



**SWINDON
& WILTSHIRE**

Health & Life Science
Innovation Hub

Guidance Document

Created to support the completion of the Swindon and Wiltshire Health and Life Science Innovation Hub application process.

1. Journey map which outlines the key stages of the application process
2. Guidance document which supports the completion of the application form and outlines eligibility criteria
3. Frequently Asked Questions

The Swindon and Wiltshire Health and Life Science Innovation Hub is a 3 year programme funded by the European Regional Development Fund, ending November 2019.



European Union

European Regional
Development Fund

1. Innovation Hub Application Process

The first step is to email your regional AHSN contact. Use the map below to help you identify who best to contact.

They will be your point of contact throughout this process.

Kate Phillips [Kate.Phillips@weahsn.net] or Frank Ratcliff [Frank.Ratcliff@wessexahsn.net]



We will arrange an initial 30 minute phone call with you to discuss the Swindon and Wiltshire Health and Life Science Innovation Hub, your business needs and the resources available.

You will then receive further information and the application form. Don't forget to contact us if you have any questions.

Once your completed form has been received by the AHSN it will be reviewed by the appraisal panel. They will check that it fits the European Regional Development Fund criteria. We will endeavour to process your application within 28 days, after which you will receive confirmation of eligibility to join the Innovation Hub and to have access to the resources.

Once eligibility has been confirmed, you will be asked to print, sign and send two copies of your application – one to Wiltshire Council and the other to the relevant AHSN (we will let you know the addresses). We will then arrange for you to access the resources and will continue to be your point of contact in the Innovation Hub. We like to hear how you are getting on, so please let us know!

We really value your opinion and are always looking for ways to improve so will be in touch throughout your time in the Innovation Hub with documentation to request your feedback.

2. Innovation Hub Guidance Document

This guidance document has been created to support the completion of the Swindon and Wiltshire Health and Life Science Innovation Hub application form. The Innovation Hub is a 3 year programme funded by the European Regional Development Fund, ending November 2019.

This document is divided into 4 sections. Each section corresponds to a section in the Innovation Hub application form.

Section A: Joining the Innovation Hub - (Completion is compulsory)

Section B: Applying for support from the business framework

Section C: Applying for a match funded grant

Section D: Declaration – (Completion is compulsory and a signature is required)

Section A Joining the Innovation Hub

The Swindon and Wiltshire Health and Life Science Innovation Hub is a 3 year programme funded by the European Regional Development Fund. The information requested in this section will be used to confirm your company meets the requirements of the funding bodies and is eligible to participate in the Innovation Hub project.

It is compulsory that applicants complete Section A.

Please answer all the questions in this section and ask your AHSN contact for support as needed.

State Aid

By adhering to the criteria for business support and the eligibility criteria, businesses should be exempted from State Aid by virtue of the relevant articles in General block exemption regulation (GBER). However, all businesses applying for business support should take necessary steps to ensure that they are able to make a declaration to the effect in which the support they are to receive is exempted from State Aid rules. However, should a business not be able to rely on the exemption, the de minimis rules should be applied. All businesses in receipt of business support will need to declare an exemption to State Aid, by virtue of GBER or de minimis. If a recipient business does not make a declaration, then the support will be deemed incompatible with State Aid rules they be withheld until a satisfactory conclusion of the notification process. Visit www.gov.uk/guidance/state-aid for further details.

Section B Applying for support from the business framework

The information requested in this section will be used to confirm your company meets the requirements of the funding bodies and is eligible to receive time with professionals from the business framework.

Completing this section is optional and depends on your business development needs.

About Business support

As a member of the S&W Health and Life Science Innovation Hub, you may be eligible for 2 days of specialised sector advice and professional services to assist your business with the development of your innovation.

The business support is available to small and medium enterprises (SMEs)¹ in the Health & Life Sciences and related key sectors, where there is a clear link to Health and Life Sciences, for the purpose of supporting the growth of businesses through research, development and innovation activities.

If successful, the support provided will be funded directly through the Innovation Hub, giving you access to the support that has been agreed, free of charge. Your AHSN contact will support you to decide how you use the 2 days and you can mix and match between the professional services for meetings or workshops.

Eligibility

- The applicant must be either an SME or an individual entrepreneur with a registered business, a Sole Trader, Partnership Organisation or Limited Company.
- Businesses in difficulty as defined under [state aid rules on rescue and restructuring](#) will not be eligible for business support.
- Business support can be awarded to any eligible business registered in England and
 - based in the Swindon or Wiltshire Unitary Authority areas, or
 - actively considering relocating to the Swindon or Wiltshire Unitary Authority areas, or
 - working to develop new products in partnership with Life Science companies in the Swindon or Wiltshire Unitary Authority areas.

