



# HIGHWAYS ENGLAND GRAFFITI FUNDING COMPETITION

Application Guidance

**Abstract**

Please read this document before completing your application form.

# Contents

1. Introduction .....	2
2. Application Process.....	2
How to Apply.....	3
Application Questions.....	3
Question 34   Project Summary .....	3
Question 36   The Challenge .....	3
Question 37   Innovative aspect of trial design.....	4
Question 38   Project Plan and Methodology.....	4
Question 41   Exploitation - Route to Market.....	4
Question 43   Project Finances .....	5
Question 45   Certification or accreditation .....	6
Notification of assessment outcome.....	6
Successful applications.....	7
3. Project Reporting.....	7
4. Technology Readiness Level .....	8
5. Funding Rules .....	9
6. Intellectual Property Rights.....	9
7. Finance Summary .....	10
VAT.....	11
8. Dates and Deadlines.....	11
9. Assessment Scoring Criteria .....	12
10. FAQs .....	14

# 1. Introduction

- 1.1 Highways England (HE) is seeking to advance promising new products and services that have the potential to both remove and prevent the use of graffiti on the strategic road network. This ambition is being delivered through a competitive funding programme, delivered by the Connected Places Catapult. The programme, launching in May 2021, will award funding for up to 5 projects up to an individual project value of £30k.
- 1.2 Under phase 1 of this programme, up to 5 organisations will be awarded funding of £30k to undertake a project to design a trial, to test the effectiveness of their innovations in removing or preventing graffiti. Phase 2<sup>1</sup> will involve the trialling of a selection of the technologies from phase 1.
- 1.3 This programme provides 100% funding and is open to all UK-based businesses (including micro, small and medium-sized enterprises) and universities to support demonstrator projects which will increase accessibility.
- 1.4 This programme will be delivered by the Connected Places Catapult. The Catapult will play an active role in various aspects of the call and will offer successful projects additional market exploitation support throughout the funding period.

# 2. Application Process

- 2.1 In order to apply to this programme, you **must** be:-
  - Based in the UK; and
  - a business of any size
  - a university
- 2.2 Projects must be delivered by November 2021.
- 2.3 The maximum amount of funding available for each project is £30k.
- 2.4 There are two phases of this competition. In phase 1, funding will be awarded to design a trial whereby innovations would be tested in an operational environment. **Subject to funding being available**, in phase 2 a selection of projects from phase 1 will be selected to move to a physical trial on a road network testbed.
- 2.5 HE will consider proposals from consortia. However, a lead applicant, who will be the recipient should be identified.

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<sup>1</sup> Phase 2 trials are dependent on funding being available.

- 2.6 Applicants making more than one application will need to demonstrate an ability to deliver the projects concurrently.
- 2.7 Applicants must be open to working with a [Tier 1 supplier](#).

## How to Apply

- 2.8 Carefully read this guidance document and the Programme Specification document before preparing your application.
- 2.9 Please visit <https://cp.catapult.org.uk/opportunity/highways-england-graffiti-competition/> to download an application form. Once completed, it should be sent (along with any supporting documentation) to [graffiticompetition@cp.catapult.org.uk](mailto:graffiticompetition@cp.catapult.org.uk).
- 2.10 Only information in your application form will be assessed. No other documentation should be attached to your submission unless this is requested.
- 2.11 Applications must be submitted by **midnight on Thursday 10<sup>th</sup> June**. Late submissions will not be considered.
- 2.12 Please keep within the maximum word counts noted in each of the sections of the application form. Any content that exceeds the word count limit will be disregarded.
- 2.13 Please note that by submitting an application, you accept that any resulting offer shall be subject to the provisions of this Guidance Document, the terms outlined in the Programme Agreement and the clauses contained within the Offer Letter template.

## Application Questions

- 2.14 In addition to the information included in the application form, further guidance on what should be included in your responses is given below.

### Question 34 | Project Summary

- 2.15 Use this question to give a succinct overview of exactly what your project will entail.

