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ALLIANCE**



**Department of Science & Technology
Government of India**

Innovate UK
Technology Strategy Board

REQUEST FOR PROPOSALS/COMPETITION GUIDANCE FOR APPLICANTS

India-UK Collaborative Industrial Research & Development Programme

**Department of Science & Technology, India
and Innovate UK**

with support of the Newton-Bhabha Fund

**A bilateral framework providing financial support for
collaborative industrial research and development between
Indian and UK Organisations.**

Request for Proposal (RFP)/Competition Details

November 2014

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Executive Summary

Co-operation between India and the UK in science and technology started with the signing of the Science and Technology (S&T) Agreement in January 1996. In 2006, a new direction was given to this co-operation with the setting up of the 'Science and Innovation Council' which is the main framework within which India-UK Science & Technology cooperation takes place. A number of initiatives have taken place under the framework since that time.

The Department of Science & Technology (DST), Government of India signed a Programme of Cooperation (PoC) in the field of Industrial Research and Development (IR&D) with the Technology Strategy Board (now operating as Innovate UK) on 11 March 2013 in London. The India-UK programme is based on the recommendations of the third meeting of the Science & Innovation Council, held in London on 18 April 2012. The fourth meeting of the Science & Innovation Council has recommended for continuation of the India-UK Programme, which was held in New Delhi on 12 November 2014.

The objective of this Programme of Cooperation is to foster and support the development of industrial collaborative R&D projects that bring together companies (small-to-medium-sized companies and/or larger, well established businesses), research organisations, academics and other collaborators from both countries for the joint development of innovative products, processes or services. It aims to stimulate innovative R&D projects that address a specific market need or societal challenge and to demonstrate high industrial relevance and commercial potential. The aim is to deliver benefit to all participants and, more broadly, to both nations. These projects are intended to help participants to become more competitive by developing global research-based alliances with the potential to foster increased or expanded bilateral R&D collaboration.

The India–UK Industrial Research & Development Programme will be launched as part of the wider co-operation and will include Technology development and deployment with both Governments providing financial support to their respective participants. All project proposals must be collaborative and industry-led, involving at least one business partner in each country.

The focus of the programme is to fund innovation-oriented projects in the category of industrial research, which could attract up to 50% public funding for the UK business partners in the form of grants. Financial support (Grant) for Indian Project Partners and UK Project Partners would be up to INR 150 Lakhs and £300k respectively for each collaborative project.

On behalf of the Department of Science & Technology (DST), Government of India, funding and other services in India will be provided through Global Innovation & Technology Alliance (GITA) for all Indian partners in a project. From the UK side, Innovate UK will provide funding support to the UK project partners.

Department of Science & Technology (DST)

The Department of Science & Technology (DST) was established in May 1971, with the objective of promoting new areas of Science & Technology and to play the role of a nodal department for organising, coordinating and promoting S&T activities in the country. The Department of Science & Technology (DST), Government of India has an important role in building a strong base for Research, Development and Demonstration in India and in addressing national concerns about strengthening science and technology. DST, as a national agency for strengthening the base of Science and Technology in the country has made sincere attempt to address national concerns of India in basic research.

For more information about DST, please visit www.dst.gov.in

Global Innovation & Technology Alliance (GITA)

GITA is a “not-for-profit” Public Private Partnership (PPP) company promoted jointly by the Confederation of Indian Industry (CII) with 51% holding and the Technology Development Board (TDB), Department of Science & Technology (DST), Government of India (GoI) with 49% holding.

It is an innovative mechanism between the government and Indian industry for attracting the industry’s investment in technology by mapping technology gaps, evaluating technology offers across the globe, connecting among technology developers, providers, commercializers, and funding last phase of technology development that connects the market and deployment of technology solutions.

For more information about GITA, please visit www.gita.org.in

Innovate UK

Innovate UK is an executive non-departmental public body (NDPB), established by the Government in 2007 and sponsored by the Department for Business, Innovation and Skills (BIS). The activities of Innovate UK are jointly supported and funded by BIS and other government departments, the devolved administrations (Scotland, Wales and Northern Ireland) and research councils.

The role of Innovate UK is to stimulate technology-enabled innovation in the areas which offer the greatest scope for boosting UK growth and productivity. It promotes, supports and invests in technology research, development and commercialisation. It also spreads knowledge, bringing people together to solve problems or make new advances. Innovate UK advises Government on how to remove barriers to innovation and accelerate the exploitation of new technologies, and works in areas where there is a clear potential business benefit, helping today's emerging technologies become the growth sectors of tomorrow.

Innovate UK will contribute with India on funding industrial R&D, capacity building and networking of organisations in technology and innovation through collaborative projects. For more information about the Innovate UK, please visit the website at www.innovateuk.gov.uk

Newton-Bhabha Fund

The UK element of the funding is provided as part of the Newton-Bhabha Fund which aims to stimulate economic development and address societal challenges. The Fund aims to build strong and sustainable relationships which last beyond the presence of the funding available. The Newton Fund is a £375 million fund over 5 years of which £10 million a year is for partnerships between the UK and India.

Request For Proposal (RFP)/Competition Scope

This RFP/competition invites proposals in 4 areas:

- Cleantech Energy
- Affordable healthcare
- Advanced Manufacturing
- Use of Information & Communication Technologies (ICT) in any of the above focus areas.

Above mentioned areas are amongst the biggest global challenges faced by society, which require innovative solutions and offer commercial market opportunity. In addressing these challenges we believe solutions will both deliver societal benefit and economic growth.

The RFP/Competition Brief can be found on the following websites:

India	UK
http://gita.org.in/bilateral_funding_India-uk.html	www.innovateuk.gov.uk
http://dst.gov.in/whats_new/main-new.htm	

Finding partners

In India

The Partnership Search web platform provides easy mode for finding suitable project partner for your R&D Projects. You need to register your project profile and explore the unlimited collaboration opportunities at: <http://gita.org.in/Company-looking-for-a-partner.aspx>

In the UK

The _connect web platform has a group to help potential collaborators find partners. The group can be found at: <https://connect.innovateuk.org/knowledge-transfer-networks>

Enterprise Europe Network

The Enterprise Europe Network operates in the UK and India and can help to find potential project partners. Further details can be found at <http://een.ec.europa.eu/>

RFP/Competition programme overview

The key objectives of this programme are to:

- encourage domestic competitiveness and economic growth and address societal challenges through the transfer of technology and knowledge resulting from bilateral S&T partnerships;
- foster sustainable bilateral S&T partnerships and collaborative research with an emphasis on industrial outcomes;
- accelerate the commercialization of R&D through bilateral partnerships, with a focus on small and medium-sized enterprises;
- access bilateral technologies for Indian and UK enterprises;
- promote Indian and UK R&D capacities and India and UK as destinations for foreign technology-based investments;
- encourage the mobility of researchers and to promote India and UK as a research destination for foreign researchers and highly qualified personnel; and
- strengthen overall bilateral S&T relations.

The planned results of the programme are as follows:

- Companies participating in DST and Innovate UK funded projects are positioned effectively in target markets and sectors to engage in innovative technology – driven R&D and/or adoption.
- Indian and UK-based companies have increased knowledge and understanding of global innovation and business networks.

- The bilateral R&D community, in targeted markets and sectors, demonstrates an increased awareness of Indian and UK science and technological capabilities.
- Indian and UK-based companies have access to, and participate in, global R&D networks in targeted markets and sectors.
- Innovative technologies are developed and commercialized and address societal challenges and stimulate economic wealth.

Applicants are required to submit an **identical** application to GITA and Innovate UK to request funding for the proposed R&D project. GITA and Innovate UK will implement an integrated, merit-based project evaluation and selection process. A positive funding decision for R&D projects that request funds from both organizations will trigger:

- Innovate UK to allocate funds to industry, research and other UK participants; and
- GITA to allocate funds to industry, R&D organisation and academic Indian participants.

