

Annex 2: Further SBRI Usage Tables

Table A2.1: Two-phase competitions by department /agency– part 1, Oct 2008- Oct 2016

Department	Number of two-phase competitions	Number of P1 applications	Number of P1 contracts	Nominal value of P1 contracts (£k)	Number of P2 contracts	Nominal value of P2 contracts (£k)	Total nominal value of contracts (£k)
Innovate UK	16	1453	376	21,107	175	48,021	69,128
NHS	26	1469	146	13,144	63	44,911	58,055
MoD	47	2200	436	29,666	64	13,448	43,114
DECC	7	376	101	3,032	42	35,632	38,664
DH	6	281	49	5,308	24	16,610	21,918
DAs	17	572	104	11,856	18	2,480	14,335
NC3Rs	13	90	41	4,079	11	9,394	13,473
HO	11	598	109	6,548	24	5,588	12,136
UKSA	5	55	14	1,760	7	5,820	7,580
DfT	6	282	51	3,138	6	2,745	5,884
BIS	5	164	41	2,076	14	3,230	5,306
DEFRA	6	118	36	910	11	1,872	2,782
RCs	2	26	11	527	4	1,939	2,466
DCMS	1	24	6	276	2	450	726
Border Force	1	35	9	400	2	-	400
EA	1	13	4	84	3	305	389
DFID	1	38	6	288	-	-	288
DWP	1	204	25	50	-	-	50
Grand Total	172	7998	1565	104,248	470	192,447	296,695

Source: Innovate UK Management Data

Notes:

1. This table shows the number of contracts and value associated with these competitions launched in the period October 2008 to October 2016, but decision dates for awarding these contracts were later than their launch dates

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2. This analysis includes two-phase competitions that have awarded either Phase 1 contracts only or contracts for both phases.
3. DfID and DWP have not awarded any Phase 2 projects by the time of this analysis.
4. '-' denotes data not available.

Table A2.1 presents the first part of descriptive statistics of two-phase competitions which awarded contracts. It shows 172 out of total 233 two-phase competitions have awarded Phase 1 contracts and of those 73 have awarded contracts for both phases, during October 2008 – October 2016. Among departments and agencies, Innovation UK has been the largest user of two-phase competitions with the highest amount of contract value of £69 million committed for 551 contracts (for Phase 1 and Phase 2) and 16 competitions launched during the period.

While departments/agencies tend to offer more Phase 1 contracts than Phase 2 contracts, Phase 1 contract value generally was considerable lower than Phase 2 contract value. An exception to this pattern is Devolved Administrations, which have awarded the total Phase 1 contract value of £12 million for 104 contracts, much higher than the total value of £2 million awarded for 38 Phase 2 contracts. It should be noted that many of those two-phase competitions have not awarded Phase 2 contracts at the time this data analysis was carried out. The total value of Phase 2 contracts could be much higher when more two-phase competitions have progressed to Phase 2.

Table A2.2: Two-phase competitions by department/agency – part 2, Oct 2008- Oct 2016

Department	Average value of P1 contracts (£k)	Average value of P2 contracts (£k)	Average value per competition (£k)	Success rate P1 (%)	P1 moving on to P2 (%)
Innovate UK	56	274	4320	26%	47%
NHS	90	713	2233	10%	43%
MoD	68	210	917	20%	15%
DECC	30	848	5523	27%	42%
DH	108	692	3653	17%	49%
DAs	114	138	843	18%	17%
NC3Rs	99	854	1036	46%	27%
HO	60	233	1103	18%	22%
UKSA	126	831	1516	25%	50%
DfT	62	458	981	18%	12%
BIS	51	231	1061	25%	34%
DEFRA	25	170	464	31%	31%
RCs	48	485	1233	42%	36%
DCMS	46	225	726	25%	33%
Border Force	44	-	400	26%	22%
EA	21	102	389	31%	75%
DFID	48	-	288	16%	-
DWP	2	-	50	12%	-
Grand Total	67	409	1725	20%	30%

Source: Innovate UK Management Data

Notes:

1. This table includes two-phase competitions that have awarded either Phase 1 contracts or contracts for both phases.
2. DfID and DWP have not awarded any Phase2 projects by the time of this analysis.
3. '-' denotes data not available.