### Question 36 | The Challenge

- 2.16 This question seeks to understand the main motivation for your project, i.e. you should clearly describe the problem or challenge you are seeking to address. You must clearly articulate why you consider this to be a high priority challenge for HE and why it is a major barrier within the industry.
- 2.17 You should not give full details of your innovation here, however, you should focus on why it is needed. Discuss what the possible unmet need or shortcoming is in the current practice.
- 2.18 Please ensure that you;

- Refer to how your proposal firstly addresses HE's technical challenges and priorities outlined within the Innovation & Modernisation Fund plan in the [Designated Funds Plan 2020-2025](#).
- Explain how your proposal aligns with the scope of this competition.
- It would be advantageous to refer to HE's [Customer Service Strategy](#) and [Strategic Business Plan](#).

#### Question 37 | Innovative aspect of trial design

2.19 For this question you need to provide a strong case as to how your innovation meets the challenge set out in the previous question, along with solid supporting evidence. For example, does your solution apply existing technologies in new areas, is it about developing new technologies for existing areas or is it a completely novel approach? Innovative proposals could include:

- Novel ideas, technology, processes and/or services.
- Ideas, concepts, or solutions from other sectors that could be applied to improve practices to remove and prevent graffiti.

Please include relevant diagrams or figures to clearly explain your concept. You should note what solutions currently exist and how your proposed innovation is different. Your application must provide details of its competitive advantage over any existing solutions. Explain how your solution will advance and improve the current state of play within the industry. Provide evidence of how or why your innovation or solution is likely to work. Supporting evidence should be included where appropriate.

#### Question 38 | Project Plan and Methodology

- 2.20 Your project plan should be highly credible, providing confidence that the project will be successfully delivered. Please include a Gantt chart in question 39 to support this section. Describe the roles, skills, and relevant experience of the project team, including any sub-contractors.
- 2.21 In this section please detail the aims and objectives of your project and how you plan to accomplish them. Details of milestones and deliverables shall be provided. Please note that your project should be completed by **30<sup>th</sup> November 2021**.
- 2.22 Clearly describe relevant risks to this project and how you plan to mitigate them. You should consider the limitations (potential and current) enforced by COVID-19 and how this will impact the project. In a wider sense, you should also demonstrate that you will implement the required health and safety procedures within your project.

#### Question 41 | Exploitation - Route to Market

- 2.23 Your application must include an exploitation plan that explains how you intend to further commercialise your technology, product or solution. You should demonstrate a clear understanding of your chosen market and provide data to

support any assumptions about potential market value, size and access. The project’s commercial opportunity should be comprehensively understood, with a clear and achievable route to market identified.

- 2.24 Projects should have a life beyond the end of the funding offered by this programme and your plans to further develop your work should be outlined. This could include forming commercial relationships with industry partners, applying for other funding calls or increasing investor readiness. You should be able to show that you have a thorough understanding of your approach to commercialisation and how this will be delivered.
- 2.25 Should your solution or product be implemented by Highways England as BAU via maintenance contractors, the following requirements will need to be actioned.
  1. You will need to ensure a GG104 risk assessment is completed. [Please click here to access the GG104 within the Design Manual for Roads and Bridges \(DMRB\).](#)
  2. Your solution must adhere to the requirements concerning anti-graffiti applications, as outlined in [this section of the DMRB.](#)
  3. The following requirements, outlined within the [Manual of Contracts for Highways Works \(MCHW\) Series 1700](#), in particular 1709, will need to be met.

**Question 43 | Project Finances**

- 2.26 You can claim up to £30k of your project costs under this programme. Any additional funding will need to be directly contributed as matched funding by the applicant.
- 2.27 Projects should demonstrate value for money. All cost information provided should be clearly explained and all rates must reflect fair market value. Sub-contractor and material costs should be justified. A reasonable daily rate for staffing would be approximately £200 per day. Therefore, in instances where this rate is higher, please provide an explanation as to why the staff member is critical to the project.
- 2.28 Your finance table should clearly describe what you will spend the funding on and justify why. Your finance projection should:
  - Demonstrate value for money e.g. competitive day rates, equipment, services used etc.
  - Justify the costs, showing how they relate to the project plan, and how they reflect fair market value.
  - Include sufficient relevant detail in the cost breakdown for the assessor to understand what the money will be spent on.
  - Clearly explain the staff costs, using reasonable, fair market value rates.
  - Explain any other costs, such as materials.
  - List and justify any sub-contracting costs.

