



# Department for Transport

<Address>

Department for Transport  
Zone 2/23  
Great Minster House  
33 Horseferry Road  
London SW1P 4DR

Queries: 020 7944 4677  
Web Site: [www.gov.uk/dft](http://www.gov.uk/dft)

Dear <Contact Name>,

<Date>

## **T-TRIG (Transport-Technology Research and Innovation Grant) December 2017**

I am pleased to inform you that you have been successful in the T-TRIG competition launched in December 2017. On behalf of the Secretary of State for Transport, I would like to offer <Company Name> a grant on the terms of the enclosed funding agreement. The Power under which the grant is to be paid: Section 5 (1) of the Science and Technology Act 1965.

If you wish to accept this offer of a grant, please sign both copies of the enclosed grant funding agreement in the space provided and return one of them to Sviti Pabari by post, by the 1<sup>st</sup> March 2018. Please retain the other copy for your records.

If you have not already done so, you are requested to complete the enclosed F001 Vendor Creation/Amendment form (Annex E) and provide your company bank account details on company headed paper. This will allow us to set you up on the Department's payment system to receive the grant. If you already have a grant vendor number, please kindly provide this as well as confirm the account details you want the grant to be deposited into. We will then process 40% of the total grant as an upfront payment. The remaining 60% will be paid upon project completion. Final payments will be subject to an approved final report (suggested format at Annex D) and receipt of evidence of grant usage.

You need to complete the Grant Options form (select from De minimis or Non-Economic grant) and return this with your Grant Offer Letter.

Please note that any delays in returning the documents could result in a delay to the grant payment.

Yours sincerely,

<SIGNED>

This Funding Agreement is made between

(1) **The Department for Transport** (the “**Department**” or the “**Secretary of State**”), and  
<Address>. (the “**Grant Recipient**”).

## 1. Definitions

1.1 In this funding agreement, except where the context otherwise requires:  
“**the Bid**” means the bid by the successful Grant Recipient for financial assistance which was prepared in accordance with the bidding guidance documents provided by the Department on 5<sup>th</sup> December 2016 under the heading “DfT-T-TRIG-Grant-Specifications”, “DfT-T-TRIG-Grant-Application-Form” and “DfT-T-TRIG-Guidance” which has been approved by the Department and amended as detailed in Annex B. The approved Bid is dated <App Date> and attached at Annex B;  
“**Eligible Expenditure**” consists of payments by the Grant Recipient during the Funding Period for the purposes of the Project. See clause 5.  
“**Funding Agreement**” means this agreement, Schedule and Annexes;  
“**Funding Period**” means the period ending 30<sup>th</sup> November 2018;  
“**Grant**” means the grant payable pursuant to this Funding Agreement up to the Maximum Sum as set out in clause 3;  
“**Key Milestones**” means the milestones attached at Annex C;  
“**Project**” means the project described in the Bid;  
“**Project’s Targets**” means the objectives, activities or targets described in the Bid;  
“**Start Date**” means 1<sup>st</sup> March 2018;  
“**Project Duration**” means the time from the Start Date of the project and the acceptance of the final report by the Department”;  
“**Terms and Conditions**” means the terms and conditions of grant, as set out in this Funding Agreement;

1.2 References in this Funding Agreement to an Annex, Schedule, clause or sub-clause mean an Annex, Schedule, clause or sub-clause of this Funding Agreement.

## 2. Grant

2.1 Subject to:

- a) the Grant Recipient making, in the Department’s opinion, satisfactory progress with the Project, and in particular, the Project’s Targets and the Key Milestones;
- b) the Grant Recipient using grant paid under this offer letter solely in relation to Eligible Expenditure; and
- c) the Grant Recipient complying with the Terms and Conditions;
- d) the Secretary of State agrees to pay the Grant to the Grant Recipient as a contribution towards Eligible Expenditure on the Project.

2.2 Details of the programme, powers under which the Grant is paid, amount of grant and Treasury consent are listed in the Schedule.

