



Innovate UK



## **ADDITIONAL GUIDANCE FOR UK APPLICANTS**

### **Additional Guidance**

**Newton Fund  
UK-Picarte Experimental Development Call**

**October 2015**

**This additional guidance document is for the appendices and finance form that are required to be submitted by UK partners for this competition.**

## Summary

The objective of this programme of cooperation is to foster and support the development of industrial collaborative research and development (R&D) projects that bring together businesses, research organisations, academics and other collaborators from Chile and the UK for the joint development of innovative products, processes or services that meet particular challenges that Chile is facing in its growth and development trajectory.

In the UK, this Programme has been made possible by the Newton Fund ([www.newtonfund.ac.uk](http://www.newtonfund.ac.uk)). This is a Ministerial-led, high-profile programme managed by the Department of Business, Innovation and Skills, aiming to strengthen research and innovation partnerships between the UK and 15 emerging (knowledge) economies. The partnership countries are Turkey, Brazil, **Chile**, China, Colombia, Egypt, India, Indonesia, Kazakhstan, Malaysia, Mexico, Philippines, South Africa, Thailand, and Vietnam. £375 million will be spent by the UK through the Fund over a 5-year period (2014-2019), with matched funding/effort to be provided by the partner countries. The Fund forms part of the UK's Official Development Assistance (ODA), i.e. our support to developing and emerging economies for their socio-economic development.

The Newton Fund comprises of 3 broad pillars of activity:

- Pillar 1 (People): improving capacity in research and science, individually and institutionally
- Pillar 2 (Research): facilitating research collaborations on critical socio-economic development challenges in partner countries
- Pillar 3 (Translation): facilitating the creation of collaborative, innovative solutions to socio-economic development challenges through the translation of research into policy, products, processes, services or other mechanisms; and creating the conditions for those solutions. Innovate UK is delivering under this pillar along with RCUK, British Council, Royal Academy of Engineering and the Met Office.

Through Innovate UK support via the Newton Fund, UK businesses will have the opportunity to understand the needs of such a vibrant and fast moving market, and ultimately access those markets in collaboration with local partners. This Newton Fund competition will help UK industry (SMEs) working within the energy, sustainable agriculture and food and resource efficiency sectors explore and identify partnerships with Chilean counterparts in order to collaborate and jointly develop innovative products, processes and services fit for the Chilean market. This is the first such jointly-funded competition with Chile that Innovate UK has run.

## About the Funders

### CORFO

Corfo is the Chilean government's national innovation agency.

At Corfo we wish to contribute to the improvement of our economy's competitiveness, taking advantage of high potential business opportunities by generating an enhanced environment for productivity, innovation and entrepreneurship. We aim to eliminate gaps and market inefficiencies through the generation and dissemination of initiatives among relevant public-private agents.

Our mission is to improve the competitiveness and the productive diversification of the country by encouraging investment, innovation and entrepreneurship, and in addition, strengthen human capital and technological capabilities to achieve a sustainable and territorially balanced development.

Our vision is to transform Chile into a global innovation and entrepreneurial hub. To achieve this we work towards: Promoting the diversification and sophistication of our economy; Supporting sectors with high growth potential, giving a new impetus to exports; Increasing innovation sustainably; Developing competitive financial markets that facilitate access to investment financing and protect the economy from risks; Encouraging transferring of knowledge capabilities generated by researching and development activities in the country.

## **Innovate UK**

<https://www.gov.uk/government/organisations/innovate-uk>

Innovate UK is an executive non-departmental public body established by the UK 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 support and stimulate business-led 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 fund the UK partners of successful applications working in collaboration with Chilean partners capacity building and networking of organisations in technology and innovation through collaborative projects.

# 1. Competition information

## Competition

Newton-Picarte Experimental Development Call - *Launch September 2015*

## Funding

There is up to £1 million of funding available from Innovate UK through the Newton fund, for projects at the Experimental Development stage of research and development.

Financial support will be made available to the Chilean side of the collaboration (i.e. Chilean project partners) by CORFO and to the UK side of the collaboration (i.e. UK project partners) by Innovate UK.

## Requirements and eligibility

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

- Only UK-based SMEs are eligible to apply for Innovate UK funding.
- You may be eligible to receive different rates of funding depending upon the size of your business. Under the Experimental Development category of research and development, Innovate UK will fund up to 45% for Micro/Small enterprises and 35% for Medium- sized enterprises. Large-sized enterprises will not be funded by Innovate UK under this competition.
- Eligible costs per project are expected to be up to a maximum of £230,000 in the UK [excluding the funding for the Chilean partners].
- Projects are expected to last between 3 and 6 months.
- There is a 75% limit on the amount of work one country can undertake.
- Collaborations must be business-led and address the specific requirements of the competition as outlined in the scope for this competition.
- All applications will be assessed on individual merit in accordance with the normal Innovate UK process. However, we reserve the right to apply a 'portfolio' approach to ensure the distribution of funds across specific areas, subject to meeting the required quality criteria.