Financial Support in India & UK

Funding will be limited up to 50% of the total eligible cost of the project with a limit of INR 150 lakhs per project from Indian funding agency and £300,000 per project from UK funding agency over the total duration of project.

Financial support - India

- Total project funding as Grant for Indian applicants is a maximum of INR 150 lakhs per project.
- Indian industry share can range from INR 100 lakhs minimum to INR 125 lakhs maximum, if partnering with Indian R&D organisation/academic institution.
- Indian R&D organisation/academic institution share can range from INR 25 lakhs minimum to INR 50 lakhs maximum.
- Indian industry may receive up to 50% of their part of the eligible cost on a reimbursement basis, for costs already incurred on a proportionate basis, at quarterly intervals.
- Indian R&D organisation/academic institution may receive up to 100% of their costs (within applicable range specified above and as per proposal) on a reimbursement basis for costs already incurred on a proportionate basis at quarterly intervals.
- DST funding support for the project must be matched equally (1:1) by Indian Industry and R&D organisation/academic institution.
- The exact amount of funding will be approved by the Indian Project Evaluation Committee based on merit and the contribution of industry, R&D organisation and academic partners respectively.

Financial support – UK

- Industry partners may receive grant up to 50% and research organisations up to 100% (80% Full Economic Cost for UK HEI's) of their part of the eligible cost on a reimbursement basis.
- Total eligible industry cost for the UK project work must be at least 70% of the total UK eligible project cost.
- The total grant for UK industry partners must be at least 50% of the total UK grant requested for the project.
- The UK funding element will be part of the Newton-Bhabha Fund and therefore UK business and academic involvement must be able to demonstrate that there is economic and societal benefit to India.

How to use this document

This document contains the eligibility criteria, key dates, competition process and application form details specific to this RFP/competition.

Under the rules of this RFP/Competition, collaborative applications of Indian and UK partners should have a named Indian Lead partner and a named UK Lead partner. The Lead partner for India and the Lead partner for the UK should **each submit an identical common application form** into the RFP/Competition along with additional supporting information. This guidance is common to both Indian and UK partners for this RFP/Competition.

- **Section 1** - information on eligibility, timescales and terms and conditions common to both Indian and UK partners.
- **Section 2** - information specific to all UK partners.
- **Section 3** - information specific to all Indian partners.
- **Section 4** - details on how to complete the application form – identical to both UK and Indian parts of the project.

Please ensure that you read all parts of this guidance carefully before submitting your application.

Section 1 – RFP/ Competition Information

1.1 Eligibility

1.1.1 Applicants from India

Eligible Indian applicants must be researchers or managers of companies that operate and are headquartered in India. Academic institutions, research hospitals, other R&D institutes (including not-for-profit research institutes recognized by DST/GITA) that are headquartered and operate in India are encouraged to participate in the projects as co-investigators/partners.

Specific criteria for eligible applicants are as follows:

1. The Indian Project Lead (IPL) company applying for the project must be incorporated in India under the Companies Act 1956.
2. The company must be at least 51% owned by Indian citizens over the total duration of the project.
3. The IPL should have the required expertise and team capacity to manage the proposed project.

Please note

- Sole proprietors and partnership firms shall not be eligible for support under this programme.
- Companies headquartered and owned outside India and their subsidiaries in India, or vice versa, are not eligible to receive funding from DST/GITA under this programme.

Preferences would be given to

- Indian companies having partnership with Government funded Indian academic and R&D institutions.

- Indian companies having in-house R&D Centre which is recognized by the Department of Scientific and Industrial Research (DSIR), Government of India. For details, please refer to <http://www.dsir.gov.in/forms/irdpp/Application%20for%20R&D.pdf>.
- Companies that fall under the Micro, Small and Medium Enterprise (MSME) category, as defined by the Government of India. For definition of MSME, please refer to http://www.dcmsme.gov.in/ssiindia/defination_msme.htm.

1.1.2 Applicants from UK

Eligible UK applicants are UK companies of any size, based and operating in the UK. Academic institutions, other research organizations, public sector bodies and charities undertaking research activity in the UK are also eligible to participate but cannot lead the UK side of the project. Further details on funding rules are available in Part Two of this guidance.

1.1.3 Common Eligibility Criteria

Applicants are required to meet all of the following requirements when applying for funding.

- Each proposal must include:
 - An Indian registered company Project Lead (**IPL**), responsible for the Indian application submission, leading the Indian part of the project and communicating with the UK Project Lead and,
 - A UK registered company Project Lead (**UKPL**), responsible for the UK application submission, leading the UK side of the project and communicating with the Indian Project Lead.
 - A minimum of 50% of the total project costs must be incurred by the business partners (UK and India).
 - Ideal duration of the Project should be 12-24 months.
 - Projects must be innovative and market-driven, leading to the proposed development of a new product or process, leading to ultimate commercialisation.
 - Proposals must demonstrate the joint India-UK project team's capacity to manage the proposed project in their respective countries.
 - Projects must articulate clear commercial goals and associated commercialisation strategies; Building on the principles of a true bilateral partnership, all projects should demonstrate equivalence in effort from the Indian and UK partners.

Although it is not mandatory, projects that engage an end-user/first customer are strongly encouraged in either side of the consortium.

If successful, project consortia will be expected to demonstrate that all partners contributing to the R&D project have agreed on IP Rights and the commercialisation plan as part of the final grant agreement process.

Any team proposing an R&D project that addresses the above requirements is eligible to apply to this RFP/competition and does so in accordance with the national laws, rules, regulations and procedures of their jurisdiction or country.

1.2 Funding

GITA, on behalf of the Department of Science & Technology, Government of India, and Innovate UK will fund projects recommended for funding by the joint assessment process.

Financial Support

- Funding will be limited up to 50% of the total eligible cost of the project with a limit of INR 150 lakhs per project from Indian funding agency and £300,000 per project from UK funding agency over the total duration of project.

Financial support - India

- Total project funding as Grant for Indian applicants is a maximum of INR 150 lakhs per project.
- Indian industry share can range from INR 100 lakhs minimum to INR 125 lakhs maximum, if partnering with Indian R&D organisation/academic institution.
- Indian R&D organisation/academic institution share can range from INR 25 lakhs minimum to INR 50 lakhs maximum Indian industry may receive up to 50% of their part of the eligible cost on a reimbursement basis for costs already incurred on a proportionate basis at quarterly intervals.
- Indian R&D organisation/academic institution may receive up to 100% of their costs (within applicable range specified above and as per proposal) on a reimbursement basis for costs already incurred on a proportionate basis at quarterly intervals.
- DST funding support for the project must be matched equally (1:1) by Indian Industry and Organisation/academic institution.
- The exact amount of funding will be approved by the Indian Project Evaluation Committee based on merit and the contribution of industry, R&D organisation and academic partners respectively.

Financial support – UK

- Industry partners may receive grant up to 50% and research organisations up to 100% (80% Full Economic Cost for UK HEI's) of their part of the eligible cost on a reimbursement basis.
- Total eligible industry cost for the UK project work must be at least 70% of the total UK eligible project cost.
- The total grant for UK industry partners must be at least 50% of the total UK grant requested for the project.
- The UK funding element will be part of the Newton-Bhabha Fund and therefore UK business and academic involvement must be able to demonstrate that there is economic and societal benefit to India.

Selected Indian and UK project participants will receive funding from GITA in India and Innovate UK in the UK respectively. Funds will be provided in accordance with the applicable laws, rules, regulations and procedures established by each organisation, and/or in each jurisdiction/country.

Although the individual type and value of individual contributions allocated to an India-UK R&D project may vary, each bilateral project must demonstrate **equivalent total effort** from each participating country.

1.3 Process Overview and Timeline for Submission

To apply for this competition the Indian Project Lead (IPL) and UK Project Lead (UKPL) must first register on the respective RFP/Competition websites, details of which are available in Section 2 (for UK) and Section 3 (for India). Upon registration the lead partners will be each sent an identical application form template which must be completed in collaboration with each other. **The joint proposals must be identical and submitted into both the UK and India by the stated application submission date and time.**

Project proposals that are not in the prescribed template, or are hand-written or email format shall not be accepted.

