



GLOBAL  
INNOVATION &  
TECHNOLOGY  
ALLIANCE



Department of  
Science & Technology  
Government of India



Ministry of Electronics &  
Information Technology  
Government of India

Innovate UK



# REQUEST FOR PROPOSALS/COMPETITION GUIDANCE FOR APPLICANTS

## India-UK Collaborative Industrial Research and Development Programme 2016

**With support of the Newton-Bhabha Fund**

by

**Department of Science & Technology (DST) and Ministry of  
Electronics & Information Technology (MeitY), Government of India  
and Innovate UK**

**November 2016**

## Executive summary

Innovate UK, and the Department of Science & Technology (DST) and Ministry of Electronics & Information Technology (MeitY), Government of India invite proposals in collaborative research and development in following areas:

- **Clean Technology**
- **Affordable Healthcare**
- Use of **ESDM technologies** to provide solutions to particular societal challenges, specifically:
  - Large area flexible electronics and internet of things (IoT) to solve challenges related to affordable energy, affordable healthcare or affordable education provision; or to solve challenges in relation to the environment or to cities that impact the wider population of India
  - Devices for internal security, specifically for natural disaster management (preparedness, prevention and recovery, including emergency communications system, unmanned aerial vehicles, etc). Note: no military-related or personal security applications are eligible.
  - Medical electronics addressing the healthcare needs of remote communities
  - Technological solutions for the sustainability and resilience challenges India is facing in the fields of mobility, energy and ICT

*\* **IMPORTANT NOTE FOR INDIAN APPLICANTS:** ESDM projects would be funded by MeitY in India. Please refer to Section 3.5 of the document to know about MeitY's Funding Criteria.*

These challenge 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.

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

## Programme background

The Department of Science & Technology (DST) of the Government of India signed a Programme of Cooperation (PoC) in the field of Industrial Research and Development (IR&D) with Innovate UK (then called the Technology Strategy Board) on 11 March 2013. 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.

This Programme is being supported in the UK through the Newton Fund.

The Newton-Bhabha Fund (as it is called in India) aims to bring together the UK and Indian scientific research and innovation sectors to find joint solutions to the challenges facing India in economic development and social welfare. This competition in particular will help UK business and research organisations to form collaborative partnerships with Indian counterparts and find new commercial solutions to the challenges posed, specifically products, processes and services fit for the Indian market.

This is the fourth round of the collaborative programme.

## **About the funding & implementation agencies, and the Newton Fund**

### **Department of Science & Technology (DST), Government of India**

The Department of Science & Technology (DST) of Government of India was established in May 1971, with the objective of promoting new areas of science & technology (S&T) 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 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 a sincere attempt to address national concerns of India in basic research.

For more information about DST, please visit [www.dst.gov.in](http://www.dst.gov.in)

### **Ministry of Electronics & Information Technology (MeitY), Government of India**

The Ministry of Electronics and Information Technology (MeitY), is the nodal Ministry of the Government of India for the promotion of Electronics System Design and Manufacturing. MeitY offers several schemes to incentivise investment in the sector. These include Modified Special Incentive Package Scheme (M- SIPS), Electronic Manufacturing Clusters (EMCs) among others. MeitY also takes up schemes to promote R&D and innovation in this sector. Some of the efforts taken include approval of Electronics Development Fund Policy (EDF), promoting start-ups by setting up of incubators, funding research for development of new products and technologies. MeitY also has set up Centres of Excellence in niche technology areas like nanoelectronics Large Area Flexible Electronics, security devices, etc.

For more information on promotion of Electronics System Design and Manufacturing by MeitY, please visit [www.Meity.gov.in/esdm](http://www.Meity.gov.in/esdm)

### **Global Innovation & Technology Alliance (GITA), India**

GITA is a “non-for-profit” Section-8 (Companies Act 2013) Public Private Partnership (PPP) company promoted jointly by the Technology Development Board (TDB), Department of Science & Technology (DST), Government of India (GoI) and the Confederation of Indian Industry (CII).

GITA is a unique organisation working under an innovative mechanism between the Government of India and Indian industry for attracting Indian industry’s investment in technology. GITA’s activities include mapping technology gaps; evaluating technology offers across the globe on appropriateness from techno-economic perspective for India; connecting technology developers, providers, funders; funding last phase of technology development that connects the market; and deployment of technology solutions.

GITA is technically and administratively managed by a group of highly-skilled technical and management professionals. The group has expertise and proficiency in effective technical evaluation, fund management, networking, capacity building and outreach to stakeholders. GITA maintains a high degree of transparency and integrity in all process of project evaluation, disbursement and other competitive process. It has expertise in flexible funding mechanism (Loan / Grant / Equity) to cater to different needs to cater different need of the system.

For more information about GITA, please visit [www.gita.org.in](http://www.gita.org.in)

### **Innovate UK, 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.

For more information about Innovate UK, please visit our website at:

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

### **The Newton Fund**

The Newton Fund is a Ministerial-led, high profile programme managed by the UK's Department for Business, Innovation and Skills which aims to strengthen research and innovation partnerships between the UK and 16 emerging (knowledge) economies. The partnership countries are Turkey, Brazil, Chile, China, Colombia, Egypt, **India**, Indonesia, Kazakhstan, Kenya, 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 being provided by the partner countries. The Fund forms part of the UK's Official Development Assistance (ODA), i.e. the UK's support to developing and emerging economies for their socio-economic development ([www.newtonfund.ac.uk](http://www.newtonfund.ac.uk)).