## Competition scope

The Chilean and United Kingdom Newton-Picarte Experimental Development joint call is an open call within the thematic areas given below.

UK partners are funded through the Newton-Picarte Experimental Development Fund and projects **must fit the Official Development Assistance (ODA) rules**, it should demonstrate a clear added value for the economic and social development of Chile, showing clearly potential for wider impact for the development of the country. Please refer to <http://www.newtonfund.ac.uk/about/what-is-oda>

Meeting the Newton Official Development Assistance (ODA) rules is the major eligibility criteria. Projects have to meet this eligibility criteria be put forward for full assessment or be rejected by the UK funding body. There is no negotiation on this status after the application is submitted and we will not review the information prior to application to confirm your project meets the rules.

Project partners will have to demonstrate which societal challenge the project is targeted at, aims and objectives, how it tackles the challenge, and how this will be achieved through the collaboration.

- Agri-Food (agri, aqua, functional food)
- Solar Energy
- Resource efficiency for sustainable extraction of raw materials.

### Evaluation Criteria

The projects will be evaluated using three criteria

- **Project Partners and Collaboration**
  - Can the project partners undertake the work involved in the project?
  - Does the project have the right project partner mix to achieve the aims and objectives?
  - Is the project collaborative? Are all partners adding value?
  - Is it clear what each partner is doing and the benefits for each partner?
- **Innovation**
  - Is the project 'innovative'?
  - Is there a clear logical work flow and structure?
- **Aims and Objectives**
  - How does the project meet the Official Development Assistance (ODA) aims, objectives and rules for the Newton fund?
  - Are there clear achievable aims and objectives?
  - Does the innovation have an application in Chile?
  - What are the economic and social benefits?

Chilean and UK partners must express the will to cooperate, on an equal base, for the development of new products, industrial processes and/or services. The product, process or service must be innovative and there must be a technological risk involved.

### Competition key dates for your calendar

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

The deadlines below are absolute and final. Please note that the submission deadline is at **17.30 Central European Time** and we are unable to accept any applications after this time.

| Timeline summary   |  |
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| Competition opens  | October 2015   |
| <b>Submission of the full application, appendices and finance form</b> | <b>Deadline: 17.30 Central European Time 8<sup>th</sup> January 2016</b> |
| Decision to applicants   | Close of business 1 <sup>st</sup> March 2016                             |

#### **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 allow sufficient time to complete all of the competition requirements described in this document.

## Competition process

The second stage of this competition will follow the process set out below:

**Deadline: 17.30 Central European Time 8<sup>th</sup> January 2016.** Your EUREKA application form, appendices and finance form should be emailed to: [chile.uk.call2016@eurekanetwork.org](mailto:chile.uk.call2016@eurekanetwork.org)

Please note, the Eureka application form and Appendices should be submitted as Portable Document Format (.pdf) and the finance form as an excel document.

This link contains detailed information on which project costs are eligible for funding, how to complete the finance form: <https://interact.innovateuk.org/-/project-costs>

Once the competition submission deadline is reached, your application is sent for assessment. Your application is assessed by 5 independent assessors, all experts within their fields who will review your application, score it and return their scores and comments back to Innovate UK.

Once all applications have been assessed, they will be ranked according to the scores given by the assessors. Those that are just below and just above the quality threshold, may be taken to an assessment panel, where 5 assessors will discuss those applications with a view to ensuring the appropriate applications are recommended for funding.

We will notify each partner of the outcome of your application on **1<sup>st</sup> March 2016**.

You will be given the feedback on your application, whether you are successful or unsuccessful, on **1<sup>st</sup> April 2016**.

No additional feedback can be provided and there will be no further discussion on the application.

## 2. The additional application requirements for UK partners

In addition to the EUREKA form, UK partners need to submit additional information. This is detailed below.

- 1) Appendices, as per below
- 2) Finance Form for each UK partner

These documents must be submitted with the application form to Eureka via email: [chile.uk.call2016@eurekanetwork.org](mailto:chile.uk.call2016@eurekanetwork.org)

### **Please note: all appendices are compulsory for UK partners**

In order that assessors can open and read the appendices, each appendix must:

- conform to the maximum length specifications listed below
- be submitted in Portable Document Format (.pdf)
- be legible at 100% zoom/magnification
- font size Calibri 11
- display prominently the 'Project title' as entered on the application form

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.