2.3 The Grant must be spent within the Funding Period.

2.4 Where the Grant Recipient intends to apply to a third party for other funding for the Project, it will notify the Department in advance of its intention to do so and, where such funding is obtained, it will provide the Department with details of the amount and purpose of that funding. The Grant Recipient agrees and accepts that it shall not apply for duplicate funding in respect of any part of the Project or any related administration costs that the Department is funding in full under this Agreement.

### **3. Amount of grant**

The maximum amount of grant is £<Amount>.

### **4. Payment arrangements**

4.1 Details of payment arrangements are listed in the Schedule. The Grant will be paid upon receipt of an invoice from the Grant Recipient providing clear details of Eligible Expenditure incurred in the delivery of the project. Grant claims will be certified by the Department for Transport Office for Science (DO Science) at the Department once they are satisfied that the final report submission has achieved the goals set out in the proposal. The Grant Recipient is eligible to receive an early payment of up to 40% of the total Grant. This was offered on the grant application form and any Grant Recipients selecting the early payment option will receive 40% of the total Grant once the grant offer letter is accepted and the necessary finance documentation is provided. The remaining 60% of the Grant will be paid on receipt of a final report that is acceptable to the Department. Those Grant Recipients who did not select the early payment offer will receive 100% payment upon receipt of a final report that is acceptable to the Department.

4.2 The Grant Recipient will be paid 20 days after the Department has confirmed that they are satisfied with the final report submission.

### **5. Meaning of Eligible Expenditure**

5.1 Eligible Expenditure consists of payments by the Grant Recipient during the Funding Period for the purposes of the Project.

5.2 The following costs are NOT Eligible Expenditure:

- (a) Payments for activities of a political or exclusively religious nature;
- (b) Payments for works or activities that any person has a statutory duty to undertake;
- (c) Payments reimbursed or to be reimbursed by other public or private sector grants;

- (d) Contributions in kind (a contribution in goods or services as opposed to money);
- (e) depreciation, amortisation or impairment of fixed assets owned by the Grant Recipient;
- (f) input VAT reclaimable by the Grant Recipient from H. M. Revenue & Customs;
- (g) interest payments (including service charge payments for finance leases);
- (h) gifts to individuals;
- (i) entertaining (entertaining for this purpose means anything that would be a taxable benefit to the person being entertained, according to current UK tax regulations);
- (j) payments by the Grant Recipient in advance of need;
- (k) statutory fines, criminal fines or penalties.

## **6. Statement of Grant Usage**

6.1 The Grant Recipient must complete and submit to the Department a Statement of Grant Usage, giving details of Eligible Expenditure during the Funding Period. This must be certified by a person with financial responsibility for the organisation. Manuscript alterations to the statement of Grant Usage must be initialled by the original signatory as well as by the person with financial responsibility. If negative figures are used in any of the documents to which this note refers, the figures must be written thus: "minus £x". Figures in brackets or in red will not be recognised as negative (See Template of Statement of Grant Usage in Annex A).

6.2 After receiving the Statement of Grant Usage the Department will pay the Grant due for the Funding Period. Alternatively, if the Statement of Grant Usage identifies any overpayment of grant, the Grant Recipient must repay this amount within 30 days of being asked by the Department to repay it.

## **7. Progress reporting**

7.1 The Grant Recipient must be in regular communication with the Department regarding progress of the Project as set out in the Schedule.

## **8. Changes to the Project**

8.1 If the Grant Recipient becomes aware that the actual cost of the Project is likely to be different from that forecast in the Bid by more than ten per cent, the Grant Recipient must inform the Department as soon as possible and provide an explanation.

8.2 The Grant Recipient must agree in advance with the Department any significant changes to the Project before those changes are implemented.

## **9. Monitoring and records**

9.1 The Grant Recipient must maintain and operate effective monitoring and financial management systems for the Project in order to control expenditure and to ensure that the costs of achieving the objectives, activities and milestones set out in the Bid can be clearly identified.

9.2 The Grant Recipient must keep a record of Eligible Expenditure funded partly or wholly by the Grant and all income generated by the Project, and retain all accounting records relating to that expenditure and income for a period of at least six years after the end of grant funding. [Note: accounting records include original invoices, receipts, accounts and deeds, whether in writing or electronic form.] Such records must also be kept for any income generated with the help of the Grant. The Grant Recipient must make these available at any reasonable time for inspection by officials from the Department or their representatives or by the Comptroller and Auditor General or his representatives.