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): creating collaborative solutions to socio-economic development challenges and strengthening innovation systems.

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## Section 1

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### How to use this document

This document contains the eligibility criteria, key dates, RFP/competition process and application form details specific to this RFP/competition. This guidance is common to both Indian and UK partners for this RFP/Competition.

Under the rules of this RFP/Competition, collaborative applications of Indian and UK partners should have at least one Indian lead partner and one UK lead partner. Lead partners from both sides must be businesses/industry. The lead partner for India and the lead partner for the UK should **each submit an identical common application form to GITA (for Indian applicants) and Innovate UK (for UK applicants)** along with additional supporting information.

- **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.

### 1.1 Competition overview

The key objectives of this programme are to:

- enable new commercial, competitive solutions which address key societal challenges to emerge, by:
  - nurturing new India-UK science and technology (S&T) partnerships which focus on industrial outcomes;
  - accelerating the commercialisation of R&D that will benefit India (and other countries including the UK), with preference given to small and medium-sized enterprises, and on high impact projects which can show near-term results;
  - fostering the identification of new public policies that will correct market failures, to support innovation in both countries; and
  - strengthening overall bilateral S&T relations.

The planned results of the programme are as follows:

- Organisations participating in DST/MeitY and Innovate UK funded projects are positioned effectively in target markets and sectors to engage in innovative technology-driven R&D and/or adoption. As a result, innovative commercial solutions relevant to key challenges faced by India within the focal sectors start to emerge;
- The bilateral R&D community, in targeted markets and sectors, demonstrates an increased awareness of Indian and UK science and technological capabilities.
- Indian organisations and UK-based companies have increased knowledge and understanding of global innovation and business networks.

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

## 1.2 Finding partners

### ***In India: GITA's matchmaking platform***

GITA has developed a web platform for online matchmaking (called PSF) to enable applicants to find a suitable project partner.

- Please visit the page <http://gita.org.in/Matchmaking.aspx>
- Interested applicants need to submit a matchmaking profile on this platform, providing the following information:
  - Brief description of your organisation
  - Core-technical profile of the projects
  - Core-technical profile of the potential partner
  - Upload presentation on project/company, if any
  - *Non-registered applicants/users are expected to register your organisations prior to submitting your PSF request through simple registration process from provided link*
- You can access the database of registered PSF profiles and identify potential R&D project partners for your project. Upon identification of suitable project partner, you connect with them directly through portal. Please note - your PSF profile listing may take some time for internal review and hosting on PSF page.
- Please submit separate PSF for each project in case, you have more than one projects.

### ***In the UK: meeting mojo platform***

- Innovate UK, in conjunction with the Knowledge Transfer Network (KTN) has launched an online Meeting Mojo platform to enable applicants to find partners.
- All interested applicants should create a profile on Meeting Mojo and search for partners in the database specific to this UK-India Call. When you find a potential partner, you can message them to determine whether you are a good match to apply as part of a project team.
- Please follow the link below and register, giving your full details. NOTE: It will take up to 24 hours to be approved by the site admin before you can then search for partners.
- Please use the following Meeting Mojo link: <http://india-uk-newtonfund-2016.meeting-mojo.com>
- The Meeting Mojo link is also available on the Innovate UK India competition webpage under the "Finding Partners" section.

### ***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/>

### ***UK Intellectual Property Office (UK IPO)***

UK applicants with queries about intellectual property in India can contact the UK's Senior Intellectual Property Officer in India, details as below. ***This support is limited to UK applicants only.***



## Intellectual Property and doing Business in UK/India

For queries **from UK applicants only** related to Intellectual Property and doing business in India, please contact the UK's Intellectual Property Officer in India, as below.

Please reference this competition when communicating to the UK IPO representative:

 Intellectual Property Office

**Anshika Jha | Senior Intellectual Property Adviser | UK Intellectual Property Office | British High Commission**

New Delhi - 110021 | Maharashtra

Email: [anshika.jha@fco.gov.uk](mailto:anshika.jha@fco.gov.uk) | Tel: +91 11 2419 2166 | Website: [www.ipo.gov.uk](http://www.ipo.gov.uk)

### 1.3 RFP/Competition scope

This RFP/competition invites proposals in three areas:

- **Clean Technology**
- **Affordable Healthcare**
- Use of **ESDM technologies** to provide solutions to particular societal challenges, specifically:
  - Large area flexible electronics and internet of things (IoT) to solve challenges related to affordable energy, affordable healthcare or affordable education provision; or to solve challenges in relation to the environment or to cities that impact the wider population of India
  - Devices for internal security, specifically for natural disaster management (preparedness, prevention and recovery, including emergency communications system, unmanned aerial vehicles, etc). Note: no military-related or personal security applications are eligible.
  - Medical electronics addressing the healthcare needs of remote communities
  - Technological solutions for the sustainability and resilience challenges India is facing in the fields of mobility, energy and ICT

### 1.4 Eligibility

#### 1.4.1 Common eligibility criteria

A collaboration proposing an R&D project conducting industrial research that meets the requirements in this section 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.