Please note that applicants should follow their local guidelines for submission as stated in Sections 2 and 3 of this guidance.

Should you require any further information or have any query regarding the joint submission process, please contact your local helpdesk for further information.

Key Dates

If you are intending to submit an application to this RFP/competition, please make a note of the key dates below.

The deadlines below are absolute and final. **Please note that submission deadlines are 12 noon (GMT) in the UK and 5.30pm (IST) in India.** Any applications after this time will not be accepted.

Opening of the Request for Proposals/Competition	21 st November 2014
Closing of registration (applicants need to have registered their intention to submit an application)	8 th April 2015
Closing of the Request for Proposals/Competition	15 th April 2015
Release date of Request For Proposal/Competition results	August 2015

Important Note:

Please do not leave your submission to the last minute.

If any technical difficulties arise or if you identify any errors in your submission, we will not be able to grant an extension to the above deadlines.

It is your responsibility to ensure you follow the competition guidance rules and in doing so allow sufficient time to complete all of the competition requirements described in this document.

1.4 The assessment and evaluation process for this RFP/Competition.

1.4.1 RFP/Competition process

This RFP/competition will follow a Single stage process.

GITA and Innovate UK will initially screen all the applications received by the application deadline for completeness of information as per the RFP/Competition guidelines.

It is the responsibility of the respective Indian and UK lead applicants to ensure that all of the necessary information has been uploaded on the correct websites prior to the application deadline. If there is specific information missing in the applications submitted, GITA and Innovate UK may at their discretion contact the lead applicants requesting them to provide the missing information within a specified timescale.

GITA and Innovate UK will then compile a list of the complete project proposals received and share it with each other.

- Applications where only one of the countries has submitted their part of the application will be deemed ineligible for the RFP/Competition and notified accordingly by their respective funding agencies.
- If certain project proposals do not meet the basic/key criteria as outlined in the guidelines, such proposals will be excluded from the ongoing RFP/ competition process and they will be notified accordingly by their respective funding bodies.

The final list of complete proposals under the RFP/Competition will be shared between DST/GITA and Innovate UK. These proposals will then undergo assessment in their respective countries.

1.4.2 Evaluation and selection of R&D projects

To ensure the effective delivery of the RFP/Competition and reinforce the principles of bilateral partnership, GITA and Innovate UK will conduct parallel but independent evaluations of all applications based on the project criteria and requirements specified in the RFP/competition guidance, followed by a joint review. Together, the programme implementation agencies will make a joint recommendation on projects to be shortlisted for funding, based on the feedback and recommendations received from Indian and Innovate UK expert reviewers.

Assessors/Evaluators in each country will review the common application form and appendices, but will only receive the detailed finance forms for their respective participants.

In India

An independent panel of experts, the Project Evaluation Committee (PEC), will evaluate all the applications. The full proposal will be examined and reviewed by sectoral and financial experts. The Project Evaluation Committee (PEC) meeting will be convened by GITA and Indian Project Applicants will be invited for presentation and discussion. The schedule/venue for the presentation will be communicated by GITA to the IPL/partners in advance, along with a check-list of supporting documents to be produced. No travel/stay allowances will be paid/reimbursed to IPL/Partners for this purpose.

In the UK

All applications will be evaluated according to the Innovate UK standard assessment process, full details of which are available at: <https://interact.innovateuk.org/-/what-happens-when-you-have-submitted-your-application->

Each application is assessed by up to five independent assessors against the same set of gateway and criteria questions. Each assessor is required to complete and submit a score-sheet with comments for each application they are assigned to assess. A report is then compiled to identify ranked order of all applications.

An assessment panel may be convened to discuss any applications that require clarification around scope, quality, feasibility or fundability. Applicants are not required to attend. The assessment panel will recommend a ranked list of applications to proceed for a joint review panel with GITA.

Joint review

Following the independent evaluations in India and UK, a joint review committee will be held, comprising representatives from both the Indian and UK funding and implementation agencies. Final decisions on joint approvals will be made at that time.

GITA & Innovate UK will communicate the final decision in writing (via e-mail/letter) to all the IPL and UKPL applicants respectively.

Section 2 – Information for UK partners

It is essential for UK applicants to read this section of the guidance before applying.

The specific rules on eligibility and requirements listed in this document apply to this RFP/Competition, but, the six numbered items below offer further general guidance and are available in full on the Innovate UK website to help you complete your application. Links to these sections are listed below and referenced throughout this document.

1. Rules governing how much funding your project could receive

This guidance provides reference information on the different categories of funding and the associated rules arising from our state aid framework. <https://interact.innovateuk.org/-/funding-rules>

2. The project costs we fund and how to fill in the finance forms

This guidance contains detailed information on which project costs are eligible for funding, how to complete the finance forms as well as submitting any academic costs into the Je-S system (a requirement for all academic partners). <https://interact.innovateuk.org/-/project-costs> or download for print.

3. Submitting your application

This guidance explains how to submit your application, any accompanying finance forms and appendices. <https://interact.innovateuk.org/-/submitting-your-application>

4. What happens after you have submitted your application

This guidance provides information on the Innovate UK assessment process, notification of decisions and how to access your assessor feedback. <https://interact.innovateuk.org/-/what-happens-when-you-have-submitted-your-application->

5. What happens if you are successful

This guidance tells you what happens if your project is granted funding. This includes information on the conditional offer letter, timescales, further information we require from your project team, the

Grant Confirmation Letter and the project monitoring process once you start your project.
<https://interact.innovateuk.org/-/what-happens-if-you-are-successful->

Sample agreements can be accessed at the Intellectual Property Management **Toolkit** for Indo-UK R&D <https://www.gov.uk/government/publications/intellectual-property-toolkit>

6. How to find out more

This guidance provides links to other areas which may be useful for completing your project.
<https://interact.innovateuk.org/-/finding-out-more>

Innovate UK complies with the requirements of the UK Data Protection Act 1998 and is committed to upholding the data protection principles. Further details on the collection, storage, processing and disclosure of personal information by Innovate UK is accessible from the above link.

2.1 Requirements and eligibility for UK partners

To be eligible for this competition, projects must be focused on industrial research. A full definition of this research category is available in the guidance for applicants section of our website:
<https://interact.innovateuk.org/-/funding-rules>

- Innovate UK will fund up to 50% of your eligible project costs for a UK business partner, and up to 100% for research organisations of their eligible UK costs (80% of FEC).
- Expected UK project costs of up to approximately £600k giving rise to total UK grant of approximately £300k at an assumed 50% rate.
- Projects are expected to last between 12 -24 months.
- UK project leads must collaborate with an Indian project lead to form a consortium to deliver the project. There is no restriction on the number of partners in either the UK or India other than the UK and Indian lead partners must be a business and take responsibility for leading the project in the respective countries.
- Collaborations must be business-led and address the specific requirements of the competition as outlined in the scope of the Competition Brief.
- Academic participation must be less than 30% of the overall UK eligible project costs and less than 50% of the total UK grant.
- Only UK-based companies and research organisations are eligible to apply to the UK part of the competition. Indian partners must register and apply through the GITA website.
- All applications will be assessed on individual merit, followed by a joint review process with GITA. Only those projects that are recommended for funding as a result of both the UK and Indian assessment process will be eligible for funding.

For more information on funding and state aid definitions please see:
<https://interact.innovateuk.org/-/funding-rules>

2.2 UK Partners - how to apply for this competition

2.2.1. Registration

To enter this competition, the lead partner for the UK side of the consortium must register via Innovate UK competition website at <https://interact.innovateuk.org/>

You will receive an email acknowledgement of your registration immediately and then an additional email containing a username and password for our secure upload facility, along with a unique application form and number. Following your registration acknowledgement, please allow up to 48 hours for receipt of your email application form.

Please note: As stated in the above Key Dates section, the last date to register for a competition is 12 noon GMT 7 days prior to the close date.

