CONTENTS

1. PURPOSE

1.1 The Department for Transport (DfT) require a Provider to manage and successfully deliver an established innovation grant programme called Transport Technology Research Innovation Grants (T-TRIG). This programme enables the Department to support innovation in transport through seeking new ideas that address the Department's objectives. A highly skilled organisation, proficient in areas of grant management, marketing, communications and stakeholder engagement is required.

2. BACKGROUND TO THE CONTRACTING AUTHORITY

2.1 People want safe, reliable and affordable journeys but more people are travelling, and we are going further than ever before. Roads, airports and trains are becoming increasingly crowded. DfT are investing in the biggest modernisation programme for a generation, bringing the transport system into the 21st Century. DfT want to deliver changes that really make a difference for the travelling public, as quickly and efficiently as possible. New technologies and innovative ideas have the potential to support these aims.

2.2 The Department for Transport supports innovation in a number ways, one of which, is grant funding projects that can help the Department take a step closer to meeting its objectives.

2.3 The DfT Office for Science (DO-Science) is the contract manager for this service. DO-Science's role is to improve the quality and use of science, technology, engineering and maths (STEM) evidence and advice in DfT's strategy and decision-making. One of the key aims is to drive forward innovation and technology to help deliver an efficient transport system that works for everyone.

3. BACKGROUND TO REQUIREMENT/OVERVIEW OF REQUIREMENT

3.1 The T-TRIG programme has been running since 2014 with the aim of identifying and supporting innovative science, engineering or technology-based projects that have the potential to impact the development of novel products, services or tools that would enable a more efficient transport system in the UK. In the past DfT have run on average 2 calls per year. The programme includes an open call that encourages application for any innovative concept that is transport-related as well as targeted calls that seeks to identify innovation in specific areas of DfT interest for instance; Big Data or the Maritime Security Programme.

3.2 DfT require a Provider to work closely with to run this programme, from engaging internally within DfT to identify targetted calls and obtain necessary permissions; to marketing and promoting the grants; assessing them; managing them and helping the parties who are awarded the grants make the next steps.

3.3 T-TRIG has provided an efficient route to access innovative transport-related ideas from other sectors. It has demonstrated the proof of concept of several early-stage innovations, while highlighting the benefits for the UK transport system.

3.4 The funding available for projects is around £25k - £50k and usually lasts for 3 – 6 months. The funding is open to all businesses including micro, small and medium-sized enterprises, academia and other organisations.

3.5 The proposals are designed to prove a concept or demonstrate feasibility. The main aims of T-TRIG are to enable the Department to:

      3.5.1 Reduce barriers to innovation and advance technology in transport;

      3.5.2 Enable a better transport system in the UK;

      3.5.3 Exploit smart ideas that have the potential to develop further;

      3.5.4 Fund early-stage innovations to take to the next stage of development.

3.6 The programme is designed to stimulate ideas in transport technology and systems, encouraging innovation and support of the advancement of technology-based transport products, processes, services and tools. Funded projects may also have wider benefits for DfT, such as developing the evidence base for policies or informing decision-making.

3.7 A unique feature of T-TRIG is that the projects are fully funded. In addition, as a DfT-run programme, calls and projects funded are priorities to meet the departmental policy needs. T-TRIG also has the benefit of joining up the policy leads with the innovators working in their area.

3.8 To date, the Department has developed and iterated the innovation grant funding programme to help better align it with DfT's priorities. The purpose of this requirement is to streamline the administration and delivery of the grant programme, including working to maximise the impact of the funded projects, while maintaining DfT oversight of the process.

3.9 An example of a previous competition call, together with the grant application form and supporting documents can be viewed here: https://www.dft.gov.uk/innovation-grants/innovation-grants/t-trig/

3.10 The engagement and access to relevant stakeholders, especially those from academia and industry and small to medium enterprises (SMEs) is crucial and in the past webinars and social media have been used to improve engagement. The potential providers should show in their response how in the past they have engaged with these communities.