**Each proposal must include as a minimum:**

1. 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,
2. 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.

Collaborations must be business-led from both sides.

#### Project composition

Any team proposing an R&D project that addresses the requirements detailed below is eligible to apply to this RFP/competition.

- 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.

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. As mentioned above, UK applicants can seek support from the UK Government's IP Officer in India.

#### **1.4.2 Applicants from India**

The Indian Project Lead (IPL) (i.e. lead organisation) must be a commercial company that operates in and is headquartered in India. (We expect researchers or managers of these companies to be the nominated applicant.) Academic institutions, research hospitals, other R&D institutes (including not-for-profit research institutes recognised by DST/MeitY/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 1956/2013.
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.
4. Applicants already possess basic infrastructures/test beds and developed basic Proof of Concept (PoC)

#### ***Please note for Indian applicants:***

- Sole proprietors and partnership firms are not 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/MeitY/GITA under this programme.

#### ***Preferences will 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 recognised 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](http://www.dcmsme.gov.in/ssiindia/defination_msme.htm).

In the case in India where business entities are participants in a project, but with no initial involvement in R&D activities, the project must show a plan of how capabilities are going to be developed in the business entity in the following years in order to:

- perform future R&D projects
- develop the human resource capability within the business
- take technologies that are being developed to market
- develop new intellectual property, and
- enhance the Indian technology based companies ecosystem.
- Note that applicants must already possess basic infrastructure/test beds and developed basic Proof of Concept (PoC)

### **1.4.3 Applicants from the UK**

Eligible UK applicants are:

- UK companies of any size, registered, based and operating in the UK.
- Academic institutions, other research organisations, public sector bodies and charities undertaking research activity in the UK are also eligible to participate as per Innovate UK's normal funding rules, but cannot lead the UK side of the project.

### **1.4.4. India/UK partnerships**

- To be eligible for this RFP/competition, projects must be focused on industrial research. A full definition of this research category is available here: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules>
- Work packages that include elements of Experimental Development will be considered within projects that predominantly target Industrial Research, which can be completed within 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.
- Projects must articulate clear commercial goals and associated commercialisation strategies.
- Proposals must demonstrate the joint Indian-UK project team's expertise and capacity to manage the proposed project in their respective countries.
- Building on the principles of a true bilateral partnership, all projects should demonstrate equivalence in effort from the Indian and UK partners.
- Successful project participants 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.
- Innovate UK and GITA will expect successful project participants to put in place a collaboration agreement amongst all project partners as part of the conditions of taking up the grant offer.

- 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.

## 1.5 Funding

DST/MeitY/GITA and Innovate UK will implement an integrated, merit-based project evaluation and selection process using their existing assessment processes. DST/MeitY/GITA and Innovate UK will then together identify the final list of successful applicants. **All funding organisations reserve the right to apply a portfolio approach across projects in different challenge areas, subject to applications reaching the required quality threshold.**

A positive funding decision for R&D projects that request funds from the funding organisations will trigger:

- Innovate UK to allocate funds to UK participants; and
- DST/MeitY/GITA to allocate funds to Indian participants.

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 Indian / UK R&D project may vary, each bilateral project must demonstrate equivalent total effort from each participating country.

### 1.5.1 Financial support - India

GITA on behalf of the Department of Science & Technology (DST) and Ministry of Electronics & Information Technology (MeitY), Government of India, will fund the successful projects, as follows:

- Total project funding as "**Royalty Based Conditional 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/MeitY 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.

### 1.5.2 Financial support - UK

The UK funding element will also be part of the Newton Fund and therefore UK applicants must be able to demonstrate that there is a clear economic and societal benefit to the general population in India from their proposed project. This is in line with the Newton Fund forming part of the UK Government's Official Development Assistance budget. More details here: <http://www.newtonfund.ac.uk/about/what-is-oda/>.

Capital Equipment: Expenditure on equipment is eligible under this competition as long as all materials are directly related and essential to the goals of the project. Please note that all equipment that presents a residual value greater than £1 at project end will have to be donated to the recipient country, in compliance with ODA rules.

#### **Expected costs, grant and eligible costs**

We expect total UK project costs of between £350,000 to £450,000 giving rise to total UK grant of approximately £300k.

Full details of what project costs are eligible for funding from Innovate UK can be found at: <https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance>

#### **Proportion of total eligible cost and grant per type of applicant**

- The business proportion of total eligible project costs must be 70% or higher; and 50% or more of the total grant.
- That means that research organisations, public sector organisations and charities (undertaking non-economic activity) can together claim up to 30% of total eligible project costs; and less than 50% of the total UK grant per project.