Multiple project applications

If you wish to apply for funding for more than one project, for example if you are a UK lead and wish to submit different projects with different Indian consortia, you must register once and then request additional application forms by emailing an additional registration request to support@innovateuk.gov.uk. You will then be able to make separate submissions by completing a unique application form for each separate project, ensuring the appropriate application form is uploaded to the site under the correct application number.

If repeat applications for the same project are submitted, then the repeat applications will be ineligible and not assessed.

Once you have received your unique username and password, you can log into the secure website to access additional documentation relevant to the competition. For this RFP/competition this comprises the finance forms only for UK applicants.

2.2.2 Application

As the UK lead partner you must complete the following documents:

- Application Form supplied with your unique application number for this competition
- Project Appendices (please see Section 4 of this document for more information)
- Business Partner Finance Form (for every non-academic UK partner in your project)
- Academic Partner Finance Form (for every UK academic partner in your project – if any)
- Je-S Submission pdf Document (for every UK academic partner in your project – if any)

The appendices allow you to provide additional supporting information for the assessors on your project.

Please note: for this RFP/Competition, some of the appendices are compulsory and an application will not be eligible for assessment without them.

UK partner finance forms are available to download on your competition FTP site once you have received your unique userID and password. The finance forms provide details on your project costs for each UK partner in your project consortium. For information on eligible project costs and the partner finance forms please click here <https://interact.innovateuk.org/-/project-costs>

2.2.3 Submission

Please ensure that you allow plenty of time to upload your completed documents for submission to the competition.

Your completed application form must be identical to the one submitted to GITA by your Indian lead partner. Application forms for joint UK-India projects which are not the same or do not provide identical responses to the questions may be considered ineligible for funding.

Submission close dates can be very busy which means that uploading documents on to the secure FTP site can take some time. We recommend that you upload your application well before the deadline. To upload your application documents, log on to the secure website using the details supplied with your secure username and password. See detailed instructions at: <https://interact.innovateuk.org/-/submitting-your-application>

2.2.4 Assessment

Once the competition submission deadline is reached, your application is sent for assessment. We will notify your lead partner of the outcome of your application as stated in the timeline.

2.2.5 Notification and feedback

You will be able to access feedback on your application from the assessors by logging into the secure site on or after the date published in the key dates section. For further information on what happens after you submit your application please click here: <https://interact.innovateuk.org/-/what-happens-when-you-have-submitted-your-application->

Section 3 – Information for Indian partners

3.1 Funding for Indian partners

GITA, on behalf of the Department of Science & Technology, Government of India, and Innovate UK will fund projects recommended for funding as a result of the joint assessment process.

Financial Support

- Funding will be limited up to 50% of the total eligible cost of the project with a limit of INR 150 lakhs per project from Indian funding agency and £300,000 per project from Innovate UK over the total duration of project.

Financial support - India

- Total project funding as Grant for Indian applicants is a maximum of INR 150 lakhs per project.
- Indian industry share can range from INR 100 lakhs minimum to INR 125 lakhs maximum, if partnering with Indian R&D organisation/academic institution.
- Indian R&D organisation/academic institution share can range from INR 25 lakhs minimum to INR 50 lakhs maximum.
- Indian industry may receive up to 50% of their part of the eligible cost on a reimbursement basis, for costs already incurred on a proportionate basis, at quarterly intervals.

- Indian R&D organisation/academic institution may receive up to 100% of their costs (within applicable range specified above and as per proposal) on a reimbursement basis for costs already incurred on a proportionate basis at quarterly intervals.
- DST funding support for the project must be matched equally (1:1) by Indian Industry and R&D organisation/academic institution.
- The exact amount of funding will be approved by the Indian Project Evaluation Committee based on merit and the contribution of industry, R&D organisation and academic partners respectively.
- Funding from other public sector sources will be taken into account when awarding grant, and applicants will be asked to declare funding from other sources in the application.
- Example provided below for reference:

Total DST Funding Support to be provided for one project – INR 15 Million (150 lakhs)	
Indian Industry share (INR) Range: 10 (Min) to 12.5 (Max) million [100 (Min) to 125 (Max) lakhs]	R&D Organisation/Academic Institution share (INR) Range: 2.5 (Min) to 5 (Max) million [25 (Min) to 50 (Max) Lakhs]
<ul style="list-style-type: none"> • Subject to project proposal and amount approved by the Project Evaluation Committee (PEC) • DST Funding support to be matched equally (1:1) by Indian Industry and R&D organisation/academic institution 	

Case-1	Indian Industry	Indian R&D Organisation/Academic Institution	Total
Request for Funding Support	INR 15 Million (INR 150 lakhs)	INR 5 Million (INR 50 lakhs)	INR 20 Million (INR 200 lakhs)
PEC approves	INR 11 Million (INR 110 lakhs)	INR 4 Million (INR 40 lakhs)	INR 15 Million (INR 150 lakhs)
Funding to be Disbursed	INR 11 Million (INR 110 lakhs)	INR 4 Million (INR 40 lakhs)	INR 15 Million (INR 150 lakhs)
DST Funding support to be matched equally (1:1) by Indian Industry and R&D organisation/academic institution			

Case-2	Indian Industry	Indian R&D Organisation/Academic Institution	Total
Request for Funding Support	INR 10 Million (INR 100 million)	INR 6 Million (60 lakhs)	INR 16 Million (160 lakhs)
PEC approves	INR 9 Million (INR 90 Lakhs)	INR 5 Million (INR 50 lakhs)	INR 14 Million (INR 140 lakhs)
Funding to be Disbursed	INR 9 Million (INR 90 Lakhs)	INR 5 Million (INR 50 Lakhs)	INR 14 Million (INR 140 Lakhs)
DST Funding support to be matched equally (1:1) by Indian Industry and R&D organisation/academic institution			

If the Indian Project Cost is 100 units, Indian applicants would be eligible for an overall support of 50 units only. Moreover, the overall project support of 50 units is a maximum from Government of India, irrespective of its receipt from DST/GITA and/or any other Government Funding Agency support. Once a project is funded with 50 units by DST/GITA, the project applicants are not entitled to request for further funding support from any other Government Funding Agency for the same project, with similar product/process and commercialization.

Example

Indian Participants are proposing total Indian Project cost of 120 units, and during the evaluation of the project, GITA accepts the total eligible cost of 100 units. Indian Participants are then eligible to get overall financial support up to 50 units from DST/GITA, after adjusting the proposed/available funding from other government sources in India. This means if Indian Project Participants have already sourced financial support of 10 units from other government agencies in India, they would be eligible for 40 units only as financial support from DST/GITA. For further clarification, you may refer to following illustration:

S N	Particulars	Amounts in unit
A	Indian Project cost (as proposed by Indian Project Partners)	300
B	Proposed contribution by Indian Project Partners (Say by Industry 100 units & Academia 50 units)	150
C	Maximum Eligibility for financial support from DST/GITA	150
D	Proposed to avail/availed financial support from government sources in India, if any	50
E	Maximum eligible financial support from DST/GITA	100 (in case, D is applicable) 150 (In case, D is not applicable)

3.2 Application submission process for Indian partners

Registration and submission of application:

- Indian participants should, first, register at GITA website www.gita.org.in.
- Upon registration, applicant will receive an auto-generated email acknowledgement in a short span confirming the registration.
- Post registration, applicants will be able to access and download RFP forms and common guidelines to apply for funding under the India-UK Programme.
- The Lead Applicant can subsequently log in and upload the completed application form at GITA website. Upon submission of the online application, the applicant will receive a confirmation email at the registered email ID.
- Appendix D is mandatory for Indian applicants only

The Indian project lead must ensure that the content of the application form is identical to the one being submitted to Innovate UK by the UK project lead.