Areas in which support are available

Accountancy and Financial Advice

- Company registration
- R&D tax credits
- Readiness and preparation for investment (e.g. seed, angel, Series A/B, crowd funding etc)
- Registration for EIS/SEIS.
- Patent box tax relief and interaction with R&D tax credits
- Commercial contracts
- Partnership and collaboration agreements

Intellectual Property Advice

- Route for IP protection (e.g. patent, design right, trademarks etc)

¹ An SME has a turnover of less than £25m, fewer than 250 employees, and gross assets of less than £12.5m

- Methods of capturing IP through the R&D process, Invention Disclosures and protecting the idea in the early stages through the use of appropriate Non-Disclosure Agreements
- Building an appropriate IP strategy
- Understanding the timing and costs involved in building an IP portfolio
- Application assistance to secure (or challenge) any of the above
- Freedom to operate searches, mapping the IP landscape of competitors and advice on strategies to avoid or prevent competitor infringement.

Product design and launch

- Market research
- Product launch planning
- Preparing development budgets
- Product development services including preparation of concepts for patient and clinical user reviews
- Design and prototyping services for Medical Devices
- Assistance with design for manufacture and design transfer, including supply chain identification and management
- Preparation of usability study that is compliant with international standards

Compliance and technical assistance

- Clinical trial design
- Health economics assessment
- Market Access and Evidence Evaluation, including preparation and submission of applications to the MHRA and NICE
- Regulatory compliance
- Preparation of the Technical File for CE marking to the appropriate Directive or Regulation
- Assistance with preparation of a submission to the FDA for the US market
- Installation of an appropriate Quality Management System required for a Healthcare company
- Health and Life Sciences funding support service

Application process

Applications for the business support open in summer 2017 and will remain open as long as the funding remains available.

Applications will be reviewed by a panel from the Health and Life Sciences project team.

We aim to process your application and respond with the outcome within 28 days of submission.

Application assessment

The panel will assess applications in accordance with the certain priorities including:

- Increasing the proportion of small and medium enterprises that are innovation active
- Increasing the number of businesses actively innovating to bring new products or new processes to the market
- Increasing the number of small and medium sized enterprises who collaborate with large enterprises, universities, research centres other public institutions
- Increasing the number of employees in each supported enterprise

Pre-award conditions (pre-contractual conditions)

A number of conditions will need to be fulfilled prior to receiving a grant:

- Submission of signed and completed application form, and any other supporting documentation.
- A completed State Aid declaration (see Section A)

On completion of any pre-contractual conditions successful applicants will be offered a contract for the Business Support with standard terms and conditions.

Section C: Applying for a match funded grant

Completing this section is optional and depends on your business development needs.

About the Innovation Grant

As a member of the Innovation Hub you may be eligible for an innovation grant.

The innovation grants are available to small and medium enterprises (SMEs)² in the Health & Life Science sectors for the purpose of supporting the growth of businesses through research, development and innovation activities which the applicant cannot ably supply from its own resources.

You can apply for a grant value between £1,000 and £10,000. The grants are match funded by the applicant, meaning you will need to fund a proportion of the cost of the project/activity applied for. Please see below for more information on the level of funding available for each activity type.

Eligibility

- The applicant must be either an SME, an individual entrepreneur with a registered business, a Sole Trader, Partnership Organisation or Limited Company.
- Businesses in difficulty as defined under state aid rules on rescue and restructuring will not be eligible for grant aid.
- The Grant can be awarded to any eligible business registered in England and
 - based in the Swindon or Wiltshire Unitary Authority areas, or
 - actively considering relocating to the Swindon or Wiltshire Unitary Authority areas, or
 - working to develop new products in partnership with Life Science companies in the Swindon or Wiltshire Unitary Authority areas.

What we will support

The purpose of the innovation grant is to support of business activity related to the carrying out of:

- 1- **Feasibility Studies** -evaluation and analysis of the potential of a project to support decision making.
Level of funding available: up to 70% of total eligible project costs.
- 2- **Industrial research projects, including projects involving collaborations** - planned research or critical investigation aimed at the acquisition of new knowledge and skills for developing new products, processes or services or for bringing about a significant improvement in existing products, processes or services.
Level of funding available: up to 70% of total eligible project costs.
- 3- **a) Experimental development**, - pre-competitive development category defined as “the acquiring, combining, shaping and using of existing scientific technological business and other relevant knowledge and skills for the purposes of producing plans and arrangements or designs for new, altered or improved products, processes or services”. This category does not cover routine or periodic changes to produces and services.
Level of funding available: up to 45% of total eligible project costs.
b) Experimental development including projects involving collaborations.
Level of funding available: up to 60% of total eligible project costs.
- 4- **Innovation to bring new products or new processes to the market.**

² An SME has a turnover of less than £25m, fewer than 250 employees, and gross assets of less than £12.5m

Level of funding available: up to 50% of total eligible project costs.