#### **Type of research and percentage of eligible costs funded**

- Projects must be focused on industrial research. A full definition of this research category for UK applicants is available at: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules>
- Work packages that include elements of Experimental Development will be considered within projects that predominantly target Industrial Research.
- As per Innovate UK's rules, businesses can attract the following percentages of eligible costs from public funding for Industrial Research and Experimental Development:

Applicant Business Size	Industrial Research	Experimental Development
Micro/small <sup>1</sup>	70%	45%
Medium	60%	35%
Large	50%	25%

<sup>1</sup> The definition of micro, small and medium-sized enterprises used by Innovate UK is contained in the European Commission Recommendation of 6 May 2003 concerning the definition of micro, small and medium-sized enterprises (2003/361/EC), which took effect on 1 January 2005 or any subsequent definition provided by the Commission. This can be found at: <http://ec.europa.eu/growth/smes/business-friendly-environment/sme-definition/>

- Research organisations, public sector organisations or charities (as defined as eligible according to Innovate UK's normal funding rules) can claim up to 100% of eligible costs.
- Universities can claim up to 80% of Full Economic Costs as determined via the JeS application system).

**State Aid:**

- The funding percentages outlined above are compliant with EU State Aid rules.
- For more information on funding and state aid definitions please see: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules>

**Official Development Assistance (ODA) compliance:**

- All submitted applications must be checked for ODA compliance. Details on ODA compliance for Newton Fund projects can be found here: <http://www.newtonfund.ac.uk/about/what-is-oda/>.
- **If projects are not deemed by Innovate UK to be compliant with ODA, Innovate UK reserves the right to not submit the application for assessment.**

## 1.6 Application overview

This is a single stage competition that opens for applicants on 9 November 2015. The application process consists of registration, followed by submission of the requisite application/RFP forms.

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.

**For Indian applicants**

- The Indian Project Lead must register their interest through the GITA's RFP/Competition under **India-UK Collaborative Industrial R&D Programme 2016**, by February 15, 2017. The link for registration is [http://gita.org.in/bilateral\\_funding\\_India-UK.html](http://gita.org.in/bilateral_funding_India-UK.html)
- Registration for India-UK Programme 2016 is mandatory for Indian Project Lead for application submission process by **February 22, 2017**. Please click the button "**Download Guidelines & Application Form**". The system will allow you to download the necessary documents, immediately. In case you are not registered with GITA, you are required to register first to download the form.
- Post registration, applicants will be able to access and download the RFP forms and common guidelines to apply for funding under the India-UK Programme 2016.
- Please ensure your UK counterpart has also submitted the common & identical application to Innovate UK, as per Innovate UK process.
- The application must reflect a combined effort from both the UKPL and IPL, be written in English, and using the prescribed process by the stated application submission.

**For UK applicants**

- The UK Project Lead must register through the Innovate UK competition website, at least one week before the competition closes.
- Upon registration the registrant will be emailed an application form template which must be completed in collaboration with their consortium partners in UK and India.
- The joint proposal must reflect a combined effort from both the UKPL and IPL, be written in English, and submitted to Innovate UK using the prescribed process by the stated application submission date 12 noon UK time.

### Ineligible/rejected applications

- Applications that do not meet the stated RFP/competition eligibility criteria as set out in this document, including ODA compliance.
- Project proposals that are not in the prescribed template. Hand-written or email submission shall not be accepted in India & UK.
- Applications submitted to the incorrect organisation or use the incorrect application form for the competition.
- Registration and Application submissions are not allowed as stated in this document.
- Applications in which only one side (i.e. one country) has contributed its part of the proposal/application.

## 1.7 Key dates

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 submission deadlines are 12 noon (GMT) in the UK and 5.30 pm (IST) in India.** Any applications after this time will not be accepted.

Opening of the Request for Proposals/Competition	<b>8<sup>th</sup> November 2016</b>
Closing of registration for both UK and Indian applicants (applicants need to have registered their intention to submit an application)	<b>15<sup>th</sup> February 2017</b>
Closing of the Request for Proposals/Competition	<b>22<sup>nd</sup> February 2017</b>
Anticipated release date of Request For Proposal/Competition results	<b>5<sup>th</sup> May 2017</b>

### **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.

## 1.8 The assessment and evaluation process for this competition

### 1.8.1 Assessment 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 Project Leads to ensure that all of the necessary information for the application has been gathered from UK and Indian partners and is uploaded prior to the application deadline. If there is specific information missing in an eligible application, 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.

- Proposals/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.
- Proposals/applications which do not meet the basic/key criteria as outlined in these guidelines will be excluded from the on-going 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/MeitY/GITA and Innovate UK. These proposals will then undergo assessment in their respective countries.

## **1.8.2 Evaluation and selection of R&D projects**

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

Assessors/evaluators in both countries will review the common application form and appendices (where required) along with associated supporting documentation (where appropriate).

### **Assessment process in UK**

All applications will be evaluated Innovate UK according to its standard assessment process, full details of which are available at: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#what-happens-after-you-have-submitted-your-application>

Each application is assessed by up to five independent expert assessors against the same set of gateway and criteria questions. Each assessor completes and submits a score-sheet with comments for each application they assess. A report is then compiled to identify ranked order of all applications. A panel of independent assessors may be convened to discuss any applications that require clarification around scope, quality, feasibility or fundability. Applicants are not required to attend.