3.3 Additional supporting documents required (Indian applicants only)

In addition to submitting the Application Form and its appendices, the Indian Project Lead (IPL) will also be required to submit/upload the following:

- Where the IPL/Partners are recognized by the Department of Scientific and Industrial Research (DSIR), Government of India or any other competent authority as an in-house R&D unit, supporting document for the same.
- Know Your Customer (KYC) documents of IPL/Partners.
- Copy of the Company Registration Certificate of IPL/Partners.
- Audited Annual Reports (including Balance Sheet, Profit & Loss Account & Auditor's Reports) of IPL/Partners for the last three Financial Years. Annual Report can be exempted in case of institutions managed by a Government Agency.

The above list is indicative and GITA, in India, may seek additional documents/information from individual project applicants.

3.4 Administrative and Legal requirements to be addressed by Indian Project Leader prior to the release of funds

Following award notification, GITA will advise project leader in their jurisdiction of all administrative and legal requirements to be addressed prior to the start of projects and the release of funds.

3.5 Funding support

Post project approval, as per the recommendations and approval on the project, the Indian Project Lead (IPL), as an Industry lead and its other Indian partners will be supported with grant as per the terms and conditions of the agreement. Please read the document carefully for the exact funding support to the Indian Project Partners, as mentioned in FAQs on the GITA website.

If successful, as part of the final grant agreement process, projects will be expected to provide:

- Copy of a Memorandum of Understanding (MoU)/collaboration agreement (along with IP sharing agreement, if any) between all Indian Project Partners (as applicable), clearly specifying the roles/responsibilities/ deliverables of each of the project partners.
- Collaborative Agreement between the Indian and the UK Project Partners along with IP sharing agreement (if any). Sample agreements can be accessed at the Intellectual Property Management **Toolkit** for Indo-UK R&D
<https://www.gov.uk/government/publications/intellectual-property-toolkit>

Grant will be in the form of reimbursement for costs already incurred. Project partners are expected to use their own funds for the project activity and seek quarterly reimbursement of GITA's committed fund on proportional basis.

Release of the first instalment will be subject to compliance with all terms and conditions, which include Due-Diligence, signing of the agreement, etc. The subsequent funding/instalments to the Indian project partners will be released as per the (a) agreed milestones and deliverables laid down in the agreement between GITA and IPL and (b) on-site periodic project review by Experts nominated by GITA.

A Project Review and Mentoring Committee, comprising of Technical and Financial Experts, shall be constituted by GITA for the purpose for providing advice/support towards achieving the defined objectives of the project within the time and costs projected.

3.6 Royalty payments – for Indian participants

If your project is granted funding from this RFP/competition and the project is successful, the Indian Industry Partners shall pay royalty payments to GITA at the rate of 2% annually on the sales/turnover of the product, developed with GITA's fund assistance, for ten years, commencing from the date of start of commercialization.

Sales for this purpose shall be defined as net annual sales, and should be calculated as gross sales minus excise duty and sales tax for the corresponding financial year.

Royalty for each financial year shall be payable to GITA by the Indian Industry Partners within 30 days of close of the corresponding financial year. For this purpose, the Indian Industry Partners shall submit an Auditor's certificate for the corresponding period of the financial year for calculating royalty. In case of delay in payment of royalty, the Indian Industry Partners shall be liable to pay simple interest at the rate of 12 percent per annum on the amount of default in payment of royalty. The Indian Industry Partners shall pay the actual amount of royalty calculated as above.

3.7 Key documents needed for Indian applications

Stage	Documents
Application Form Submission Stage	<ul style="list-style-type: none"> • 2 physical (original) copies of Completed Project Proposal, identical in content to the application submitted to Innovate UK by the UK lead partner • Signed copies of documents, mentioned in Section 3.3 to be submitted to GITA within 7 days from the date of online submission.
Agreement Signing Stage	All successful Indian project applicants will be informed in advance about the requisite documents to be submitted during the Agreement Signing stage.

Section 4 - The application form & submission documents

4.1 The application form

This section explains the structure of the application form and offers guidance on the information to include in each section. This section is applicable to both the UK and Indian partners.

Submission of a completed application form is mandatory. Applications in any other format will not be accepted. Upon registration, each applicant will receive a unique application form and user ID for the proposal. For the Indian applicants, GITA will assign a unique application number.

The Indian and UK project leads for a project should ensure that they each submit an identical application form and associated Appendices, A, B, C. Finance forms will be specific and provided by Innovate UK for UK applicants, and by GITA using Appendix D for Indian applicants.

Applications should include a technical, business and financial component. The technical component describes the innovation, gives details of the proposed technical approach and contains a research Program Plan. The business component covers the market analysis, commercialization plans, and benefits to project participants, project organization, and the management plan. The financial component covers the cost of the project, the funding required and why public support is needed.

The proposal will also provide a description of the companies and other participants. It is important to be clear, concise, and to the point when filling each section so to best present the merit of your project in an effective manner.

The structure of the application form is as follows:

- Application details
- Summary of proposed project
- Gateway question: scope
- **Section 1 – The business proposition (4 questions)**
- **Section 2 – Project details (4 questions)**
- **Section 3 – Funding and added value (2 questions)**
- Public description of the project
- Other funding from public sector bodies
- Finance summary table

Sections 1 to 3, highlighted above, address specific questions; these are listed in the following tables with guidance notes. When you submit your application form, it will be assessed according to how well it answers the specific questions. Each question has an equal weighting of 10 marks per question.

It is important that you address and respond to each question clearly. To help you, the guidance below provides an explanation of what is required for each question. The guidance notes are not intended to be exhaustive; you should develop your own responses based on your own skills, knowledge and experience.

When completing the application form it is important to take into account that the space provided is to enable you to give the specific amount of information for each question as you feel appropriate for the application. You are encouraged, therefore, to utilise fully all available space and any appendices at your disposal.

Please ensure that you upload the final and complete version of your application by the deadline. It is your sole responsibility to ensure you upload the application form intended for submission and assessment and not a blank or incomplete application form. **The Indian and UK project leads should ensure that they each submit an identical application form and associated Appendices A, B, C. Appendix D is for Indian applicants only.**

Key tips

- number the answers to each question
- use headings for the answer to each question

Important: Please note the following process requirements for the application form:

- You may only use the application form provided. It contains specific information including a unique reference number for your project (for UK applicants).
- The application form contains specific fields and it is important that you complete each field and present a fully completed form. Incomplete forms will be rejected.
- The application form must not be altered, converted or saved as a different version of Microsoft Word.
- The space provided in each field of the form is fixed and you must restrict the content of your responses in each of the fields to the space provided. The typeface, font size and colour are predetermined and cannot be changed. Illustrations and graphics cannot be included in the application form. **Please check your completed application form in PRINT VIEW: any text that can't be seen in this view or when the form is printed will not be assessed.**
- The light grey shaded fields are completed automatically from other information entered on the form, e.g. the total columns of a table. These cannot be overwritten.

Application details	
Field	Guidance
RFP / Competition title	This field will show the full name of the RFP/ Competition to which the form applies. You do not need to enter anything here
Project title	Enter the full title of the project.
Theme	Please select from the pull down menu, the theme to which your project applies: <ul style="list-style-type: none"> • Cleantech Energy • Affordable healthcare • Advanced Manufacturing • Use of Information & Communication Technologies (ICT) in any of the above focus areas.
Project timescales	Enter the estimated start date and its planned duration. These are indicative at this stage and are not guaranteed
UK Project Lead (UKPL) organisation name	Enter the full registered name of the UK lead partner for the project and the company number (as provided by Companies House). Please note that the lead organisation will be the main point of contact between Innovate UK and the UK project team.
UK Project Lead (UKPL) organisation contact details	Enter the full name, postcode, e-mail address and telephone number of the main point of contact between Innovate UK and the project.

Indian Project Lead (IPL) organisation name	Enter the full registered name of the Indian project lead (IPL) organisation for the project. Please note that the lead organisation will be the main point of contact between the GITA and the Indian project team.
Indian Project Lead (IPL) contact details	Enter the full name, postcode, e-mail address and telephone number of the main point of contact between the GITA and the project.
Document ID for UK Applicants	This is completed automatically (for UK applicants)
Applicant number	This is completed automatically and is the reference that you should use on all correspondence (For the UK, this is the 5 or 6 digit number after the dash). For the Indian applicants, GITA will assign a unique application number
Appendices	The specific requirements for Appendices are provided in Section 4.2 of this document.