4. DEFINITIONS

Expression or Acronym	Definition
DfT	means Department for Transport
DO-Science	means DfT Office for Science
GoL	means Grant Offer Letters
SME	means Small Medium Enterprise
STEM	means Science, Technology, Engineering and Maths

T-TRIG	means Transport Technology Research Innovation Grants

5.   SCOPE OF REQUIREMENT

5.1   The delivery of the T-TRIG programme is multi-faceted and includes the following:

5.1.1   Competition approval as part of DfT's internal processes.

5.1.2   Preparation of competition documents: Specifications, application forms, FAQs and assessment criteria (this would build on previously used documentation).

5.1.3   Competition launch: Working with DfT comms, this should include a variety of engagement routes, for example website, webinars, social media and replying to any queries.

5.1.4   Receiving, collating and acknowledging applications.

5.1.5   Triage and scoring of applications: Those within scope sent for assessment to DfT colleagues, partner organisations and the Provider (a minimum of 3 scores are expected for each application).

5.1.6   Moderation meetings: Separate meetings will be required for each open and targeted call. The number of meetings will depend on the number of targeted calls. Scores need to be collated and the merits of each application discussed according to the assessment criteria and DfT policy need.

5.1.7   Notifications to successful and unsuccessful applicants: Successful applicant need to be notified and provided with Grant Offer Letters (GoL). Unsuccessful applicants need to be informed and feedback provided.

5.1.8   Initiation meetings: All successful applicants should have an initiation meeting with DfT policy or technical leads and the Potential Provider. Any amendments to the proposal needs to be reflected in the GoL.

5.1.9   Complete DfT internal processes: Each successful applicant will need to be entered into a grant vendor system which will initiate an initial payment. Grant recipients need to be informed of when payment will be received.

5.1.10   Progress reporting: 6-8 weekly collation and monitoring of brief progress reports and at least 1 site visit per project.

5.1.11   Receipt of final reports: Reminders to be sent regarding draft reports and final project reports. Reports to be reviewed by the application assessors. Comments relayed to applicants to improve the report.

5.1.12   Hold a close out meeting: This should aim to improve the impact or next steps of the project. Engage with these next steps where feasible.

5.1.13   Publication: Engage with DfT Comms to facilitate publication. Log the final reports on a DfT database.

5.1.14   Organise a workshop for selected successful projects to showcase the output to DfT colleagues as well as engaging with other organisations or groups that could seek to offer follow on support to improve the implementation of a successful project.

5.2   The DfT is looking for a Provider to manage and deliver the T-TRIG programme, working closely with DfT colleagues to ensure the efficient delivery of the programme and to maximise the impact of the funding. This will include having efficient access to niche markets and sectors to promote the grant funding available.

5.3   The Provider will need to have the ability to provide a wide range of functions to successfully deliver T-TRIG within a short time frame. The Potential Provider needs to be able to provide skills in promoting and marketing the competition, have strong communications and networking skills; and demonstrable financial, project and programme management skills.

5.4   Management and delivery of this programme will require a flexible, reputable and impartial Provider with transport-specific knowledge and expertise. The Provider will be required to work in collaboration with internal DfT and external stakeholders and other government departments.

5.5   Strong working relations with DfT's legal, communications and finance departments will be essential in managing conditions and grant payments. The Provider will need to understand the rules and regulations of grant funding and comply with state aid rules.

5.6   The successful Provider must have an existing extensive network of contacts consisting of, but NOT limited to, academics, SMEs and start-up organisations. Promotion, marketing and communications skills are essential. The Provider must demonstrate expertise in the use of various methods of marketing and be able to reach a wide and varied audience with ease. Although access to transport researchers is essential, the ability to reach other sectors is also required.

5.7   Efficient management and triage of a large number of applications will be key to ensuring all submissions made to the grant competition receive a fair and timely assessment.   Transport knowledge will be key in using set criteria to triage applications which meet the minimum requirement based on the level of innovation described.

5.8   Excellent data collection, assimilation and analysis methods will be required to manage application assessment decisions.

5.9   The Provider is expected to deliver the whole programme from launching a competition through to awarding of grants including monitoring, delivery and formulating next steps of successful project bids. The T-TRIG programme will have a budget of up to £750k for an open and targeted call.

6.   THE REQUIREMENT

6.1 The Provider responding to this specification should carefully consider the scope of the requirement detailed in section 5. The detail of the requirement to be delivered as part of this project is given below.

