innovation Hub programme.
- Description of the use of resources on the project

## **Payment and End of Grant Reconciliation**

Awards will be made to the Lead Organisation, in the name of the Lead Applicant. Research Organisations and the Lead Applicant will be required to sign and submit an Award Acceptance Letter within 10 days of receipt of the Award letter confirming their acceptance of the funding and responsibility for the project.

Successful applicants will receive an award letter, setting out the value of the award and duration. Payment of funds will be made quarterly in arrears on submission of an invoice against incurred spend. The total value of all claims may not exceed the total value of the award.

No extensions or supplements will be made to the Awards. (Costs of Parental Leave can be claimed from the award, in proportion to percentage of that person's time allocated to the project).

Applicants will be required to submit an End of Grant Reconciliation form, documenting spend on the project within once month of the end date of their project.

The final quarterly payment will be withheld until the Final Report has been received and the Grant reconciliation completed.

Occasionally participants will be asked to attend Industrial Strategy Challenge Fund (ISCF) engagement events or provide additional information for impact evaluation.

## **Additional information**

Receipt of funding for a Sprint Exemplar Innovation Project will NOT be a requirement of future involvement in the Digital Innovation Hub Programme.

Successful Sprint Exemplar Innovation Projects will be expected to work and share know-how with HDR UK to assist in the design of the Digital Innovation Hub Interoperability Infrastructure. Lessons learnt from the projects will inform the development of the longer-term Digital Innovation Hub Programme and assist in defining research and innovation user needs.

The Sprint Exemplar Innovation Projects competition is not restricted to current HDR UK sites.

## **How to apply**

The selection of Sprint Exemplar Innovation Projects will be via an open competition, with an independent expert panel administered in partnership between HDR UK and the Medical Research Council (MRC) on behalf of the UKRI ISCF Programme. The independent expert panel will assess the applications and advise the UKRI ISCF Programme, and HDR UK.

**All applications must be made by email to [informatics@mrc.ukri.org](mailto:informatics@mrc.ukri.org) with a copy to [Paul.Colville-Nash@mrc.ukri.org](mailto:Paul.Colville-Nash@mrc.ukri.org)**

The application form should be submitted by a single Lead Applicant, with offline input from other investigators or collaborators. This is an administrative consideration; if the application is successful, the single Lead Applicant will be recognised in the award letter.

Applicants will be required to submit one bookmarked PDF, comprising all the following details and documents (each document should start on a new page), plus a one-page Excel spreadsheet of the budget (using the template provided). Text should be single-spaced, with page margins of at least 2cm, using Arial 12 Font. Please note that any documents that exceed the guidelines on length, above, may be automatically truncated before being submitted for review.

The PDF and spreadsheet should be submitted to the MRC, as indicated:

**1. Consortia details and Project Summary:** maximum 1 page

Consortia details: Please detail the name of the Lead Organisation, Lead Applicant, any Co-investigators or Collaborators.

The named people should include a lead for each of the following sectors: Academic, NHS and Industry.

Project Summary: Please provide the title, start and end dates, and total funding request for the project. Please note that successful projects must start no-later than February 2019.

**2. Lay Summary and Scientific/Technical Abstract:** maximum 200 words each

Please provide a Lay Summary of your project with a clear statement of the relevance and benefits to patients and populations, suitable for a general audience. If your application is successful, this Lay Summary may be used in communication materials for the Digital Innovation Hub Programme.

Please provide a Scientific/Technical Abstract of your project, suitable for expert review. If your application is successful, this Scientific/Technical Abstract may be used may be used in communication materials for the Digital Innovation Hub Programme.

**3. Impact Statement:** maximum 200 words

Please provide an Impact Statement for your project. We define impact as the contribution of the proposed Sprint Exemplar Innovation Project to individuals and organisations who may participate in the Digital Innovation Hub Programme.

Please consider: the beneficiaries, end-users, and stakeholders of the prototype or demonstrator and benefits that might be co-produced with the DIH community including exploitation and commercialisation.

**4. Sprint Exemplar Innovation Project Proposal:** Maximum 4 pages, covering:

A case for support structured in the following order:

- Background
- Aims and objectives
- Relevance and potential impact to the Digital Innovation Hub Programme

- including evidence of user defined needs
- Identify what functions identified as priorities for the Digital Innovation Hub Programme this project will address
- Tools and methods
- Data access agreement status and confirmation of governance arrangements
- Capturing and dissemination of lessons learnt
- A Workplan covering timeline, milestones and deliverables (this can be presented as a GANTT chart)
- Evidence of Project Management capabilities and experience of having run similar sized projects in the past. A Track Record in leading similar consortia and delivering on time.