Summary of proposed project (not scored)

Question	Guidance
Please provide a short summary of the content and objectives of the project including what is innovative about it.	This is an opportunity to provide a short summary of the key objectives and focus areas of the project. It is important that this summary is presented in reference to the main outline of the project, with sufficient information to provide a clear understanding of the overall vision of the project and its innovative nature. This summary is not scored, but provides an introduction of your proposal for the benefit of the assessors.

Gateway question: Scope (not scored, Yes/No answer)

Important note:

If the majority of evaluators/assessors consider that the answer to the Scope Gateway question is 'No', then the application will not be approved for funding. Guidance on the 'Gateway Question: Scope' question is, therefore, critically important and is provided below.

Question	Guidance
Gateway question: Scope - How does this application align with the specific competition scope?	All applications must align with the specific competition scope criteria as described in the relevant competition Brief. Note: To demonstrate alignment, you need to show that a clear majority of the project's objectives and activities are aligned with the specific competition. In forming their judgment on this, the assessors will also consider whether the application addresses the research objectives and topics it claims to. It is important, therefore, for you to understand fully the background, challenge and scope of the competition, as outlined in the Competition Brief on the GITA and Innovate UK websites.

Section 1: The business proposition

(10 points per question = 40 points in total)

Question	Guidance
1. What is the business	Outline the business opportunity and what the project team needs

<p>opportunity that this project addresses?</p>	<p>to do to successfully address it within the desired timeframe and cost.</p> <p>Describe the nature of the problems or issues facing you and/or your potential customers and how the intended outputs of the project will address these problems and issues.</p>
<p>2. What is the size of the market opportunity that this project might open up?</p>	<p>Describe the size of the market opportunities that this project might open up, including details of:</p> <ul style="list-style-type: none"> • current nature of the specific market(s) at which the project is targeted (for example, is it characterised by price competition amongst commoditised suppliers? Is it dominated by a single leading firm?) • the dynamics of the market including quantifying its current size, actual and predicted growth rates • the projected market share for the project outcome, with justification in the light of any potential competitors • the potential to create value-added for the UK and/or India. <p>Describe and clearly quantify the return on investment that the project could achieve and provide relevant source data references.</p> <p>Where possible, provide evidence for your statements about the addressable market for project outcomes and outline your strategy for developing market share.</p> <p>For highly innovative projects (see question 6) where the market may be unexplored, explain:</p> <ul style="list-style-type: none"> • what the route to market could or might be • what its size might be • how the project will seek to explore the market potential.
<p>3. How will the results of the project be exploited and disseminated?</p>	<p>List or describe the potential exploitable outputs of the project such as:</p> <ul style="list-style-type: none"> • products or services • processes • applications <p>Then describe how these outputs will be exploited including, where applicable, the route to market; protection of intellectual property rights; reconfiguration of the value system; changes to business models and business processes and other methods of exploitation and protection.</p> <p>Where helpful to the exchange of best practice, and not damaging to commercial interests, the results from this work should be made public on a voluntary basis and a strategy for dissemination of generic outputs from the funded project should be included.</p> <p>PLEASE NOTE: Where UK research organisations are involved in a project and funded for undertaking non-economic activity, we will</p>

	<p>expect to see evidence in the answer to this question of plans to disseminate their project outputs over a reasonable timescale. The requirement for dissemination of research results intends to secure wider benefit from the higher level of public support given to research organisations. For further information, please click here: https://interact.innovateuk.org/-/funding-rules</p>
<p>4. What economic, social and environmental benefits is the project expected to deliver to those inside and outside of the consortium, and over what timescale?</p>	<p>Explicitly identify all benefits that will accrue inside and outside of the consortium as a result of the proposed project. Truly sustainable development balances economic growth with social impacts and benefits and the protection of the environment.</p> <p>Benefits to those outside the consortium and to consortium participants should be considered and you should make a clear distinction between the two.</p> <p>Economic – This is the real impact the organisation has on its economic environment. This is not simply traditional corporate accounting profit, and can include cost avoidance, so you should highlight any expected ‘spill over’ benefits external to the project, eg, benefits to users (intermediaries and end users), suppliers, the broader industrial markets and the UK and/or Indian economies. The application should identify and quantify where possible the benefit to each of the beneficiaries.</p> <p>Social - Quantify any expected social impacts, either positive or negative, on, for example, the quality of life, social inclusion/exclusion, education, public empowerment, health and safety, regulation, diversity, and any expected impact on Government priorities.</p> <p>Environmental – Demonstrate how your project will benefit the natural environment as much as possible or at the least do no harm and curtail environmental impact. For example, this could include careful management of energy consumption and reductions in carbon emissions whilst reducing manufacturing and materials waste, rendering waste less toxic before disposing of it in a safe and legal manner (cradle to grave) or re-manufacturing (cradle to cradle).</p>

Section 2: The project details	(10 points per question = 40 points in total)
Question	Guidance
<p>5. What technical approach will be adopted and how will the project be managed?</p>	<p>Provide an overview of the technical approach including the main objectives of the work. Describe the main areas of work together with their resource and management requirements.</p> <p>In evaluating this the assessors will consider these questions:</p> <ul style="list-style-type: none"> • is the technical approach and methodology appropriate to the needs of the project and are the innovative steps achievable through the proposed approach?

	<ul style="list-style-type: none"> • is the project plan sufficient in comparison to the complexity of the project? For example, is there sufficient detail to understand the tasks involved and the resources required? • is the timing of key milestones realistic? • is there demonstration of sufficient resource commitment and capability to undertake the project? • are clear management reporting lines identified? <p>Describe rival technologies and alternative R&D strategies and describe why your proposed approach will offer a better outcome.</p> <p>Please use Appendix B to provide a milestone based project plan for the project. For detailed guidance on what to include in the plan, please see Section 4.3.</p>
<p>6. What is innovative about this project?</p>	<p>Identify the extent to which the project is innovative both commercially and technically.</p> <p>In evaluating this section assessors will consider these questions:</p> <ul style="list-style-type: none"> • does it push boundaries over and beyond current leading-edge world science and technology? • is it looking to apply existing technologies in new areas? <p>Highlight and explain the timeliness and novelty of the research aspects of the project in an industrial and/or academic context.</p> <p>Describe any evidence you have to substantiate your belief that the intended work is innovative. This could include the results of patent searches, competitor analyses, literature surveys etc. If applicable, you should also outline your own background intellectual property rights, as related to the project.</p> <p>You may additionally consider:</p> <ul style="list-style-type: none"> • What is current "best practice"? • What are current limitations to innovation and how will the project overcome them? This is an opportunity to elaborate on the shortcomings that exist in the proposed area of innovation as a prelude to the description of the innovation and how it can overcome these shortcomings. Current limitations could include: high cost, sub-optimal performance, lack of attention to specific market opportunities, e.g. poor suitability to high-or-low-end markets, size, compatibility, nonconformance to standards, etc; • Diagrams and tables could be included in Appendix B to help describe the innovation. What is the patent situation, including background patents and the potential for new patents? Are there any obligations to other agencies which have supported any part of the innovation development? • Which standards relate to the developed product? Will the proposed product meet current and/or emerging standards?
<p>7. What are the risks (technical, commercial and environmental) to</p>	<p>GITA and Innovate UK both recognise that projects of this type are inherently risky, but seek assurance that the projects they fund have adequate arrangements for managing this risk. Focus, therefore, on</p>

<p>project success? What is the project's risk management strategy?</p>	<p>the arrangements for managing and mitigating risk as follows:</p> <ul style="list-style-type: none"> • identify the key risks and uncertainties of the project and provide a detailed risk analysis for the project content and approach, including the technical, commercial, managerial and environmental risks as well as other uncertainties (eg, ethical issues) associated with the project. The main risks should then be rated as High/Medium/Low (H/M/L) • state how the project would mitigate these key risks. You should address all significant and relevant risks and their mitigation • identify key project management tools and mechanisms that will be implemented to provide confidence that sufficient control will be in place to minimise operational risk and, therefore, promote successful project delivery. This should include the arrangements for managing the project team and its partners.
<p>8. Does the project team have the right skills and experience and access to facilities to deliver the identified benefits?</p>	<p>Describe the track record of the project team members in undertaking and exploiting the results of research and development projects, to show your capability to develop and exploit the technology.</p> <p>In evaluating this, the assessors will consider whether:</p> <ul style="list-style-type: none"> • the project team has the right available mix of skills and experience to deliver the project successfully • the project team's formation objectives are clear and if it would have been formed without this funding support • there is additional benefit demonstrated from the collaboration, for example, increased knowledge transfer; and if the consortium is greater than the sum of its parts – how the organisations working together will achieve more than if they were working individually.