6.2 The number of funded projects will depend on the number and quality of applications received. Therefore, the Provider will be expected to develop a cost for carrying out the core activities related to running a competition (cost 1 below) as well as providing a cost based on the management of each funded project (cost 2 below). It is anticipated that around 25 projects will be funded for this competition.

6.3 Potential Providers MUST provide evidence from similar activities and show how this will benefit this project on the following key requirements in their bids:

CORE COMPETITION ACTIVITIES – COST 1

6.3.1 **Drafting of competition documents**; this will involve revising existing documentation, or where necessary developing new ones. Most will be external documents for applicants and therefore must be of outstanding quality, addressing all issues associated with grant competitions. As a minimum the documents required for a competition are:

6.3.1.1 **Application form;** this form exists, but a revision may be needed.

6.3.1.2 **Specification;** Documents exists for the open call but any targeted call specifications must be agreed and approved by the DfT grant lead.

6.3.1.3 **Guidance and assessment criteria;** review the current assessment criteria and develop criteria and a process for the triage.

6.3.1.4 **Template project contract** (Grant Offer Letter (GoL)) **including terms and conditions.** These currently exist but it is imperative that all contracts are legally sound and so close working with the DfT legal team is required. The successful Provider will have to ensure a signed hardcopy of the GoL together with the project application and any amendments are scanned and filed.

6.3.2 **Marketing and promoting;** the grant funding is open to all UK based universities, industry and organisations of any size. The provider must demonstrate the readily available access they have to an extensive network of contacts both within the transport sector and those in other related sectors. Some of the most innovative ideas submitted to previous competitions have come from SMEs and start-up organisations. However, the successful Provider must be able provide this service to for a varied size of organisations from start-up companies to large organisations. Providers must be able to demonstrate an ability to reach niche areas of the transport sector. The bid must demonstrate, with examples:

6.3.2.1   Reach to transport and non-transport sectors.

6.3.2.2   Ability to reach the breadth and niche markets mentioned above. Detail the types of organisations you are able to reach and demonstrate this.

6.3.2.3   The methods of marketing and promotion that will be used.

6.3.2.4   Expertise in the methods of communication and their impact.

6.3.3   **Managing queries;** the successful provider will be required to manage and respond to a significant number of queries throughout the period of the competition, both from DfT stakeholders and potential applicants. Please provide demonstrable evidence of:

6.3.3.1   Managing clarification questions. This must be done in the most efficient way possible, for example through FAQs, webinars.

6.3.3.2   Skills and expertise of running and managing webinars.

6.3.4   **Management and assessment of applications;** a large volume of commercially sensitive applications should be expected. The successful Provider will be expected to carry out the following duties:

6.3.4.1   Collating and systematically log all applications.

6.3.4.2   Performing a triage of applications to ensure the minimum standard is met. Therefore, knowledge of the transport and innovation sector will be key. The successful Provider must be able to demonstrate knowledge of the use and/or development and/or promotion of transport technology.

6.3.4.3   Identify at least 3 assessors (one will be from the Provider) best suited to assess each application.

6.3.4.4   Send out applications and assessment score sheets to assessors and provide guidance on how to carry out an assessment. Follow up on requested assessments.

6.3.4.5   Collate assessments and analyse and present scores in an effective format.

6.3.4.6   Arrange and manage moderation meetings to discuss assessments. Collate outcomes and lead on delivery of conclusions. This will likely be an iterative process and you should expect to revisit assessments to seek clarification from assessors.

V1.0 9/10/2017

6.3.5 **Grant management and DfT processes;** this will involve a number of tasks, some of which must be carried out simultaneously. Potential Providers must also demonstrate an understanding of state aid regulations and grant funding. Duties include:-

6.3.5.1 Issuing notifications to applicants of the outcome of their application. Provide scores and appropriate feedback to applicants both successful and unsuccessful.

6.3.5.2 Set up and issue tailored grant agreements to successful applicants. Comply with DfT management assurance processed to maintain an audit trail of key documents and ensure all relevant agreements are in place and signed.

6.3.5.3 Arrange and manage initiation meetings between successful applicants and DfT policy and analytical leads. Ensure discussions are noted and shared with applicants. Any changes to the scope of projects must be recorded and reflected in contract agreements.