### **Assessment process 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 to make a presentation and to discuss their proposal, and will be expected to respond to all questions that the PEC may have. The schedule/venue for the presentation will be communicated by GITA to the IPL in advance, along with a check-list of supporting documents to be produced. No travel/stay allowances will be paid/reimbursed to IPL for this purpose.

This is a critical step in the assessment process in India and the Indian Project Applicants should be able to present on all details of their proposal; they will be required to show how the proposed project involves innovation and the need for R&D, and to explain what the roles and responsibilities of all projects partners from India and the UK. UK Project Partners should be aware of this PEC and provide preparation support to their Indian Partners as and when required.

### **Joint review**

Following the independent evaluations in India and UK, a joint review committee will be held, comprising representatives from the Indian and UK funding agencies. Final decisions on joint approvals will be made at that time. DST/MeitY/GITA and Innovate UK will then together identify the final list of



successful applicants. All funding organisations reserve the right to apply a portfolio approach across projects in different challenge areas, subject to applications reaching the required quality threshold. The final decisions on joint approvals will be made at that time.

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

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## Section 2

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### Information for applicants – UK applicants

#### 2.1 How to apply for this competition



**REGISTER**

To enter this competition, your project should appoint one of the Project Leads who must register via the competition website at <https://www.gov.uk/government/collections/innovation-grants-for-business-apply-for-funding>

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 noon UK time, 7 days prior to the close date.**

#### *Multiple project applications*

If you wish to apply for funding for more than one project, register once and then request additional application forms by emailing Innovate UK's Customer Support Service [support@innovateuk.gov.uk](mailto: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.

Please note: repeat applications for the same project will be classed as ineligible and not sent for assessment.



**DOWNLOAD  
documents**

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 competition, these are:

- Finance forms for each UK industry partner
- Appendices (please see Section 4 for more information)
- Je-S Submission pdf Output Document, showing 'with Council' status (for each UK academic partner in your project – if any)



**COMPLETE  
documents**

This stage requires you to submit 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)
- Partner Finance Form (for every UK industry partner in your project)
- Je-S Submission pdf Output Document (for every academic partner in your project – if any)

The appendices allow you to provide additional supporting information for the assessors on your project. The finance forms provide details on your project costs for each partner in your project consortium. For information on eligible project costs and the partner finance forms please click here <https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance>



Please ensure that you allow plenty of time to upload your completed documents for submission to the competition. Our submission close dates can be very busy which means that upload can take some time. We recommend that you upload your application in plenty of time as the deadline is final.

To upload your application documents, log on to the secure website using the details supplied with your secure username and password. See detailed instructions here: <https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#the-application-process>

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



Once the competition submission deadline is reached, your application is sent for assessment. We will notify the nominated Lead (who registered for the competition) of the outcome of your application on the date stated in the timeline.



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://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#what-happens-after-you-have-submitted-your-application>

We will give feedback to unsuccessful applicants approximately 4 weeks after you have been notified of the decision. The lead applicant can access the feedback by logging on to the secure website where you uploaded your application documents. It is the responsibility of the lead partner to communicate the feedback with the rest of the consortia. No additional feedback can be provided and there will be no further discussion on the application.

## **2.2 Finance forms and project costs**

Information on UK project finances is available in the guidance 'Your Project Costs' on our website: <https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance>

## **2.3 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 the UK Customer Support Services on:

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

Tel: 0300 321 4357 (Mon-Fri, 9am-5:30pm)

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## Section 3

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### Information for applicants – Indian applicants

#### 3.1 How to apply for this competition

- The Indian Project Lead must register their interest through the GITA's RFP/Competition under **India-UK Collaborative Industrial R&D Programme 2016**, by February 15, 2017. Link for registration is [http://gita.org.in/bilateral\\_funding\\_India-UK.html](http://gita.org.in/bilateral_funding_India-UK.html)
- Registration for India-UK Programme 2016 is mandatory for Indian Project Lead for application submission process by **February 22, 2017**. Please click the button "**Download Guidelines & Application Form**". The system will allow you to download the necessary documents immediately. In case you are not registered with GITA, you are required to register first to download the form.
- Registration Process at GITA website:
  - Registration is two stage process
  - Stage I - Registrant needs to provide basic information.
  - Stage II – The system will send a Login ID and Password to the email ID provided, and ask for completion of registration.
  - Upon completion of registration, registrants will receive an auto-generated email/SMS acknowledgement shortly after, confirming the registration along with registration number.
- Post registration, registrants will be able to access and download RFP forms and common guidelines to apply for funding under the India-UK Programme 2016.
- Application Submission Process:
  - Indian Project Lead needs to submit the Application online (no other mode of submission will be accepted) by **February 22, 2017**.
  - Login with the same ID and password, used for Downloading for Guidelines & Application Form.
  - Complete and submit the desired Application Form by the deadline.
  - Upon Application submission, the system will send auto-generated SMS/email acknowledgement to IPL, along with application reference number.
  - Please upload the necessary documents as per deadlines as per requirements.
  - For multiple applications, IPL needs to contact GITA Programme Managers (contact details given below).
- 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.
- The application must reflect a combined effort from both the UKPL and IPL, be written in English, and submitted using the prescribed process by the stated application submission.
- **Only online mode of submission will be accepted.**

### **3.2 Additional supporting documents required**

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 recognised 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.