<p>Section 3: Funding and added value</p>	<p>(10 points per question = 20 points in total)</p>
<p>Question</p>	<p>Guidance</p>
<p>9. What is the financial commitment required for the project?</p>	<p>Indicate the anticipated project cost making clear the level of contribution from any project participants and the level of funding required from the GITA and Innovate UK. This information should be provided in the financial summary table in the application form.</p> <p>If a project partner is not proposing to claim grant, then it must still show its costs in the finance summary table and describe them in the answer to this question so that the assessors can evaluate the whole project. However, the detailed finance forms will not be required for UK partners not requesting grant.</p> <p>Supporting information and explanation for project costs should be provided in this section of the form. Detailed cost information is</p>

	<p>required in the finance forms for each country. The information and explanation must be consistent with the category of research & development being undertaken within each work package.</p> <p>UK partners: Please see the guidance section of Innovate UK website for further details on UK funding: https://interact.innovateuk.org/-/funding-rules</p> <p>Indian partners: Please see the FAQs at www.gita.org.in</p> <p>Important: If the project spans more than one type of funding (for example, because significant work packages are in both fundamental and industrial research), you must describe and justify the breakdown of costs between them within the answer to this question.</p> <p>In evaluating this the assessors will consider the following questions:</p> <ul style="list-style-type: none"> • Is the budget realistic for the scale and complexity of the project? • Does the financial support from this RFP/competition fit within the limits set by the specific competition? • Is a financial commitment from other sources demonstrated for the balance of the project costs? • Has a realistic budget breakdown been provided? • Have any work package breakdowns been described and justified adequately? <p>UK partners: detailed guidance on eligible and ineligible project costs is provided on the Innovate UK website: https://interact.innovateuk.org/-/project-costs</p> <p>Indian partners: Please see the FAQs at www.gita.org.in</p> <p>Please note: For UK Research Organisations, the costs of Post Graduate Research Students are no longer eligible to be included in project costs. This is in line with current Research Council guidelines. Please refer to the guidance via the above link for further details</p> <p>Ensure that all key points relating to the finances of your project that you wish the assessors to consider are included in the main body of your application form, or in the relevant appendix, as these are the key documents used within the assessment process.</p>
<p>10. How does financial support from GITA and Innovate UK add value?</p>	<p>You will need to provide evidence that:</p> <ul style="list-style-type: none"> • successful delivery of your project will increase the total amount of money the project team spends on research &

	<p>development in India and the UK</p> <p>And either:</p> <ul style="list-style-type: none"> • why the funding is required for the project to be able to proceed <p>or</p> <ul style="list-style-type: none"> • how GITA/Innovate UK funding would allow you to undertake the project differently (more quickly, on a larger scale etc) and why this would be beneficial to India and the UK
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Public description of the project (not scored)	
Question	Guidance
If your application is successful, GITA and Innovate UK will publish the following brief description of your proposal. Provision of this description is mandatory but will not be assessed.	<p>To comply with Indian and UK Government practice on openness and transparency of public-funded activities, DST/GITA and Innovate UK will publish information relating to funded projects. Please provide a short description of your proposal in a way that will be comprehensible to the general public. Do not include any commercially confidential information, for example intellectual property or patent details, in this summary.</p> <p>Whilst this section is not assessed, provision of this public description is mandatory. Funding will not be provided to successful projects without this.</p>

Finance summary table																			
Column 1 Organisation name	Please provide the full names of the (lead) organisations (both UK and India on separate rows) and any participants in the project consortium (organisation names as noted in Companies House/CIN) on separate rows below.																		
Column 2 Organisation Registration Number	<p>UK partner: Companies should provide the Company Registration Number (as noted in Companies House). UK Research Organisations should enter their RC number/Charitable status/legal entity registration number etc.</p> <p>Indian partner: Companies should provide the Corporate Identity Number (CIN) issued by the Ministry of Corporate Affairs.</p>																		
Column 3 Enterprise Category	<p>UK partner: Please select your Enterprise Category. (SME definition below is based on the EU definition for UK applicants. For other definitions, please check the competition website: https://interact.innovateuk.org/-/funding-rules</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Enterprise category</th> <th>Headcount</th> <th>Turnover</th> <th></th> <th>Balance sheet total</th> </tr> </thead> <tbody> <tr> <td>Medium sized</td> <td><250</td> <td><= €50 million</td> <td rowspan="3" style="text-align: center; vertical-align: middle;">or</td> <td><= €43 million</td> </tr> <tr> <td>Small</td> <td><50</td> <td><= €10 million</td> <td><= 10 million</td> </tr> <tr> <td>Micro</td> <td><10</td> <td><= €2 million</td> <td><= 2 million</td> </tr> </tbody> </table> <p>Indian partner: Please select your Enterprise Category: Large / Micro, Small and Medium Enterprises (MSMEs) As per Micro, Small & Medium Enterprises Development (MSMED)</p>	Enterprise category	Headcount	Turnover		Balance sheet total	Medium sized	<250	<= €50 million	or	<= €43 million	Small	<50	<= €10 million	<= 10 million	Micro	<10	<= €2 million	<= 2 million
Enterprise category	Headcount	Turnover		Balance sheet total															
Medium sized	<250	<= €50 million	or	<= €43 million															
Small	<50	<= €10 million		<= 10 million															
Micro	<10	<= €2 million		<= 2 million															