9.3 The Grant Recipient must keep a copy of this document (the grant offer letter) for a minimum of 10 years.

## **10. Value for money and procurement requirements**

10.1 If applicable, the Grant Recipient must take all reasonable steps to comply with the requirements of the European Commission procurement directives in relation to the element of their expenditure that is grant-aided. In relation to the supply of goods and services, these requirements are implemented by the Public Supply Contracts Regulations 1995 (S.I.1995/201), the Public Services Contracts Regulations 1993 (S.I.1993/3228) and the Public Contracts Regulations 2006 (S.I. 2006/5) and are subject to thresholds specified by reference to the value of the transaction. Although the regulations apply primarily to public sector bodies, they may also apply to the procurement of goods and services by the private sector where more than 50 per cent of the consideration is contributed by a public sector body.

## **11. State aid**

11.1 The Grant constitutes State Aid as defined under articles 107 and 108 of the Treaty on the Functioning of the European Union.

11.2 The Grant Recipient will obtain and retain all declarations and information as may be required to enable both the Grant Recipient and the Department to comply with EU State Aid rules, particularly the de minimis regulation and the general block exemption regulation and to provide copies to the Department when required to do so.

11.3 The Grant Recipient accepts that a finding of State Aid non-compliance in respect of the Project by the European Commission or a Court of competent jurisdiction may lead to the Grant Recipient being ordered to repay the Grant with interest in accordance with the European Commission's reference rates.

## **12. Income and other receipts**

12.1 In determining the maximum amount of grant he is prepared to pay towards the Project, the Secretary of State has taken account of the estimates of income to be generated from the Project and contributions (or grants) towards the Project given in the Bid. If the Project generates any income, or there are any contributions in excess of these amounts, the Grant Recipient must notify the Department as soon as possible and state the amounts received or to be received.

12.2 The Department may allow the Grant Recipient to retain the amount notified, if it is satisfied that the Grant Recipient will use it for the purposes of the Project. Otherwise, the Grant Recipient must pay the amount notified (or such part of it as is necessary for the repayment of all grant received under the Funding Agreement) to the Department. If the entire Grant is repaid under these circumstances, the Funding Agreement will be discharged upon repayment.

## **13. Fixed assets**

13.1 The Grant Recipient must keep a register of fixed assets, including freehold (but not leasehold) land and buildings, acquired or improved, at a cost exceeding £5,000, wholly or partly using financial assistance provided under this Funding Agreement.

For each fixed asset in the register the following particulars must be shown where appropriate:

- a. date of acquisition or improvement;
- b. description of asset;
- c. cost, net of recoverable VAT;
- d. location of the asset;
- e. serial or identification numbers;
- f. location of the title deeds (where appropriate);
- g. date of any disposal;
- h. proceeds of any disposal net of VAT; and
- i. the identity of any person to whom the fixed asset has been transferred or sold.

If fixed assets are sold or their ownership transferred while they have any economic value, the Grant Recipient must notify the Department as soon as possible. The Department may require the Grant Recipient to repay the proceeds or an appropriate part of them, in which

case the Grant Recipient must repay the amount to DfT within 30 days of being asked to do so.

13.2 The Grant Recipient must not allow a third party to take a charge on any fixed asset funded wholly or partly by funds provided under this Grant.

## **14. VAT**

14.1 Grant payments fall outside the scope of VAT as this is deemed as income from non-business activities and the grant recipient does not return anything for this funding therefore, VAT should not be added to any invoices for grant payments.

14.2 If the grant recipient expects to pay VAT during the delivery of the research, (e.g. for consultancy/sub-contracting charges, material costs and other expenses), and that they are unable to recover from HMRC, they must ensure that the cost of these VAT payments is included in question 5 of their Grant Application Form.