6.3.5.4 Work closely with DfT finance colleagues in setting up successful applicants on the DfT payment system. This will require liaising with applicants for completion of relevant documentation.

6.3.5.5 Arrange for payments to be made to successful applicants at the early stage of projects and upon final deliverables. Final reports will have to be quality checked and all grant claim documentation, supported by evidence of expenditure, analysed and checked before final payments are made.

6.3.5.6 Provide evidence of the work carried out and funds granted for management Assurance and Audit purposes.

6.3.6 **Publication of competition winners;** as a publically funded grant competition, the winners of competitions have to be published. The successful Provider will:-

6.3.6.1 Provide information to better inform senior DfT colleagues and Ministers of the outcome of competitions through effective briefing and submissions and seek their agreement to publish.

6.3.6.2 Final reports uploaded on DfT databases.

6.3.6.3 Work closely with communication and press office colleagues to agree timescales of publication and a strategy.

6.3.6.4   Create a summary document of the outcomes of all the projects and work with stakeholders to increase the impact of the projects.

6.3.7   **Review;** in order to improve the grant funding programme, Potential Providers would be required to review and document what worked well and what should be improved. It is also essential to demonstrate the impact of this programme of work. Please provide evidence of review work programmes to record lessons learned and measuring impact.

MANAGEMENT OF EACH FUNDED PROJECT – COST 2

6.3.8   **Project management;** please demonstrate previous expertise in project management. The number of projects funded will be variable, please demonstrate previous expertise in project management, the successful providers duties include;

6.3.8.1   Effective project monitoring and control against agreed milestones.

6.3.8.2   Remote monitoring project progress through progress reports and selected site visits for those projects of particular interest to DfT.

6.3.8.3   Early identification of risk to delivery and mitigation steps.

6.3.8.4   Use of the Provider's network and resources to improve the impact or success of selected projects that have shown promising results once projects have completed.

6.3.8.5   Reminders sent regarding draft reports and final project reports. These sent out for review by those that assessed the application. Comments relayed to applicants to improve the report.

6.3.8.6   Close out meeting- looking to improve the impact or next steps of the project that received funding.

6.3.8.7   Engage with DfT Comms to ensure that reports are suitable for publication. Log the final reports on a DfT database.

6.3.8.8   Organise a workshop for selected successful projects to showcase the output to DfT colleagues as well as engaging with other organisations or groups that could seek to offer follow on support to improve the implementation of a successful project.

V1.0 9/10/2017

7. KEY MILESTONES

7.1 The Provider should note the following project milestones that the Authority will measure the quality of delivery against:

Milestone	Description	Timeframe
1	DBS clearances achieved	Within week 4 of Contract Award
2	Competition launched	Within week 6-8 of Contract Award
3	Applications assessed	Within week 14-16 of Contract Award
4	Final decision on applications to be funded	Within week 17-18 of Contract Award
5	Projects commence	Within week 18-20 of Contract Award

8. AUTHORITY'S RESPONSIBILITIES

8.1 The Authority will provide all of the necessary documents to run the project. However, the Potential Provider will be expected to review the documentation to familiarise themselves with it and make any amendments that may be needed for the grant call that they will run.

9. REPORTING

9.1 Progress Reporting: 6-8 weekly collation and monitoring of brief progress reports

9.2 At least one site visit per project in order for progress to be monitored and for the Potential Provider to actively suggest how the project could be improved and suggest or introduce the recipient to other parties that may be able to fund the project once it is completed.

9.3 A final report will be provided by the supplier to the grant recipient, this needs to be approved by the Potential Provider and the DfT project lead and a close out meeting held. The details of the grant recipient, the title of the project and a PDF of the final project will need to be uploaded onto a bespoke database.

10. VOLUMES

10.1 An indicative guide to the number of applications received and those funded in previous rounds is given in the table below. It is anticipated that around 25 projects will be funded for this competition although this is a rough indication of the volume of work required and there can be no guarantee of the volumes of work.

Round	Call	No. of applications received	No. of applications funded	Total value of funded applications

	Pilot (Dec 2014)	Open	51	11	c. £280k
	June 2015	Open	60	14	c. £343k
	October 2015	Open	31	9	c. £182k
10.2	July 2016	Open & 2 Targeted	140	33	c. £829k
	December 2016	Open & 2 Targeted	112	27	c. £745k

It is envisioned that, for the projects funded, approximately 15 will be funded for around 25k (60%) and approximately 10 funded for around 50k (40%).