**Please note:** The numbering within each appendix relates to the relevant section of the Eureka application form.

| Appendix   | Guidance   |
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| <p><b><u>Appendix A</u></b></p> <p><b>2.1.2 : Scope - How does this application align with the specific competition scope?</b><br/><i>(Up to 1 side A4)</i></p> <p><b>2.3.5 : What economic, social and environmental benefits is the project expected to deliver to those inside and outside of the consortium, and over what timescale?</b><br/><i>(Up to 1 side A4)</i></p> | <p>Use Appendix A to provide information to support how your application fits the scope of the competition, as described on page 4 of this guidance document as well as the Official Development Assistance (ODA) rules. Please refer to <a href="http://www.newtonfund.ac.uk/about/what-is-oda">http://www.newtonfund.ac.uk/about/what-is-oda</a></p> <p>Please note that this question is not scored. The assessors will answer yes/no if they agree the application is in scope. If the majority of 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' is therefore critically important and is provided below.</p> <p>All applications must align with the specific competition scope criteria as described in the competition scope document.</p> <p><b>Note:</b> 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 scope document.</p> <p>This question will be scored. 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. You may include, for example, a Gantt chart, risk analysis table, project management structure and/or details of evidence for innovation.</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><b>Economic</b> – 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, e.g. benefits to users (intermediaries and end users), suppliers, the broader industrial markets and the UK economy. The application</p> |

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| <p><b>2.3.5 : What are the risks (technical, commercial and environmental) to project success? What is the project’s risk management strategy?</b><br/> <i>(Up to 1 side of A4 to answer question, followed by 1 side A4 for Risk Table and 1 side A4 for Gantt Chart)</i></p> | <p>should identify and quantify where possible the benefit to each of the beneficiaries.</p> <p><b>Social</b> - 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><b>Environmental</b> – 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> <p>This question will be scored. Innovate UK recognises that projects of this type are inherently risky, but seeks assurance that the projects it funds have adequate arrangements for managing this risk. Focus, therefore, on the arrangements for managing and mitigating risk as follows:</p> <ul style="list-style-type: none"> <li>• 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 (e.g. ethical issues) associated with the project. The main risks should then be rated as High/Medium/Low (H/M/L)</li> <li>• state how the project would mitigate these key risks. You should address all significant and relevant risks and their mitigation</li> </ul> <p>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> |
| <p><b>Appendix B</b></p> <p><b>3.5.1 : What is the financial commitment required for the project?</b><br/> <i>(Up to ½ side A4)</i></p>  | <p>Indicate the anticipated project cost making clear the level of contribution from any project participants and the level of funding required from Innovate UK. This information should be provided in the financial summary table in the application form.</p> <p>Supporting information and explanation for project costs should be provided in this section of the form. It must be consistent with the category of research &amp; development being undertaken within each work package. Please see the guidance section of our website for further details on funding: <a href="https://interact.innovateuk.org/">https://interact.innovateuk.org/</a></p>   |

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| <p><b>3.5.2 : How does financial support from Innovate UK and its funding collaborators add value?</b><br/><i>(Up to ½ side A4)</i></p> | <p><a href="#">/funding-rules</a></p> <p><b>Important:</b> If the project spans more than one type of funding (e.g., 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"> <li>• Is the budget realistic for the scale and complexity of the project?</li> <li>• Does the financial support required from Innovate UK fit within the limits set by the specific competition?</li> <li>• Is a financial commitment from other sources demonstrated for the balance of the project costs?</li> <li>• Has a realistic budget breakdown been provided?</li> <li>• Have any work package breakdowns been described and justified adequately?</li> </ul> <p>Detailed guidance on eligible and ineligible project costs is provided on our website:<br/><a href="https://interact.innovateuk.org/-/project-costs">https://interact.innovateuk.org/-/project-costs</a></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>You will need to provide evidence that:</p> <ul style="list-style-type: none"> <li>• successful delivery of your project will increase the total amount of money the project team spends on research &amp; development in the UK</li> </ul> <p>And either:</p> <ul style="list-style-type: none"> <li>• why the funding is required for the project to be able to proceed</li> </ul> <p>or</p> <ul style="list-style-type: none"> <li>• how 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 the UK?</li> </ul> |
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| <p><b>Appendix C</b><br/> <b>Up to 1000 characters</b> (If you submit a public description that is longer than specified character limit above, it will be truncated and the excess discarded.)</p> <p><b>Public description of the project (not scored)</b></p> | <p>If your application is successful, Innovate UK will publish the following brief description of your proposal. Provision of this description is mandatory but will not be assessed.</p> <p>To comply with Government practice on openness and transparency of public-funded activities, Innovate UK has to 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><b>Whilst this section is not assessed, provision of this public description is mandatory. Funding will not be provided to successful projects without this.</b></p> |
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### 3. Finance forms and project costs

Information on project finances is available in the guidance 'Your Project Costs' on our website:

<https://interact.innovateuk.org/-/project-costs>

### 4. How to find out more (Data Protection Act 1998, Information Security, etc)

If you require further information or have a query regarding this competition, please contact Customer Support Services on:

E-mail: [support@innovateuk.gov.uk](mailto:support@innovateuk.gov.uk)

Tel: 0300 321 4357