## **15. Conflicts of interest and financial or other irregularities**

15.1 Officers, members and employees of the Grant Recipient must be careful to avoid conflicts of interest. The Grant Recipient must set up formal procedures to require all such persons to declare any personal or financial interest in any matter concerning the Project and to be excluded from any discussion or decision-making relating to the matter concerned. If the Grant Recipient has any grounds for suspecting financial irregularity in the use of any grant paid under this funding agreement, they must notify the Department immediately, explain what steps are being taken to investigate the suspicion, and keep the Department informed about the progress of the investigation. For these purposes "financial irregularity" includes fraud or other impropriety, mismanagement, and the use of grant for purposes other than the purposes of the Project.

## **16. Other grant conditions**

16.1 The Grant Recipient must:

a) ensure that they have all necessary permission and authority (whether required by legislation or otherwise) to undertake the works and activities detailed in the Bid; and

b) take all reasonable steps to ensure that they and anyone acting on their behalf under the Project complies with the law for the time being in force in the United Kingdom, including, in particular (so far as binding on the Grant Recipient), the requirements of the Health and Safety at Work Act 1974, Data Protection Act 1998, the Human Rights Act 1998, the Equality Act 2010. [Note: The Commission for Racial Equality and the Equal Opportunities Commission have issued Codes of Practice giving guidance on the law relating to equal opportunities and on good practices in employment].

16.2 The applicant acknowledges that the Department is subject to the requirements of the Freedom of Information Act 2000 and the Environmental Information Regulations 2004 and shall assist and co-operate with the Department to enable the Department to comply with these information disclosure requirements. Further information can be obtained from the Information Commissioner at [www.informationcommissioner.gov.uk](http://www.informationcommissioner.gov.uk).

## **17. Breach of conditions and recovery of grant**

17.1 The Department's intention is that the Grant will be paid to the Grant Recipient in full. However, the Department may reduce, suspend, or withhold grant payments, or require all or any part of the Grant to be repaid if the Grant Recipient fails to comply with any of the Terms and Conditions, or if any of the events mentioned in sub-clause 17.2 occur. This will not relate to any expenditures properly accrued up to the point of the breach. The Grant Recipient must repay any amount required to be repaid under this condition within 30 days of receiving the demand for repayment.

17.2 The events referred to in sub-clause 17.1 are as follows:

- a) the Grant Recipient fails, in the Department's sole opinion, to make satisfactory progress with the Project; and in particular with meeting the Project's targets;
- b) the Grant Recipient owes any sum to the Department under an offer of grant for any other project or activities under any scheme or Project administered by the Department;
- c) the Grant Recipient purports to transfer or assign any rights, interests or obligations arising under this Funding Agreement without the agreement in advance of the Department;
- d) there is a change in control or ownership of the Grant Recipient or of the Project, or the Grant Recipient ceases to operate or changes the nature of its operations to an extent which the Department considers to be significant or prejudicial to the satisfactory continuance of the Project;
- e) the Grant Recipient is the subject of a proposal for a voluntary arrangement; or has a petition for an administration order or a winding up order brought against it; or passes a resolution to wind up; or makes any composition, arrangement, conveyance or assignment for the benefit of its creditors, or purports to do so; or is subject to the appointment of a receiver, administrator or liquidator; or is struck from the register at the Charity Commission, or, being a company, is struck from the register at Companies House;
- f) any information provided in the Bid or in a claim for payment or in subsequent or supporting correspondence is found to be incorrect or incomplete to an extent which the Department considers to be significant;



- g) the Grant Recipient takes inadequate measures to investigate and resolve any reported irregularity;
- h) it appears to the Department that the Grant Recipient no longer requires grant assistance in order to carry out the Project;
- i) it appears to the Department that other circumstances have arisen or events have occurred which are likely significantly to affect the Grant Recipient's ability to complete or continue the Project in a satisfactory manner;
- j) a report on the Statement of Grant Usage is unsatisfactory because it contains an adverse opinion, a qualified opinion or a disclaimer of opinion;
- k) a charge is secured against a fixed asset acquired or improved wholly or partly using financial assistance provided under this Funding Agreement.

17.3 Where the Department requires the Grant Recipient to repay any amount, the Department may recover that amount by withholding or deducting the amount from any sum due to the Grant Recipient from the Department under an offer of grant for any other projects or activities under any scheme or Project administered by the Department.

17.4 In the event that it becomes necessary to take steps to enforce the Terms and Conditions, the Department will write to the chief executive (or equivalent) of the Grant Recipient giving particulars of its concern about the Project or of any of the Terms and Conditions.