- Evidence in-kind contributions to the project.

2.29 If you expect to pay VAT during the delivery of the project, (e.g. for consultancy/ sub-contracting charges, material costs and other expenses), this must be recovered from HMRC and not included in your invoices. It is important to note that funding is not payable to you for any costs during the delivery of the research which may incur VAT which you are able to recover back from HMRC.

#### **Question 45 | Certification or accreditation**

2.30 Please let us know whether you have obtained any form of certification or accreditation for your solution and provide details. If you have not, please indicate whether this is something you would be willing to consider obtaining.

#### **How your application is assessed**

2.31 After the deadline, only applications that meet the eligibility criteria and scope of the competition will be formally assessed. HE reserves the right to declare applications as out of scope.

2.32 Applications that progress to the assessment stage will be reviewed by at least three expert assessors from Highways England, Kier and the Connected Places Catapult.

2.33 Assessors with a broad technical knowledge across different areas of transport and technology will mark your application. You should therefore write clearly in layman's terms, avoiding acronyms and obscure jargon.

2.34 This programme operates on an open and transparent basis; applications will be assessed against the scoring criteria, detailed in this document.

2.35 Following the initial assessment, a number of applicants will be shortlisted for interview (also called a Project Exploration Meeting). During the interview, you will be asked to discuss your proposal and how you will deliver the project effectively. You must be able to satisfy HE that your methodology is likely to deliver the results sought.

2.36 Final funding decisions will be made upon completion of all Project Exploration Meetings.

#### **Notification of assessment outcome**

2.37 If you are the lead applicant, you need to inform the other collaborators and partners about any funding decisions.

2.38 Only applicants that progress to the assessment stage will be given a breakdown of the scores achieved for each section of the application form.

2.39 HE reserves the right to declare applications unsuccessful and out of scope.

2.40 Once the final funding decisions have been made, we regret that we are unable to offer follow up meetings with unsuccessful applicants.

## Successful applications

2.41 You will be sent a conditional Offer Letter and No Subsidy Declaration that you must sign and return before you can raise invoices for the first tranche of funding.

2.42 Any additional finance documentation that are requested will need to be completed and returned within stated timelines.

2.43 There will be a project kick-off meeting within two weeks of awarding the funding to discuss the details of the project and how the Catapult can support you during the project delivery period.

## 3. Project Reporting

3.1 You will be expected to regular progress reports as required during the course of the project, with evidence of the achievement of key deliverables.

3.2 A first draft of the final report will be delivered two weeks prior to project completion. You will be given feedback on the report and may be asked to make changes before the final report is due (upon completion of the project).

3.3 The final report upon completion of the project should be no more than 20 pages long, excluding references or data tabulation annexes. It will be comprehensive and succinct. Final payment of the funding will be on condition of a high-quality report which clearly sets out:

- The problem, issue or challenge;
- The solution proposed;
- The work conducted and how this advances the solution;
- The project findings;
- Next steps to deploy the solution, if proven.

3.4 The final project report must cover:

- Executive summary, including project outcome;
- Aim of the project;
- Objectives of the project, including the key challenge being addressed;
- Outline of the concept
- How the idea was generated (e.g. is it an application from another industry?) and any intellectual property rights;
- The design of any trials, including end-user involvement
- Analysis and findings
- How the product or service was progressed through the TRL levels throughout the period covered by the funding

- Practical applications of the concept to the UK transport system (including costs);
- Next steps and routes to market;
- Conclusions.