	<p>Act, 2006, MSMEs are classified in two categories:</p> <p>a) Manufacturing Enterprises - The enterprises engaged in the manufacturing or production of goods pertaining to any industry specified in the first schedule to the industries (Development and regulation) the Companies Act, 1951 or employing plant and machinery in the process of value addition to the final product having a distinct name or character or use. The Manufacturing Enterprise are defined in terms of investment in Plant & Machinery.</p> <p>b) Service Enterprises: The enterprises engaged in providing or rendering of services and are defined in terms of investment in equipment.</p> <table border="1"> <thead> <tr> <th></th> <th>Manufacturing Sector</th> <th>Service Sector</th> </tr> </thead> <tbody> <tr> <th>Enterprises</th> <td>Investment in plant & machinery</td> <td>Investment in equipment</td> </tr> <tr> <th>Micro</th> <td>Up to INR 2.5 million</td> <td>Up to INR 1 million</td> </tr> <tr> <th>Small</th> <td>Between INR 2.5 million to INR 50 million</td> <td>Between INR 1 million to INR 20 million</td> </tr> <tr> <th>Medium</th> <td>Between INR 50 million to INR 100 million</td> <td>Between INR 20 million to INR 50 million</td> </tr> </tbody> </table>		Manufacturing Sector	Service Sector	Enterprises	Investment in plant & machinery	Investment in equipment	Micro	Up to INR 2.5 million	Up to INR 1 million	Small	Between INR 2.5 million to INR 50 million	Between INR 1 million to INR 20 million	Medium	Between INR 50 million to INR 100 million	Between INR 20 million to INR 50 million
	Manufacturing Sector	Service Sector														
Enterprises	Investment in plant & machinery	Investment in equipment														
Micro	Up to INR 2.5 million	Up to INR 1 million														
Small	Between INR 2.5 million to INR 50 million	Between INR 1 million to INR 20 million														
Medium	Between INR 50 million to INR 100 million	Between INR 20 million to INR 50 million														
Column 4 Postcode	Please provide the postcode of each organisation participating in the project.															
Column 5 Contribution to the project by each organisation (£)/(INR)	Please list the total contribution to be made to the project by each organisation. For the UK submission, all applicant figures in cols 5-9 must be in £ at the stated exchange rate. For Indian submission, all figures in cols 5-9 must be in INR at the stated exchange rate.															
Column 6 Funding sought from Innovate UK Value in (£)/(INR)	Please enter the funding sought from Innovate UK for each UK participant organisation in the consortium for this RFP/competition. See Col 5 above															
Column 6 Funding sought from GITA Value in (£)/(INR)	Please enter the funding sought from GITA for each Indian participant organisation in the consortium for this RFP/competition. See Col 5 above															
Column 7 Other funding from public sector bodies (£)/(INR)	Please include any funding for the project from any other public sector bodies which has been applied for separately, and not as part of this RFP/competition. Funding from other public sector bodies might include other applications to research councils, other government departments, devolved administrations, other public sector organisations and some charities. The purpose of this column is to provide GITA and Innovate UK with information on the total public funding for the project. See Col 5 above															
Column 8 Total (£)/(INR)	The total cost of the project – this is the sum of columns 5, 6 and 7 and will be entered automatically.															
Bottom Row Total (£)/(INR)	The total of each column will be entered automatically.															

You will be asked to submit a finance form for each industry and academic participant in your project, which provides more detailed information on the total costs listed in your finance summary table.

For information on UK eligible project costs and how to complete the UK finance forms see the website <https://interact.innovateuk.org/-/project-costs> or download as a pdf file.

For information on Indian eligible project costs and how to complete the Indian finance forms; please see the GITA’s FAQs at www.gita.org.in

4.2 Project appendices – applicable to both Indian and UK applicants

Appendices are required for this RFP/competition.

Appendices must be submitted with the application form. It is important to note that these are intended to contain supporting information and not substantive elements of answers to the application form questions. Do not, therefore, use the appendices as an overflow to the application form.

Please note: Appendix D (Budget and Deliverable summary for Indian applicants) is mandatory for Indian applicants only.

In order that evaluators/assessors can open and read the appendices, **for all applications** each appendix must:

- conform to the maximum length specifications listed below
- be submitted in Portable Document Format (.pdf)
- be legible at 100% zoom/magnification
- display prominently the ‘Project title’ as entered on page 1 of the application form
- **UK partners:** be named as per the specifications given in the guidance ‘Submitting your Application’ click here: <https://interact.innovateuk.org/-/submitting-your-application>
- **Indian partners:** Please see the FAQs at www.gita.org.in

If you submit appendices longer than specified below, they will be truncated and the excess discarded.

Appendices may be printed or photocopied in black and white, so colour should not be used as the sole method of conveying important information.

Appendix	Guidance
Appendix A Up to 5 sides of A4	Use Appendix A to provide additional information to support Section 1 of the application form: The Business Proposition. You may wish to include graphics describing the nature of the problem, market dynamics and/or exploitation plans.
Appendix B Up to 5 sides of A4 (7 sides of A4 for academic and business applications)	Use Appendix B to provide further information to support Section 2 of the application form: The Project Details. A project plan is mandatory for this section. You may include, for example, a Gantt chart, risk analysis table, project management structure and/or details of evidence for innovation. Applications involving academic partners may submit an additional 2 A4 sides for additional assessment information such as the Pathways to Impact. Please refer to separate guidance on your Project Costs for more information using the link below.

Appendix C Up to ½ side of A4 for each partner and subcontractor	Use Appendix C to provide details of the specific expertise and track record of each project partner and each subcontractor to address Question 8 of the application form. Academic collaborators may wish to refer to their research standing.
Appendix D – Finance Summary (Mandatory for Indian Applicants)	Use Appendix D for providing additional information on project budget, budget justification and technological deliverable milestones

4.3 Project Plan (for UK and Indian applicants)

In addition to your response to Question 6 on the application form, you are required to submit a mandatory project plan as part of Appendix B.

Should the project be approved, the Project Plan section of the proposal will be incorporated into the Project Funding Agreement for Indian partners.

For UK partners, a more detailed project plan will be required by Innovate UK for monitoring project progress.

For Indian partners, a more detailed project plan will be required by GITA for review and mentoring of project progress.

The project plan should consist of:

- A chronological schedule of project activities presented in graphical form (e.g. Gantt chart on one page), clearly indicating the estimated time required for the completion of each main task in addition to milestones. Specific participant assignments for each task should be identified in the Project Plan even if this information was provided elsewhere, and task assignments for subcontractors and consultants should be separately identified and described with location of work;
- A Work Breakdown Structure (WBS) detailing the planned time commitment for each task, covering the same project duration (see example in Table 1);

Table 1: Example Work Breakdown Structure and Estimated Effort

Task #	Title	Task Description	Start Date	End Date	Effort Days
1000	Phase 1				
1100	Project Management				
1110	Project Management and support	Plan and monitor project activities and progress Implement and monitor subcontracts Monthly and quarterly reports			70 Participant A
1120	Meetings	Kick-off meeting Quarterly review meetings			10 each
1200	High-Level System Requirements and Design				
1210	System requirements and design	Overall system requirement specifications Overall system conceptual architecture and design System components definition			60 Participant A 20 Participant B
1300	Data Plan				
1310	Data planning, acquisition and preparation	Data planning Data acquisition Data preparation and processing			20 Participant A 20 Participant C
1320	Model data integration	Integrate data into models Test models and analyze outputs			40 Participant A 40 Participant C
1400	Model identification and definition				

1410	Application crop model implementation	Model identification, development and testing			60 Participant A 60 Participant C
1420	Integrated intelligent model implementation	Model identification, development and testing Establish and test system communication			80 Participant A 10 Participant B
1430	Product generation model implementation	Model identification, development and testing			40 Participant A 10 Participant B
1500	Hardware and Software Identification and Acquisition				
1510	Sensors	Identify and purchase sensors Install, test and maintain sensors			10 Participant A 40 Participant C
1520	Software acquisition	Software development and testing			10 Participant B
1600	Commercialization requirements				20 Participant A 20 Participant D
Total Effort (Person Days)					XX Participant A YY Participant B ZZ Participant C AA Participant D

4.4 Project Finances

In addition to the application form and appendices, you must submit a project budget / finance form for every partner in your project consortium applying for grant. The forms should be submitted by the UK project lead for each UK partner and by the Indian Project lead for each Indian partner.

UK participants should use the standard Innovate UK finance forms provided as part of the application form and submit the details in GBP.

Indian applicants should use the finance form template provided as Appendix D by GITA as part of the application form and submit the details in INR.

Funding of the project begins from the effective start date agreed in the signed grant confirmation letter / project funding agreement. Expenses incurred by the participants prior to the effective start date of the project cannot be restructured to fit into the eligible expenditure for reimbursement.

UK partners: information on project finances is available in the guidance 'Your Project Costs' on our website: <https://interact.innovateuk.org/-/project-costs>

Indian partners: information on project finances is available in the FAQs at www.gita.org.in

Contact Information

INDIA	UNITED KINGDOM
www.gita.org.in	https://interact.innovateuk.org/
Vimal Kumar Deputy Director & Programme Coordinator, Global Innovation & Technology Alliance (GITA) 4 th Floor, IGSSS Building 28, Institutional Area Lodi Road, New Delhi – 110 003 Fax: +91 11 4577 2014 Email: vimal.kumar@gita.org.in	Innovate UK North Star House North Star Avenue Swindon SN2 1UE Competition helpline: 0300 321 4357 Email: support@innovateuk.gov.uk