17.5 The Grant Recipient must act within 30 days (or earlier, depending on the severity of the problem) to address the Department's concerns or rectify the breach, and may consult the Department or agree with it an action plan for resolving the problem. If the Department is not satisfied with steps taken by the Grant Recipient to address its concerns or rectify the breach, it may take steps to withhold or suspend the further payment of grant, or to recover grant already paid.

## **18. Publicity**

18.1 The Grant Recipient must give appropriate publicity to the Project by drawing attention to the benefits and opportunities it affords. The Grant Recipient, its sub-contractors or its suppliers must first seek the Department's permission to publicise the Project. In acknowledging the Department's contribution, the Grant Recipient must comply with any guidance on publicity provided by the Department, and must, in particular, acknowledge that the Project has received grant from the Department. All publicity material must include the logo of the Department.

18.2 The Department reserves the right to publish and hold on its publicly accessible project database the Project information provided in the application to comply with Government practice on openness and transparency of public-funded activities for projects in receipt of grant. This information includes but is not limited to: Project title; the abstract (a brief public-facing description of the Project); the total Project cost and Grant; the contact details of the Project Manager; the duration of the Project and start and end dates; the final report and the name and geographical location of the Project. Within the limits set by Government, the Department may, in certain circumstances and with good reason, respect the wishes of the Grant Recipient if it does not want some of the information about the Project to be disclosed.

18.3 The Grant Recipient may also be required to produce a description of the Project for use and publication by the Department in addition to the information provided elsewhere as part of the Grant application and under this Agreement.

18.4 The Department may develop project case studies or 'success stories' (which are distinct from examples of projects used in press releases) in order to highlight the successes of the organisations we work with and publicise our activities and the benefits of our programmes. All material for case studies will be agreed with the Participants before it is disclosed.

## **19. Intellectual Property Rights and Copyright**

19.1 The Department and the Grant Recipient agree that all rights, title and interest relating to any information, data, reports, documents, procedures, forecasts, technology, Know-How and any other Intellectual Property Rights whatsoever owned by either the Department or the Grant Recipient before the Start Date or developed by either party during the Grant Duration, shall remain the property of that party.

19.2 Subject to clause 21 (Freedom of information), each party shall during the term of the Funding Agreement and thereafter keep secret and confidential all intellectual property rights or Know-How or other business, technical or commercial information disclosed to it as a result of the Funding Agreement and shall not disclose the same to any person save to the extent necessary to perform its obligations in accordance with the terms of this Funding Agreement save as expressly authorised in writing by the other party.

19.3 The Grant Recipient grants a licence to the Department 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 grant paid under this Grant Offer. This licence is non-exclusive and is granted without provision for the payment of royalties for the full period protected by copyright in the works in order to allow the Department to copy, issue or adapt any such works for his own purposes.

## 20. Confidentiality

20.1 Subject to clause 21 (Statutory Framework), the Grant Recipient shall during the term of the Funding Agreement and for a period of 5 years thereafter keep confidential all information disclosed to it by the Department in connection with the Funding Agreement.

## 21. Statutory Framework

21.1 The Grant Recipient acknowledges that the Department is subject to the requirements of the Freedom of Information Act 2000 (FOIA) and the Environmental Information Regulations 2004 (EIRs).

21.2 The Grant Recipient and any sub-contractor of the Grant Recipient shall:

(a) provide all necessary assistance and cooperation as reasonably requested by the Department to enable Department to comply with its obligations under the FOI and EIRs;

(b) transfer to the Department all requests for information relating to this Funding Agreement that it receives as soon as practicable and in any event within 2 working days of receipt;

(c) provide the Department with a copy of all information belonging to the Department requested in the request for information which is in its possession or control in the form that the Department requires within 5 working days (or such other period as the Funder may reasonably specify) of the Department's request for such information; and

(d) not respond directly to a request for information unless authorised in writing to do so by the Department.