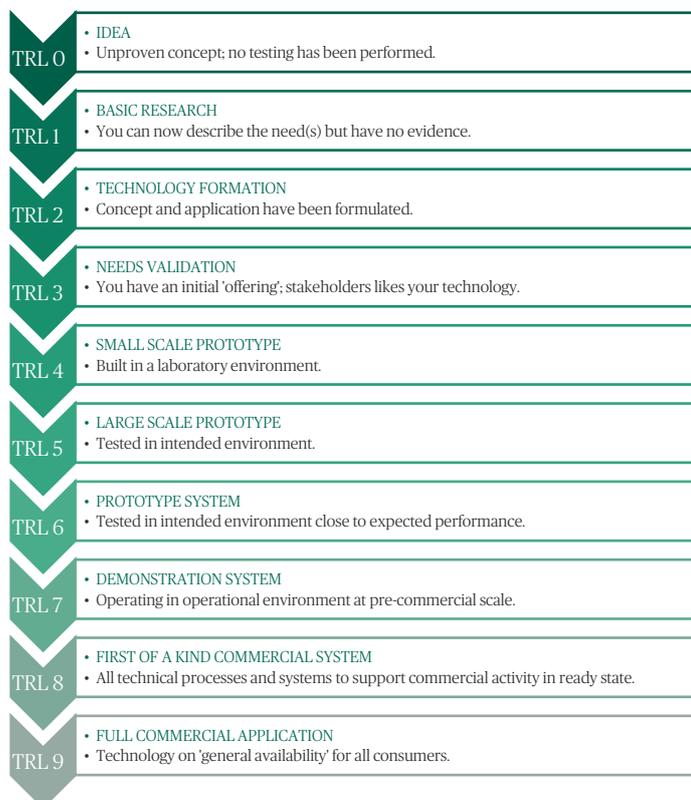
3.5 Along with the first draft of the final report, HE will require a one-page summary of your project, which will form an official programme case study. This will be released publicly, therefore it is important that you do not include any commercially sensitive information.

3.6 All reports should be written and presented to a professional standard and suitable for non-specialists, with all acronyms and unavoidable technical language clearly explained.

## 4. Technology Readiness Level

This programme is designed to support the development of initial prototypes, proof of concept or a feasibility studies that demonstrate an innovative solution to industry challenges.

4.1 The funding route is intended to support projects that are at or above TRL 4 on the **Technology Readiness Level** (TRL) scale (see below). The aim of the funding is to enable innovators to progress towards TRL 8 by designing a paper trial that can then be created in a real operational environment.



## 5. Funding Rules

### 5.1 Subsidies

Subsidy rules apply to schemes such as this. In principle, subsidies are not allowed under the UK's various trade arrangements with other countries. However, some subsidies are beneficial to the economy and support growth and other policy objectives. Subsidies can be given to support a wide variety of activities including research and development, environmental protection and aid for small to medium-sized businesses. The subsidy rules allow for aid to be granted which is necessary to deliver growth and other important objectives.

### 5.2 No subsidy

In order to minimise distortion of competition the EU-UK Trade and Cooperation Agreement sets limits on how much assistance can be given to organisations operating in a competitive market. This allows an organisation to receive up to 325,000 Special Drawing Rights (approximately £344,600) of state support over a rolling 3 fiscal year period without a subsidy being deemed to have been granted. You will be asked to declare any other public aid which your enterprise and any enterprises linked to it may have received during your current and previous two fiscal years so that we can ensure that any support given to you under this scheme does not constitute a subsidy.

Public aid also includes assistance such as free or subsidised consultancy services, marketing advice etc.

## 6. Intellectual Property Rights

- 6.1 The ownership of any intellectual property to emerge from the project will reside with you. However, you will be expected to agree that HE may disseminate any information or know-how learned from or created as part of the project among persons or bodies who have responsibility for similar projects.
- 6.2 You will be expected to agree that such persons may share and use freely all such information, know-how, systems or processes for their own purposes.
- 6.3 We want successful projects to reach the market as new solutions and steps will be taken to prevent any disclosure of intellectual property which might damage its value.
- 6.4 The funding agreement will also require you to grant a licence to HE under section 91(3) of the Copyright Designs and Patent Act 1988 in relation to the future copyright in works funded in whole or in part by the funding. The licence will be non-exclusive and granted without provision for the payment of royalties for the full period

protected by copyright in the works. This will allow HE to copy, issue or adapt any such works for its own purposes.