Eligible costs

Personnel costs

Researchers, technicians and other supporting staff to the extent employed on the project. Secondment of highly qualified personnel from a research organisation or large enterprise, working on research, development and innovation activities in a newly created function within the beneficiary

Equipment

Costs of instruments and equipment to the extent and for the period used for the project. Where such instruments and equipment are not used for their full life for the project, only the depreciation costs corresponding to the life of the project, as calculated on the basis of generally accepted accounting principles are considered as eligible.

Buildings and land

Costs for of buildings and land, to the extent and for the duration period used for the project. With regard to buildings, only the depreciation costs corresponding to the life of the project, as calculated on the basis of generally accepted accounting principles are considered as eligible. For land, costs of commercial transfer or actually incurred capital costs are eligible.

External costs

Costs of contractual research, knowledge and patents bought or licensed from outside sources at arm's length conditions, as well as costs of consultancy and equivalent services used exclusively for the project.

Costs of obtaining, validating and defending patents and other intangible assets.

Costs of innovation advisory and support services including consultancy, and training in the areas of knowledge transfer, acquisition, protection and exploitation of intangible assets, use of standards and regulations embedding them and the provision of office space, data banks, libraries, market research, laboratories', quality labelling, testing and certification for the purpose of developing more effective products, processes or services

Overheads and other expenses

Additional overheads and other operating expenses, including costs of materials, supplies and similar products, incurred directly as a result of the project.

Excluded costs

- Costs made prior to the agreement in writing between the applicant and the Project on the contractual terms and conditions of the investment
- Contingency costs on capital projects cannot be included project budget
- Statutory fees, fines and taxes (eg; road fund, planning fees, company registrations, parking fines, stamp duty, etc)
- Bank fees and charges
- Redundancy costs
- Volunteer and in-kind costs or purely notional costs as contributions to the project
- Costs related to insolvency or administration
- Expenditure not made in accordance with procurement and competition rules
- VAT will not be payable by grant. All costs applied for should be exclusive of VAT.

Application process

Applications for the grant opens in summer 2017 and will remain open as long as the funding remains available.

Applications will be reviewed by a panel from the Health and Life Sciences project team and the applicant will be informed of the outcome within 2 weeks of the review date.

Application assessment

The panel will assess applications in accordance with the certain priorities including:

- Increasing the proportion of small and medium enterprises that are innovation active
- Increasing the number of businesses actively innovating to bring new products or new processes to the market
- Increasing the number of small and medium sized enterprises who collaborate with large enterprises, universities, research centres other public institutions

Pre-award conditions (pre-contractual conditions)

A number of conditions will need to be fulfilled prior to receiving a grant:

- Submission of signed and completed application form, and any other supporting documentation, including final proposed budget
- Confirmed match funding (letters from funders, loan confirmation, letters from other grant or bursary bodies, bank statements indicating available funds) or provide an explanation of unconfirmed private funding and the probability of these becoming available to match the grant investment. If projected income from trading is proposed as match funding, then this will be queried at appraisal to see if it is a realistic proposition.
- Match funding used for project expenditure should be new funding. If a business proposes to deploy its staff to implement and carry out project activity, this resource can be counted as a project cost where it leads to new activities which would not otherwise have happened. Staff deployed to the project will need to show how their time has been dedicated to the project.
- All documentation related to procurements, including, if necessary a completed procurement exemption form
- A completed State Aid declaration (see below)
- All planning and other regulated consents have been obtained
- Demonstration that your business is not insolvent, at immediate threat of insolvency or in administration.
- Any other condition of the grant award made by the Project

On completion of any pre-contractual conditions successful applicants will be offered a contract for the grant with standard terms and conditions.

Claims

You will need to show that the costs have been incurred prior to claiming the grant. This means that you will need to cash-flow the costs of the investment prior to receiving the grant.

Claims will normally be made at the end of the project. The Project however, can offer flexibility to make interim claims if necessary.

You will be reimbursed upon presentation of valid claim to the Project. A valid claim will be made from:

- Evidence of eligible costs incurred for the agreed purpose of the grant
- Evidence of eligible costs incurred after the contract start date
- Evidence of defrayal from business bank accounts
- Signed Declaration by business for the claim
- Progress report indicating support provided by grant
- Fulfilment of any contractual conditions

Payments will be made by the Accountable Body up to 28 days following the authorisation of a legitimate claim, usually by direct BACS payment.

Section D Declaration- Compulsory

The Swindon and Wiltshire Health and Life Science Innovation Hub is a 3 year programme funded by the European Regional Development Fund. It is compulsory that applicants complete Section D.

Please follow the instructions in Section D to complete the declaration accurately. Please ask your AHSN contact for support as needed.

3. Frequently Asked Questions

- 1) Do I need to send you a hard copy of my application form?

Please submit the completed application form electronically and send it to your AHSN contact via email. If your application is successful then we will ask you to print, sign and post/scan your application to us for our records.

- 2) If my application to the business framework is successful, do I have to spend the 2 days with the same professional service?

No, you can mix and match the 2 days of business support between the 4 professional services on the framework. Your AHSN contact will work with you to identify how best to use the 2 days of support.