An additional single page appendix may be included to provide references or supporting information on the technology solution if needed.

#### **5. Budget: 1 page (using the Excel template provided):**

Please provide financial details of the project, with the following individual expense lines shown:

- Direct staff costs (e.g. staff salaries, employers NI, subcontractors or seconded staff). Indicate percentage of time for all staff, and name of staff where known.
- Travel and subsistence expenses (identify the meetings/travel planned for)
- Computing costs (e.g. data access costs, hardware/software purchases,)
- Industry partner costs (if applicable). Only SMEs are eligible for costs, up to a maximum of £100,000 per project.
- Other (please specify)

Only direct costs of the project can be applied for, including directly attributable indirect costs these must be absolutely required for delivery of the proposed work. Details about directly attributable indirect costs should be included in the 'other' section of the Excel template). Other overheads cannot be applied for.

Applicants cannot apply for costs that are already covered by public, or other funding sources.

#### **6. Applicants' CVs:**

Please combine the CVs of all investigators and collaborators, in the following order: Lead applicant (maximum two pages); other investigators (maximum 1 page each).

#### **7. Industrial Collaboration document: maximum 2 pages**

Please provide details of the collaboration in the following areas:

- Name of industrial partner and whether they qualify as SME or large industry
- What are the objectives of the collaboration?
- What does each party contribute to the delivery of the project and what task(s) are they responsible for? Is the contribution unique or could a similar contribution be made by an alternate group/organisation?
- Please describe how the proposed collaboration either enables the planned project to be undertaken or enables the planned project to be undertaken to the required quality or timescale
- Please summarise how emerging results, know-how and/or IP will be managed
- Please provide justification for the industrial costs

- Please provide an explanation of how you will satisfy State aid rules both in terms of the funding that you are applying for and the relationship as between consortium members.
- Please confirm that all parties have signed up to the IP Principles for the Sprint Exemplar Innovation Projects and that these are reflected in the Heads of Terms

#### **8. Heads of Terms:** maximum 6 pages

Please submit Heads of Terms. They should be compliant with state aid rules (and in this regard must meet the IP arrangements set out above) and cover:

- Scope and aims of the proposed project
- Duration of project
- Key tasks and responsibilities of the partners
- Project management arrangements
- Financial/resource contributions
- IP management and distribution arrangements
- Data management and governance
- Publications and announcements
- Withdrawal/Change of Control
- Termination

These are not legally binding but should be substantially similar to the Consortia Agreement that would be signed if the project were funded.

#### **9. Ethics and Data: Governance Approval:** maximum 1 page (an additional single page appendix may be included for a data flow diagram if needed).

All patient data that is to be used in the Digital Innovation Hub - Sprint Exemplar Innovation Projects must operate in line with robust governance and ethical standards that satisfy (amongst others) guidance provided by the Health Research Authority, Information Commissioner's Office and National Data Guardian.

Please identify the lead contact, with responsibility for data governance on behalf of the consortia. Provide details of the status of your governance arrangements, with clarity and assurance that the necessary approvals are in place to deliver the proposed project on time.

A statement is required to confirm that you have considered and agreed within the consortium how to manage ethical, legal and governance issues relevant to the project (e.g. data protection, research approvals and meeting Information Governance standards), and that the responsibilities of each consortia member are clearly established. Where relevant, a data flow diagram should be included to demonstrate that these legal, ethical and governance issues have been identified and will be robustly managed.

Please note that proposals must utilise existing data and should not be reliant on new data collection.

#### **10. Letter from Employing Organisation:** maximum 1 page

Please upload a letter of support from the individual in your organisation (e.g. Research Office, financial director) authorised to confirm that they have read this application, have approved the costs submitted, and are willing to host and manage the project and the grant should this application be successful.



Each letter must confirm that: if not already covering the entire period of the project, then the contract of employment for the Lead Applicant will be amended and/or extended as necessary to enable the successful completion of the project; the project will be given full access to the facilities, equipment and personnel as required by the application; the indicative costs included in the application have been correctly calculated with the support of the Research Office (or equivalent), the letter signatory is authorised to approve the submission of applications for funding, and the application has met all internal approval procedures.