Table A2.2 provides the second part of descriptive statistics of two-phase competitions, which awarded contracts during October 2008 –October 2016. Similar to the total contract value by phase reported in the previous table, the average value for Phase 2 contracts (£409,000) was much higher than that for Phase 1 contracts (£67,000).

In considering the success rates of two-phase competitions, we define the success rate for Phase1 as a ratio between the number of Phase 1 contracts awarded and the number of

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Phase 1 applications received. For the success rate of Phase 2, we consider as the ratio between the number of Phase 2 contracts awarded and the number of Phase 1 contracts (which in most cases is the same as the number of Phase 2 applicants). These are consistent with definitions used in the Manchester/ERC review.

For Phase 1, NC3Rs and Research Councils have achieved the highest success rate mainly because their competitions received fewer applications relative to contracts awarded than other departments/agencies. For Phase 2, the overall success rate for all departments has been higher at 30% than 20% for Phase 1. Among the major user departments, Innovate UK and DH have achieved fairly high success rates at 47% and 49% respectively. This means almost one in two Phase 1 contract winners have progressed to Phase 2 in the competitions launched by these two organisations.

Table A2.3: Phase 1 only competitions by department/ agency, Oct 2008- Oct 2016

Department	Number of P1 only competitions	Number of Applications	Number of P1 Contracts	Nominal value of P1 contracts (£k)	Average value of P1 contracts (£k)	Average value per competition (£k)	Success rate
MoD	52	2376	468	28,542	61	549	20%
DH	1	35	15	6,415	428	6,415	43%
HO	2	64	11	937	85	469	17%
DEFRA	4	51	18	891	49	223	35%
FSA	2	58	10	734	73	367	17%
DAs	2	54	16	662	41	331	30%
IPO	1	19	2	200	100	200	11%
DECC	1	8	4	110	28	110	50%
NHS	3	7	5	100	20	33	71%
EA	1	19	3	89	30	89	16%
Grand Total	69	2691	552	38,680	70	561	21%

Source: Innovate UK Management Data

Notes:

1. This table shows the number of contracts and value associated with these competitions launched in the period October 2008 to October 2016, but decision dates for awarding these contracts were later than their launch dates.
2. This analysis excludes Phase 1 only competitions that have not awarded any contracts.
3. 'Success rate' = number of contracts awarded/number of applications.

Table A2.3 above shows there were 69 Phase 1 only competitions that have awarded 552 contracts worth of £39 million in 2008-2016. Around 75% of Phase 1 only competitions (52) have been launched by MOD, which awarded 468 contracts worth of £29 million. The

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remaining 17 competitions were launched by the other 9 departments, awarding a total of 84 contacts worth of £10 million.

The average contract value for Phase 1 only competitions amounted to £70,000, but varied considerably from £20,000 in NHS, to £428,000 in DH. For all departments and agencies, except IPO and DH, the average contract value was below £100,000.

Success rates ranged from 11% in IPO, 71% in NHS. The main reason for higher success rates among NHS and DECC is that Phase 1 only competitions launched by these departments have attracted only a few applications.

Table A2.4: Phase 2 only competitions by department/ agency, Oct 2008- Oct 2016

Department/ Agency	Number of P2 only competitions	Number of Applications	Number of P2 Contracts	Value of P2 contracts (£k)	Average value of P2 contracts (£k)	Average value per competition (£k)	Success rate
Innovate UK	2	82	6	7,187	1,198	3,593	7%
DH	1	11	5	4,542	908	4,542	45%
NC3Rs	5	37	5	3,496	699	699	14%
HO	1	53	3	326	109	326	6%
DfT	1	19	3	300	100	300	16%
DAs	2	123	9	207	23	104	7%
MoD	1	12	1	199	199	199	8%
DFE	2	58	2	196	98	98	3%
FSA	1	9	7	190	27	190	78%
OS	1	125	6	181	30	181	5%
Grand Total	17	529	47	16,824	358	990	9%

Source: Innovate UK Management Data

Notes:

1. This table shows the number of contracts and value associated with these competitions launched in the period October 2008 to October 2016, but decision dates for awarding these contracts were later than their launch dates
2. This analysis excludes Phase 2 only competitions that have not awarded any contracts.
3. 'Success rate' = number of contracts awarded/number of applications.