21.3 The Grant Recipient acknowledges that the Department may be required under the FOIA and EIRs to disclose information without consulting or obtaining consent from the Recipient. The Department shall take reasonable steps to notify the Recipient of a request for information (in accordance with the Secretary of State's section 45 Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the FOIA) to the extent that it is permissible and reasonably practical for it to do so but (notwithstanding any other provision in this Funding Agreement) the Department shall be responsible for determining in its absolute discretion whether any information is exempt from disclosure in accordance with the FOIA and/or the EIRs.

21.4 The Department agrees to comply and have adequate measures in place to comply fully and at all times with the provisions and obligations contained in the Data Protection Act 1998, as amended from time to time.

21.5 Nothing in this clause acts to prevent or inhibit the Grant Recipient complying with its legal obligations in relation to any requests for information that do not relate to the Funding Agreement.

## 22. Dispute Resolution

22.1 In the event that a dispute arises between the Department and the Grant Recipient, the affected parties shall attempt to resolve such dispute in the first instance by referring the matter to their Chief Executive Officers, or nominated equivalent, who will meet to try and negotiate a settlement in good faith. In the event that these Officers are unable to resolve the matter to the satisfaction of all parties, the parties hereby agree to submit to arbitration by the London Court of International Arbitration (“LCIA”), the decision of which shall be binding on all of them.

## 23. General

23.1 In the event that the Department’s ability to deliver grant funding is significantly affected by Force Majeure or circumstances beyond its control, including but not limited to changes in laws, UK Government or devolved administration policy and/or European Union policy or regulations, it may, in its absolute discretion, terminate the Grant and discontinue payments to the Grant Recipient by giving the Grant Recipient, with due regard to the circumstances, such reasonable notice as possible, and in writing, of its decision to terminate the Award. In such circumstances, and unless illegal or unethical factors have contributed to the decision to terminate the award, the Department will meet any eligible Project costs reasonably incurred by the Grant Recipient prior to the date of termination.

23.2 This Agreement shall not create any partnership or joint venture, nor any relationship of principal and agent, between the parties, nor authorise any party to make or enter into any commitments for or on behalf of the other party.

23.3 This agreement and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims) shall be governed by and construed in accordance with the law of England.

23.4 No grant funded activity should be used to further party political considerations, or for party political purposes, or for lobbying for political parties, nor should personal political views influence project activity in relation to the Grant. Should this term be breached it may lead to the suspension, withdrawal or clawback of the Grant by the Department.

23.5 The Grant Recipient’s liability for direct or indirect losses under this Funding Agreement is limited to the amount of the Grant.

## 24. Reviewing the Funding Agreement

24.1 The Department may at any time, with the agreement of the Grant Recipient, revise, revoke or add to the Terms and Conditions of this Funding Agreement.

### The Department to complete:

Signature:

.....

Name: <NAME>

.....  
(Authorised to sign on behalf of the Department)

Date:

Principal contact in the Department:

Name: Sviti Pabari  
.....

Position: Science and Engineering Adviser.....

**Grant Recipient to complete:**

..... accepts the offer of grant contained in this Funding Agreement and agrees to comply with the Terms and Conditions of grant on which the offer is made.

Signed by a person authorised to sign on behalf of the Grant Recipient:

Signature:  
.....

Name: (BLOCK CAPITALS)  
.....

Position: .....

Date: .....

**Attachments:**

**Schedule**

- Annex A     Template of Statement of Grant Usage**
- Annex B     The Bid (Successful Grant Application Form)**
- Annex C     Key Milestones**
- Annex D     Suggested Report Format**
- Annex E     F001 Vendor Creation/Amendment Form**



Department  
for Transport

## SCHEDULE

**Name of programme:** Transport-Technology Research Innovation Grant (T-TRIG)  
December 2017

**Power under which grant is to be paid:** Section 5 (1) of the Science and  
Technology Act 1965

**Grant Recipient's principal contact in the Department:** Sviti Pabari

**Project:** <Project Title>

**Funding period:** 30<sup>th</sup> November 2018

**Grant funding option:** <Grant Option>

**T-TRIG Competition:** Open-Call

**Maximum amount of grant:** £<Amount>

**Payment arrangements:** The Grant Recipient should submit the grant claim along with all necessary receipts. The applicant will receive the funding once the final report has been agreed with the Department.