Please note that letters from collaborators are not needed.

**11. Declarations of Interest:** maximum 1 page

Please outline any private, personal or commercial interest relating to the application that the Lead Applicant, Co-applicants or any Collaborators have. These could include shareholdings in or research support received from the Industry partner. How are any conflicts of interest being managed?

**Applications must be submitted no later than 09:00 GMT on 7<sup>th</sup> December 2018.**

**Only applications submitted through [informatics@mrc.ukri.org](mailto:informatics@mrc.ukri.org) with a copy to [Paul.Colville-Nash@mrc.ukri.org](mailto:Paul.Colville-Nash@mrc.ukri.org) will be accepted for processing. The application submitted through this email address will be taken to be the final version and will be the version used for assessment.**

**Submission of an application indicates the Lead Organisation’s formal acceptance of the proposal, approval of salaries and resources sought as well as their acceptance of the Terms and Conditions of the award.**

**Application Checklist for Digital Innovation Hub ‘Sprint’ Exemplar Innovation projects**

For your application to be eligible for consideration it must include all the relevant documents. Please use this checklist to ensure that you have included all the necessary documents in your application before making your submission.

| Item | Details                                       | Page Limit   | Included? |
|------|---|--|-----------|
| 1    | Consortia details and Project Summary         | 1 page   |           |
| 2    | Lay Summary and Scientific/Technical abstract | 200 words each   |           |
| 3.   | Impact Statement                              | 200 words  |           |
| 4.   | Case for Support                              | 4 pages (with 1 page reference or technical annex if required) |           |
| 5.   | Budget  | 1 (Excel template)   |           |
| 6.   | Applicants CVs                                | 2 page for Lead Investigator<br>1 page for other investigators |           |
| 7.   | Industrial Collaboration Form                 | 2 pages  |           |
| 8.   | Heads of Terms                                | 6 pages  |           |
| 9.   | Ethics and Governance Approval                | 1 page (with 1 page data flow diagram annex if required)       |           |
| 10.  | Letter from Employing Organisation            | 1 page   |           |
| 11.  | Declarations of Interest                      | 1 page   |           |

**Applications should be submitted as one overall (bookmarked) PDF by the Lead Applicant to [informatics@mrc.ukri.org](mailto:informatics@mrc.ukri.org) copied to [Paul.Colville-Nash@mrc.ukri.org](mailto:Paul.Colville-Nash@mrc.ukri.org) by 09:00 on 7<sup>th</sup> December 2018.**

## **Assessment**

All applications will be assessed by a specially-constituted multidisciplinary panel, against the following criteria:

- Innovative nature and added value of the proposed work
- Availability and quality of data for research purposes
- Impact of anticipated outcomes and value to research and innovation uses
- Potential added value of combined expertise of co-investigators and partners
- Ability to deliver tangible outcomes that will inform the longer-term DIH programme
- Value for money
- Design and experience of project management

The panel will be chaired by an independent expert and will meet in mid-December 2018. The assessment will not include an interview.

**The decision of the panel is final and will not be open to appeal.**

## **What we will do with your information**

In accordance with the General Data Protection Regulation 2018, the personal information that you provide within the application will specifically be used for administering this call. The information will be viewed by HDR UK and UKRI staff and selection panel members, and your information will not be used for any other purpose without your specific consent.

## **Application and award timetable**

Opening date for applications 10<sup>th</sup> October 2018

Closing date for applications 09:00 on 7<sup>th</sup> December 2018

Review panel meeting December 2018

Project start date by mid-February 2019

## **Further information**

### **Webinars**

HDR UK will be hosting two webinars to give an opportunity to discuss the Sprint Exemplar Innovation Projects.

These are scheduled for:

10<sup>th</sup> October 2018, 1130-1230

15<sup>th</sup> November 2018, 1030-11:30

### **Contacts**

For further information about the Digital Innovation Hub Programme visit [www.hdruk.ac.uk](http://www.hdruk.ac.uk)

For questions regarding scope and remit of the Sprint Exemplar Innovation Projects, please email [enquiries@hdruk.ac.uk](mailto:enquiries@hdruk.ac.uk) or call 0203 371 1393.

For questions regarding the application process, please contact: [informatics@mrc.ukri.org](mailto:informatics@mrc.ukri.org) or [Paul.Colville-Nash@mrc.ukri.org](mailto:Paul.Colville-Nash@mrc.ukri.org)