### **3.3 Administrative and legal requirements to be addressed by Indian Project Lead (IPL) prior to the release of funds**

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

#### **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.

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).

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.

### 3.4 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 Net Sales 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.

### 3.5 Funding criteria for ESDM projects, to be supported by the Ministry of Electronics & Information Technology (MeitY) in INDIA:

#### Additional eligibility conditions:

- One Indian Industry applicant (at least) and one academic institution applicant can jointly apply for one (joint) R&D project along with UK partners (same conditions as above for the UK partners).

Please refer the following links for understanding of ESDM, under MeitY:

#### Large area flexible electronics

Click the link for detail information: <http://meity.gov.in/content/centres-excellence-support-esdm>

#### Internet of Things (IoT)

IoT is a seamless connected network of embedded objects/devices, with identifiers, in which M2M communication without any human intervention is possible using standard and interoperable communication protocols." - Phones, Tablets and PCs are not included as part of IoT. Click the link for detail information [http://Meity.gov.in/sites/upload\\_files/dit/files/Draft-IoT-Policy%20\(1\).pdf](http://Meity.gov.in/sites/upload_files/dit/files/Draft-IoT-Policy%20(1).pdf)

#### Technology for internal security (NCETIS)

Click the link for detail information <http://Meity.gov.in/content/centres-excellence-support-esdm>

### 3.6 Type of cost supported by GITA

Please refer to the Project Cost Guidelines at ([http://gita.org.in/bilateral\\_funding\\_India-UK.html](http://gita.org.in/bilateral_funding_India-UK.html)) or full information on what can and cannot be funded under this competition.

The following can be funded:

Labour Cost, Overheads, Materials Consumed, Capital Usage, Sub-contracts, Consultancy Fees (including Fees for Trial and Testing), Travel and Subsistence, Other Costs (Training Costs, Preparation of Technical Report(s), Market Assessment, Licensing in New Technologies, Patent filing costs for new Intellectual Property.

### 3.7 Key documents for Indian applications

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



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## Section 4

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### 4.1 The application form & submission documents

#### The application form (Indian and UK partners)

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. Indian applicants upon registration will get an application number and the application form on line. In the case of the UK, upon registration, each applicant will receive a unique application form and user ID for the application.

**The Indian and UK project leads for a project should ensure that they each submit identical application forms and associated Appendices. Finance forms will be specific and provided by Innovate UK for UK applicants.**

#### *Multiple project applications*

If you wish to apply for funding for more than one project:

- in India, please contact Mr Vimal Kumar from GITA at ([vimal.kumar@gita.org.in](mailto:vimal.kumar@gita.org.in)) and
- in the UK, please request additional application forms by emailing Innovate UK's Customer Support Service [support@innovateuk.gov.uk](mailto: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.

**Please note: repeat applications for the same project will be classed as ineligible and not sent for assessment.**

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 & development 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 Challenge (4 questions)**
- **Section 2 – Project Details (4 questions)**
- **Section 3 – Project Costs (2 questions)**
- Public description of the project
- 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 form.

The Indian and UK project leads should ensure that they each submit an identical application form and associated appendices. Appendices E, F and G are 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

Application details	
Field	Guidance
RFP/competition title	This field will show the full name of the competition to which the form applies. You do not need to enter anything here
Project title	Enter the full title of the project.
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). <b>Please note: the lead organisation will be the main point of contact between the Innovate UK and the UK project team.</b>
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 the 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.
Indian Project Lead (IPL) contact details	Enter the full name, postcode, e-mail address and telephone number of the main point of contact between GITA and the project.
Theme/focus areas	<p>Theme selection is mandatory for Indian applicants, Please select from the pull down menu, the theme to which your project applies:</p> <ul style="list-style-type: none"> <li>• Clean Technology</li> <li>• Affordable Healthcare</li> <li>• Use of ESDM technologies to provide solutions to particular societal challenges, specifically:</li> <li>• Large area flexible electronics and internet of things (IoT) to solve challenges related to affordable energy, affordable healthcare or affordable education provision; or to solve challenges in relation to the environment or to cities that impact the wider population of India</li> <li>• Technology for internal security, specifically for natural disaster management (preparedness, prevention and recovery, including emergency communications system, unmanned aerial vehicles, etc). Note: no military-related or personal security applications are eligible.</li> <li>• Medical electronics addressing the healthcare needs of remote communities</li> <li>• Technological solutions for the sustainability and resilience challenges India is facing in the fields of mobility, energy and ICT</li> </ul> <p><b>Please note: in India, ESDM projects will be funded by MeitY in India please refer Section 3.5 of the document (applicable to Indian applicants only).</b></p>
Selection of MeitY funding for Indian applicants	Please select Yes/No.
Have any of the project partners previously received Newton funding?	Please select Yes/No.