**Project's targets:** This is as described in the Bid.

**Progress reporting:** The Grant Recipient will provide an update on progress to the Department periodically as noted in Key Milestones.

# **Annex A**

## **Template of Statement of Grant Usage**



## STATEMENT OF GRANT USAGE

**Name of DfT Project:** Transport-Technology Research Innovation Grant (T-TRIG) December 2017

**Project Title:** \_\_\_\_\_

**Company/Organisation Name:** \_\_\_\_\_

*(Please ensure all original expense receipts are attached to this document – scanned or photocopied receipts and invoices are accepted)*

	Budgeted costs	Actual claim	Variation (if there is no difference in costs and deliverables to the grant application, then no explanation is required)	Receipt number	Explanation (if there is a variation between Budgeted costs and Actual claim)
<b>1. Capital expenditure</b> (please attach a receipt)					
<b>2. Employee hours</b> (please complete and attach a table showing hours worked)					
<b>3. Consultancy/ Sub-contracting charges</b> (please attach the invoice from the sub-contractor)					
<b>4. Travel expenses</b> (please attach receipts)					
<b>5. Other costs</b> (please specify and attach receipts)					
<b>TOTAL GRANT CLAIM</b>			Explanation:		

## **Certification of Statement of Grant Usage**

I certify that, to the best of my knowledge and belief:

- (i) The figures in the Statement of Grant Usage for the period covered by this T-TRIG have been prepared in accordance with the Grant Offer Letter and are fairly stated;
- (i) No other Exchequer specific grants, other grants or contributions have been made or will be payable to the Grant Recipient towards the expenditure included in the statement on page 1;
- (ii) The grant already received, plus any due to the Grant Recipient, and complies with the conditions of project approval;
- (iii) An inventory of capital assets acquired, built or improved wholly or partly using T-TRIG grant is established and maintained in accordance with the Funding Agreement;
- (iv) The performance monitoring systems used to generate performance output data and record project milestones are appropriate for the purpose and have been accurately maintained.
- (v) The T-TRIG claims attached and signed on every page, contains an accurate record of the expenditure pattern, outputs, and milestones resulting from the grant expenditure in this statement.

SIGNED: \_\_\_\_\_

PRINT NAME: \_\_\_\_\_

DATE: \_\_\_\_\_

**Annex B**  
**The Bid (Successful Grant Application**  
**Form and agreed amendments, if**  
**applicable)**

# **Annex C**

## **Key Milestones**

## KEY MILESTONES

<b>Date</b>	<b>Milestone</b>
1 <sup>st</sup> March 2018	Acceptance of grant (returned signed Grant Offer Letter)
After initiation meeting (all by 15 <sup>th</sup> March)	Projects start
25 <sup>th</sup> April 2018	Progress report 1
13 <sup>th</sup> June 2018	Progress report 2
13 <sup>th</sup> June 2018	Draft outline final report
4 <sup>th</sup> July 2018	Preliminary report
19 <sup>th</sup> August 2018	Final report
20 <sup>th</sup> September 2018	Final grant funding claims sent to DfT

Please note, the progress reports are expected to be in the form of a short paragraph detailing what has been achieved to date and what you expect to do over the coming weeks, with any risks highlighted. These can be sent to the T-TRIG email account.

# **Annex D**

## **Suggested Report Format**

## Annex D Suggested Report Format

*Please ensure that the report is well structured, logical, clear and complete. To ensure that the report quality is of a high standard, please use this annex as a guidance for your report. Try to write a report which is **approximately 10-20 pages long**.*

*Report should be structured logically with clarity and coherence (e.g. background and objectives are presented before findings, and findings are presented before conclusions and recommendations).*

### **Report Cover:**

*Please ensure that the report cover includes the following:*

Project Title

DfT Transport Technology Research Innovation Grant (T-TRIG *month year*) Final Report

Organisation Name

Date

### **1. Title page and opening pages to provide the following key basic information:**

- 1.1. Timeframe of the project and date of the report
- 1.2. Locations (country, region, etc.) of the project
- 1.3. Names and/or organisations of project team
- 1.4. Table of contents which also lists Tables, Graphs, Figures and Annexes
- 1.5. List of acronyms