## 7. Finance Summary

- 7.1 Payments are staged. An up-front payment of 60% of the total funding value will be awarded at the beginning of August 2021 to enable the start of the project. The remaining 40% will be paid at the end of November 2021 once evidence of expenditure (in the form of a Statement of Funding Usage) and the final report have been provided and approved.
- 7.2 Your Statement of Funding Usage should be signed and authorised by the highest financial authority in the company. Please note that this payment structure is only a guide and may be altered according to the demands of your project.
- 7.3 Upon completion of your project, you will be expected to complete a statement of funding usage form to explain the costs incurred. This should detail staff time utilised, cost of materials, sub-contracting charges, travel expenses and other costs. You must provide receipts for all claims. Only economy-class travel claims will be accepted.
- 7.4 You will be responsible for maintaining detailed records and documentation of the costs incurred relating to the funding to demonstrate that they comply with state aid rules and are eligible under the Programme Agreement. Please note that we may employ an auditor to investigate the eligibility of costs and would therefore require access to your accounts.
- 7.5 The purchase of the following would be eligible; staff and/or consultancy, materials, equipment, and laboratory/testing costs. In addition, you are able to add costs under the category of 'other'. These will be agreed if they are shown to be fully justifiable and represent value for money.
- 7.6 Individual items costing £20 or less do not require a receipt. However, the total cost of non-receipted items should not exceed £100.
- 7.7 Rates for staff time should already include some overhead costs and therefore no further overheads charges should be made. However, the salary rates must be justified and appropriate, reflecting market values.
- 7.8 The invoices should be based on costs only. There should no profit margins added to the costs. The funding is paid to research a concept or technology, not provide profit. Therefore, the only claim that can be made is for costs incurred in the research of this concept.
- 7.9 Only costs incurred between project start and end dates will be paid. All claims made in the statement of funding usage form will be closely scrutinized.

## VAT

- 7.10 Funding payments fall outside the scope of VAT as this is deemed as income from non-business activities and you do not return anything for this funding therefore, VAT should not be added to any invoices.
- 7.11 Any VAT payment during delivery of the project that is not recoverable from HMRC and not identified in the finance section of the application form will not be paid by HE.
- 7.12 If you expect to pay VAT during the delivery of the project, (e.g. for consultancy/ sub-contracting charges, material costs and other expenses), this must be recovered from HMRC and not included in your invoices. It is important to note that funding is not payable to you for any costs during the delivery of the research which may incur VAT which you are able to recover back from HMRC.

## 8. Dates and Deadlines

- 8.1 Please note the dates and deadlines for the competition below. These are indicative timings; we will adhere to this schedule as best as possible. The closing date for applications is fixed and will be midnight on **Thursday 10<sup>th</sup> June**.
- 8.2 **Applications submitted after the deadline will not be considered. Extensions will only be granted under exceptional circumstances.**

Competition opens	10 <sup>th</sup> May
Application support webinar	21 <sup>st</sup> May
Competition closes (application deadline)	10 <sup>th</sup> June (midnight)
Notification to applicants shortlisted for interview	19 <sup>th</sup> July
Project Exploration Meetings (interviews)	19 <sup>th</sup> to 23 <sup>rd</sup> July
Offer letters issued to suppliers	27 <sup>th</sup> July
Acceptance of funding (return signed Offer Letter)	30 <sup>th</sup> July
Notification and feedback provided to unsuccessful applicants	2 <sup>nd</sup> August
Projects start	2 <sup>nd</sup> August

### Project reporting dates and deadlines

8.3 An indicative project reporting schedule is given below. This is subject to change on a case by case basis.

Milestone	Deliverable	Details
Agreed points throughout the project	Progress reports	You will be expected to regular progress reports as required during the course of the project, with evidence of the achievement of key deliverables.
First draft of final report (two weeks prior to project completion)	Draft of final report and one-page summary delivered to HE	First draft of final report should be submitted containing outline results, and complete textual and graphical content.  One-page summary (for public release) will contain key achievements.
Project completion	Final report and final one-page summary	Agreed final report incorporating comments and suggestions.
Project completion	Statement of Funding Usage	To be submitted to the Catapult

8.4 Where progress deviates from agreed schedule, HE may monitor projects more closely to help maximise the success of individual projects.

## 9. Assessment Scoring Criteria

- 9.1 This section contains the assessment scoring criteria for applications. You should refer to this section to help them write good quality applications and to maximise your score.
- 9.2 Applications will be assessed to ensure you have all the appropriate skills and expertise to successfully carry out the project.
- 9.3 The scoring guide below and the assessment criteria give indicative marks. Assessors are free to use the full range up to the maximum score per question.
- 9.4 Should there be several projects with the same scores, preference will be given to those projects receiving the higher scores for question 2, demonstrating a high level of innovation.