11. CONTINUOUS IMPROVEMENT

11.1 The Provider will be expected to continually improve the way in which the required Services are to be delivered throughout the Contract duration.

11.2 The Provider should present new ways of working to the Authority after the activity review and project analysis.

11.3 Changes to the way in which the Services are to be delivered must be brought to the Authority's attention and agreed prior to any changes being implemented.

12. SUSTAINABILITY

12.1 There are no specific sustainability considerations relevant to this requirement.

13. QUALITY

13.1 It is expected that the successful Provider will provide a consistent high-quality service to DfT, including ensuring that they meet deadlines and timelines set and the quality of reporting meets DfT requirements, alongside the Provider meeting the KPIs listed in section 16.

14. PRICE

14.1 Potential Providers should provide a price breakdown for all the activities under Cost 1 and Cost 2 outlined within section 6 of this document.

14.2 For clarity Total Price = Cost 1 + Cost 2.

14.3 Flexibility is needed to deliver this project, so we require the cost of delivery per project.

14.4 Prices are to be submitted via the e-Sourcing Suite Appendix E excluding VAT.

15. STAFF AND CUSTOMER SERVICE

15.1 The Authority requires the Provider to provide a sufficient level of resource throughout the duration of the Contract in order to consistently deliver a quality service to all Parties.

15.2 The Provider's staff assigned to the Contract shall have the relevant qualifications and expertise to deliver the Contract. Expertise of the transport sector is essential.

The Provider shall ensure that staff understand the Authority's vision and objectives and will provide excellent customer service to the Authority throughout the duration of the Contract.

16. SERVICE LEVELS AND PERFORMANCE

16.1 The Authority will measure the quality of the Provider's delivery by:

16.1.1 Assessing the impact of the Provider's reach of different markets i.e. start-up, SMEs, medium, large and academia and the management and delivery of the project.

KPI/SLA	Service Area	KPI/SLA description	Target
1	Marketing & Promotion	Applications from a range of organisations: start-up, SMEs, medium, large, academia.	At least 70% of applications from SMEs or academia
2	Management	Regular engagement to ensure projects are on-track, timely delivery of project	Develop a summary of 95% of project update report every 6-8 weeks highlighting using a RAG status those projects at risk of not meeting their objectives and suggesting mechanisms to address this.
3	Delivery	The successful delivery of the grants in a timely and efficient fashion, with appropriate quality assurance and engagement to maximise the impact of the work	90% of projects are delivered to agreed time and quality thresholds set by DfT

16.2 This contract will be for a 1 year period. The DfT will **reserve the right to terminate the contract at any time** if the above Key Performance Indicators are not achieved. The contract will be terminated in line with Appendix C Terms & Conditions point 16 – Termination.

17. SECURITY REQUIREMENTS

17.1 All staff must possess Disclosure and Barring Service (DBS) clearance in order to carry out the services.

17.2 The Provider shall ensure that all staff working with DfT shall maintain the confidentiality of DfT as well as the applicants to the competition.

18. INTELLECTUAL PROPERTY RIGHTS (IPR)

18.1 The applications submitted to the T-TRIG competition must be treated as commercial in confidence. Under **no** circumstances should any proprietary material be removed from DfT or shared without prior agreement from the grant recipient who retains the IPR of the project.

19. PAYMENT

19.1 Payment can only be made following satisfactory delivery of pre-agreed certified products and deliverables.

19.2 Before payment can be considered, each invoice must include a detailed elemental breakdown of work completed and the associated costs.

20. ADDITIONAL INFORMATION

20.1 There is no additional information specific to this requirement.

21. LOCATION

21.1 The base location in which the Services will be carried out is Department for Transport, 33 Horseferry Road, London, SW1P 4DR.

21.2 The Provider will regularly be required to be based at DfT's office in London as internal DfT stakeholder engagement will be key in successfully delivering the programme against the Department's priorities and policy requirements. In addition, payments of the grants will have to be managed on the DfT administration systems by the provider. Final project reports will need to be placed on a DfT database.