### **2. Executive summary, including project outcome:**

*The executive summary is a stand-alone section that includes:*

- 2.1 Overview of the project objectives
- 2.2 Project objectives and intended audience
- 2.3 Project methodology
- 2.4 Most important findings and conclusions
- 2.5 Main recommendations/next steps

### **3. Aims/Objectives of the study:**

- 3.1 The project purpose, objectives and scope are fully explained
- 3.2 How this addresses DfT's priorities
- 3.3 The report describes and provides an explanation of the study, performance standards, or other criteria used by the project team

**4. Outline of the concept (including scientific basis)/ methodology for how the technology is going to help to solve a transport problem:**

- 4.1 The report presents a transparent description of the methodology applied to the project.
  - 4.1.1 What is the concept behind the project?
  - 4.1.2 How was the methodology identified and implemented?
  - 4.1.3 Why was the approach used?
- 4.2 The report describes the data collection methods and analysis, the rationale for selecting them, and their limitations. Reference indicators and benchmarks are included where relevant.
- 4.3 The report describes the data sources, the rationale for their selection, and their limitations. The report includes discussion of how the mix of data sources was used to obtain a diversity of perspectives, ensure data accuracy and overcome data limits.
- 4.4 The report gives a complete description of the stakeholder consultation process in the project (if applicable), including the rationale for selecting the particular level and activities for consultation.
- 4.5 The report presents evidence that adequate measures were taken to ensure data quality, including evidence supporting the reliability and validity of data collection tools (e.g. interview protocols, observation tools, etc.)

**5. How the idea was generated (e.g. is it an application from another industry) and any intellectual property rights:**

*Describe how the idea was generated and note any similar/previous applications in another industry. Note any intellectual property rights on the technology/innovations.*

**6. Assumptions made:**

*List all the assumptions made in this project.*

**7. Technologies/equipment used:**

*Describe the technologies and equipment used in this project.*



## **8. Outcome of the project/findings:**

- 8.1 Findings respond directly to the project criteria and questions detailed in the scope and objectives section of the report.
- 8.2 Reported findings reflect systematic and appropriate analysis and interpretation of the data.
- 8.3 Reported findings address the project criteria (such as efficiency, effectiveness, sustainability, impact and relevance) and questions defined in the project scope.
- 8.4 Findings are objectively reported based on the evidence.
- 8.5 Reasons for accomplishments and failures, especially continuing constraints, were identified as much as possible.
- 8.6 Overall findings are presented with clarity, logic, and coherence.

## **9. Limitations:**

- 9.1 Gaps and limitations in the data and/or unanticipated findings are reported and discussed.

## **10. Practical applications of the concept to the UK transport system (including costs):**

*Describe how this project could be applied to the UK transport system.*

## **11. Next steps/Recommendations for testing and implementation:**

*Describe the next steps for taking this research to the next milestone. Identify the resources and engagement required.*

- 11.1 Recommendations are relevant to the objectives of the project, are supported by evidence and conclusions, and were developed with the involvement of relevant stakeholders.
- 11.2 The report describes the process followed in developing the recommendations including consultation with stakeholders.
- 11.3 Recommendations are firmly based on evidence and conclusions.
- 11.4 Recommendations clearly identify the target group for each recommendation.
- 11.5 Recommendations are clearly stated with priorities for action made clear.
- 11.6 Recommendations are actionable and reflect an understanding of the commissioning organisation and potential constraints to follow-up.

## **12. Conclusions:**

- 12.1 Conclusions present reasonable judgments based on findings and substantiated by evidence, and provide insights pertinent to the object and purpose of the project.
- 12.2 The conclusions reflect reasonable judgments relating to key project questions.

12.3 Conclusions are well substantiated by the evidence presented and are logically connected to project findings.

### **13. Annexes:**

*Annexes increase the credibility of the evaluation report. They may include some of the following:*

13.1 Terms of References

13.2 List of persons interviewed and sites visited

13.3 List of documents consulted

13.4 More details on the methodology, such as data collection instruments, including details of their reliability and validity

13.5 Evaluators biodata and/or justification of team composition

# **Annex E**

## **F001 Vendor Creation/Amendment Form**



Adobe Acrobat  
Document