During October 2008 – October 2016, 17 Phase 2 only competitions were launched, awarding 47 contracts worth of £17 million, as shown in Table A2.4. Compared with Phase 1 only data, the number of Phase 2 only competitions is more evenly distributed across departments with NC3R having launched the highest number of 5 competitions.

While Innovate UK has only launched 2 Phase 2 only competitions, it awarded 6 contracts worth of £7.2 million, the highest amount for this type of competitions across departments/agencies. The next two biggest users in terms of contract value committed are DH (£4.5

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million) and NC3R (£3.5 million), each awarding 5 Phase 2-only contracts. The average contract value for Phase 2-only competition stood at £358,000, varying considerably from £27,000 in FSA to £1.2 million in Innovate UK.

Table A2.5: Annual SBRI contract value (in nominal terms) by department and agency, 2009/10-2016/17

PSB (Previously targeted PSB in bold)	2009-10 (£000)	2010-11 (£000)	2011-12 (£000)	2012-13 (£000)	2013-14 (£000)	2014-15 (£000)	2015-16 (£000)	2016 (up to Nov, £000)	Total	2013-14 target (£000)	2014-15 target (£000)	2014-15 procurement budget (£million)	SBRI Spend as Proportion of Gross Procurement Budget
Innovate UK	15,885	200	1,884	19,798	11,693	15,020	9,804	2,031	76,314				
MoD	6,141	5,586	14,692	7,631	9,623	11,506	9,664	7,012	71,854	50,000	100,000	20,981	0.05%
NHS	1,153	2,754	1,466	1,754	7,097	22,295	17,522	4,115	58,155	30,000	60,000	64,864	0.05%
DH	5,113	0	0	1,123	5,582	10,100	0	10,957	32,876				
DECC	0	1,941	0	6,758	23,190	927	5,958	0	38,774	3,000	6,000	3,676	0.03%
NC3Rs	0	0	3,496	1,176	2,812	6,422	1,563	1,499	16,969				
DAs	0	81	0	774	562	2,652	10,644	491	15,205				
HO	1,080	288	859	554	977	4,740	3,247	1,655	13,399	7,000	14,000	2,519	0.19%
UKSA	0	0	0	1,022	5,084	0	738	737	7,580				
DfT	300	0	0	0	141	5,393	350	0	6,184	7,000	14,000	3,964	0.14%
BIS	0	491	498	1,178	2,505	634	0	0	5,306				
DEFRA	0	1,277	405	1,183	549	259	0	0	3,673	3,000	6,000	1,388	0.02%
RCs	0	0	0	280	800	247	1,139	0	2,466				

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FSA	0	230	190	504	0	0	0	0	924				
DCMS	0	0	0	0	0	0	276	450	726				
EA	0	0	0	478	0	0	0	0	478				
Border Force	0	0	0	0	0	400	0	0	400				
DFID	0	0	0	0	0	0	288	0	288				
IPO	0	0	0	200	0	0	0	0	200				
DFE	0	0	0	0	0	0	96	100	196				
OS	0	181	0	0	0	0	0	0	181				
DWP	0	0	0	0	0	50	0	0	50				
Total	29,672	13,029	23,490	44,413	70,613	80,647	61,288	29,048	352,199				

Source: Innovate UK management data; HM Treasury Public Spending Statistics /Gross Procurement Amounts (PESA Chapter 2 definition – using the wider Chapter 5 definition would show SBRI use as smaller percentages); DH and NHS were considered as one public sector body with target.

Note: The SBRI usage analysis in this document excluded three partially European Commission funded pre-commercial competitions, one unknown type of competition and one third-phase competition with unknown opening month. These accounted for an additional £7m of spending in 2013/14, £2m of spending in 2014/15, and another £2m in 2015/16.