	If yes is selected, please confirm which project partner has previously received Newton funding or is in the process of receiving Newton funding, from which Delivery Partner and under which Newton Fund activity.
Document ID for UK applicants	This is completed automatically (for UK applicants).
Document ID for Indian applicants	Enter the reference given by GITA to your Indian Lead Partner as part of their registration process. This is system generated (13 digit) by GITA website during the online application submission process.
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, System will generate 13 digit Alpha-numeric for your project).

### 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.	<p>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.</p> <p><b>This summary is not scored, but provides an introduction of your proposal for the benefit of the assessors.</b></p>

### 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?	<p>All applications must align with the specific competition scope criteria as described in the relevant competition Brief.</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 Brief on the GITA and Innovate UK websites.</p>

Section 1: The challenge	(10 points per question = 40 points in total)
Question	Guidance
1. What is the business opportunity that this project addresses?	<p>Outline the business opportunity and what the project team needs 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>
2. What is the size of the market opportunity that this project might open up?	<p>Describe the size of the market opportunities that this project might open up, including details of:</p> <ul style="list-style-type: none"> <li>• 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?)</li> <li>• the dynamics of the market including quantifying its current size, actual and predicted growth rates</li> <li>• the projected market share for the project outcome, with justification in the light of any potential competitors</li> <li>• the potential to create value-added for the UK and/or India.</li> </ul> <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"> <li>• what the route to market could or might be</li> <li>• what its size might be</li> <li>• how the project will seek to explore the market potential.</li> </ul>
3. How will the results of the project be exploited and disseminated?	<p>List or describe the potential exploitable outputs of the project such as:</p> <ul style="list-style-type: none"> <li>• products or services</li> <li>• processes</li> <li>• applications</li> </ul> <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><b>PLEASE NOTE:</b> Where <b>UK research organisations</b> are involved in a project and funded for undertaking non-economic activity, we will 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: <a href="https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules">https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</a></p>
<p>4. Why is the project eligible for Official Development Assistance (ODA) funding? What beneficial outputs is the project expected to deliver to those inside and outside of the consortium, and over what timescale?</p>	<p>To be eligible for a Newton Fund grant, applicants must clearly explain and give evidence for why and how their project fits within scope for Official Development Assistance (ODA).</p> <p>A project should not only demonstrate high industrial relevance and commercial potential, but must also demonstrate that it will have a positive impact upon the economic development <i>and</i> social welfare of the Newton partner country, beyond primary commercial interests. Proposals that do not demonstrate how they aim to further sustainable development (and thereby contribute to a reduction in poverty), or improve the welfare of the Newton partner country's population, will be considered <b>out of scope</b>.</p> <p>For Question 4 applicants must clearly state and give evidence for how their project will:</p> <ul style="list-style-type: none"> <li>• Create outputs to be carried out in the Newton Fund partner country</li> <li>• Create outputs leading to clear and widespread socio-economic benefit for the population of the Newton Fund partner country,</li> </ul> <p>Benefits to those outside the consortium and to consortium participants should be considered and you should make a clear distinction between the two. All applications must clearly demonstrate that wider socio-economic benefits will accrue outside of the consortium in the Newton partner country in a short- to medium-timeframe (3-15 years); and clearly elaborate what those benefits are and to whom.</p> <p>For further information on Official Development Assistance and ODA compliance please see: <a href="http://www.newtonfund.ac.uk/about/what-is-oda/">http://www.newtonfund.ac.uk/about/what-is-oda/</a></p>

Section 2: The project details	(10 points per question = 40 points in total)
Question	Guidance
5. What technical approach will be adopted and how will the project be managed?	<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"> <li>• is the technical approach and methodology appropriate to the needs of the project and are the innovative steps achievable through the proposed approach?</li> <li>• is the application sufficient in comparison to the complexity of the project? For example, is there sufficient detail to understand the tasks involved and the resources required?</li> <li>• is the timing of key milestones realistic?</li> <li>• is there demonstration of sufficient resource commitment and capability to undertake the project?</li> <li>• are clear management reporting lines identified?</li> </ul> <p>Describe rival technologies and alternative R&amp;D strategies and describe why your proposed approach will offer a better outcome.</p> <p><b>You must provide a milestone based project plan. Please submit it using Appendix B, not in the space provided to answer this question. For detailed guidance on what to include in the plan, please see Section 4.3.</b></p>
6. What is innovative about this project?	<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"> <li>• does it push boundaries over and beyond current leading-edge world science and technology?</li> <li>• is it looking to apply existing technologies in new areas?</li> </ul> <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"> <li>• What is current "best practice"?</li> <li>• 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</li> </ul>

	<p>to specific market opportunities, e.g. poor suitability to high-or-low-end markets, size, compatibility, nonconformance to standards, etc;</p> <ul style="list-style-type: none"> <li>• 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?</li> <li>• Which standards relate to the developed product? Will the proposed product meet current and/or emerging standards?</li> </ul>
<p>7. What are the risks (technical, commercial and environmental) to project success? What is the project's risk management strategy?</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 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> <li>• 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.</li> </ul>
<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 UK and India 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"> <li>• the project team has the right available mix of skills and experience (in both countries) to deliver the project successfully</li> <li>• the project team's formation objectives are clear and if it would have been formed without this funding support</li> <li>• 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.</li> </ul>