9.5 The applications will be marked on their responses to the following five questions (as in the application form).

- The challenge
- Innovation
- Project Management and Team
- Exploitation - Route to Market
- Project Finances

9.6 For each of the five questions, there is a maximum score of 10 available. Scores will be calculated using the assessment factors listed under each question.

## Questions

### **The Challenge**

What is the challenge being addressed by the proposed project?

*Assessment factors:*

- Challenge identification and validation
- Challenge alignment to HE's technical and strategic goals

### **Innovation**

How innovative is your proposal?

*Assessment factors:*

- Description of innovation
- Understanding and evidence of how the proposal is different to existing products/services

### **Project Management**

What is your project plan to deliver the project? What are the relevant skills and expertise of the team?

*Assessment factors:*

- Robust project planning, including clear deliverables and milestones
- Understanding of key risks and sound management plans
- Provision of the required expertise and skills

### **Exploitation - Route to Market**

How do you intend to bring your product or service to market following successful demonstration?

*Assessment factors:*

- Market understanding
- Comprehensive exploitation plan with achievable routes to market

**Project Finances**

How much will the project cost to deliver and how will this be spent to ensure value for money?

*Assessment factors:*

- Justified project costs
- Value for money
- Resource costs

## 10. FAQs

### 1. How much funding is available?

This programme will fund up to 5 projects up to £30k per project.

### 2. Can we add some profit margin?

No. Funding is paid to research a concept or technology, not provide profit. Funding awarded as part of this programme will help to provide proof of concept. Therefore, the only claim that can be made is for costs incurred during the research process.

### 3. What is state aid?

Please refer to section 5 of this guidance regarding subsidies.

### 4. What can I include in the project finances?

The following categories of costs are eligible within this programme:

- Daily salary rates for named employees
- Consultancy or subcontracting costs
- Materials, equipment and consumables
- Other expenses (should be specified in proposal)

Please note that projects can be valued at over £30k. In this case, applicants will need to contribute any funding that exceeds £30k.

### 5. What are the rules on VAT?

Payments fall outside the scope of VAT as this is deemed as income from non-business activities and you do not return anything for this funding therefore, **VAT should not be**

**added to any invoices.** Any VAT payment during delivery of research that is not recoverable from HMRC and not identified in the application form will not be paid.

#### 6. Should overheads be included in the salary rates or shown separately?

Salary rates should already include some overhead costs and therefore there should be no need to add further overheads.

Salary rates must be justified and appropriate, reflecting market values. Rates will be judged on the level of staff expertise, where they are located and compared to market rates. The panel will assess whether the number of staff days on offer will deliver the proposed solution and whether the number of total staff days offered signifies value for money.

#### 7. Do I need to keep receipts of my expenses?

Yes, you will need to submit relevant receipts/invoices for expenses as evidence of project costs. Before final payment is made you will be required to supply receipts for individual items **costing £20** or more. The total cost of non-receipted items should not exceed £100.

Funding beneficiaries will be required to explain costs incurred including staff time and supply receipts as outlined above.

#### 8. There seem to be a lot of documents involved in this call, could you explain their purposes and when I should be focusing on each?

Document Name	Function	When it is important
Application Form	This helps applicants organise the right information with which to apply for funding.	During the application process
Guidance Document	This assists with filling out the application form and includes FAQs.	During the application process
Programme Specification	This defines what projects HE is looking to fund.	During the application process
Offer Letter Template	This forms the basis of the funding agreement between HE and successful applicants.	During the application process and once the funding has been offered.

	It contains details of contractual terms and conditions.	
Report Template	This sets out how we would like to see final reports structured.	From the middle to the end of the project delivery period.
1-Page Summary Template	This sets the format for 1-page summaries of all projects so that they can be compiled into a summary for the whole call.	Towards the end of the project delivery period.
Grant Usage Form	This allows applicants to summarise the evidence of how they have used their funding.	Towards the end of the project delivery period.