Section 3: Project costs	(10 points per question = 20 points in total)
Question	Guidance
<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 a grant for their part of the project, 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 required in the finance forms for each country. The information and explanation must be consistent with the category of research &amp; development being undertaken within each work package .</p> <p><b>UK partners:</b> Please see the guidance section of the Innovate UK website for further details on UK funding:  <a href="https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules">https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</a></p> <p><b>Indian partners:</b> Please visit <a href="http://gita.org.in/bilateral_funding_India-UK.html">http://gita.org.in/bilateral_funding_India-UK.html</a></p> <p><b>Important (only for UK partners):</b> If the project spans more than one type of funding (for example, because significant work packages are in both industrial research and experimental development), 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 from this competition 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><b>UK partners:</b> detailed guidance on eligible and ineligible project costs is provided on the Innovate UK website:  <a href="https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance">https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance</a></p>

	<p><b>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</b></p> <p><b>Indian partners:</b> Please visit <a href="http://gita.org.in/bilateral_funding_India-UK.html">http://gita.org.in/bilateral_funding_India-UK.html</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>10. How does financial support from GITA (India) and Innovate UK add value?</p>	<p>The project should have an obvious advantage and added value resulting from the technological cooperation between the participants from the two countries (e.g. increased knowledge base, commercial leads, access to R&amp;D infrastructure, etc)</p> <p>Please 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 UK and India</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 GITA / Innovate UK funding would allow you to undertake the project differently (e.g. more quickly, on a larger scale, etc) and why this would be beneficial to India and the UK</li> </ul> <p>The project should demonstrate the contribution of the participants from both countries on an equal base, and the project must be equally significant to both UK and Indian participants.</p>

<b>Public description of the project (not scored)</b>	
<b>Question</b>	<b>Guidance</b>
<p>If your application is successful, GITA and the Innovate UK will publish the following brief description of your proposal. <b>Provision of this description is mandatory but will not be assessed.</b></p>	<p>To comply with Indian and UK Government practice on openness and transparency of public-funded activities, DST/MeitY/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><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>

Finance summary table																												
<b>Column 1</b> 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.																											
<b>Column 2</b> Organisation registration number	<p><b>UK partner:</b> 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><b>Indian partner:</b> Companies should provide the Corporate Identity Number (CIN) issued by the Ministry of Corporate Affairs.</p>																											
<b>Column 3</b> Enterprise category	<p><b>UK partner:</b>            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:  <a href="https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules">https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</a></p> <table border="1"> <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>&lt;250</td> <td>&lt;= €50 million</td> <td rowspan="3">or</td> <td>&lt;= €43 million</td> </tr> <tr> <td>Small</td> <td>&lt;50</td> <td>&lt;= €10 million</td> <td>&lt;= 10 million</td> </tr> <tr> <td>Micro</td> <td>&lt;10</td> <td>&lt;= €2 million</td> <td>&lt;= 2 million</td> </tr> </tbody> </table> <p><b>Indian partner:</b>            Please select your Enterprise Category: Large / Micro, Small and Medium Enterprises (MSMEs)            As per Micro, Small &amp; Medium Enterprises Development (MSMED) Act, 2006, MSMEs are classified in two categories:</p> <p>a) <b>Manufacturing Enterprises</b> - 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 <b>defined in terms of investment in Plant &amp; Machinery.</b></p> <p>b) <b>Service Enterprises:</b> The enterprises engaged in providing or rendering of services and are <b>defined in terms of investment in equipment.</b></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 &amp; machinery</td> <td>Investment in equipment</td> </tr> <tr> <td>Micro</td> <td>Up to INR 2.5 million</td> <td>Up to INR 1 million</td> </tr> </tbody> </table>	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		Manufacturing Sector	Service Sector	Enterprises	Investment in plant & machinery	Investment in equipment	Micro	Up to INR 2.5 million	Up to INR 1 million
Enterprise category	Headcount	Turnover		Balance sheet total																								
Medium sized	<250	<= €50 million	or	<= €43 million																								
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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	
<b>Column 4</b> Postcode	Please provide the postcode of each organisation participating in the project.			
<b>Column 5</b> 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 Indian Rupees (INR) at the stated exchange rate.			
<b>Column 6</b> 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.			
<b>Column 6</b> Funding sought from GITA (India) 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.			
<b>Column 7</b> 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.			
<b>Column 8</b> Total (£)/(INR)	The total cost of the project – this is the sum of columns 5, 6 and 7 and will be entered automatically.			
<b>Bottom Row</b> Total (£)/(INR)	The total of each column will be entered automatically.			

## 4.2 Project appendices – applicable to both Indian and UK applicants

Appendices are required for this RFP/competition.

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

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.

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://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#the-application-process>
- **Indian partners:** Please see the FAQs at [www.gita.org.in](http://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
<b>Appendix A</b> 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.
<b>Appendix B</b> Up to 5 sides of A4 (7 sides of A4 for academic and business applications)	<b>A project plan is Mandatory for this application, and must be included in this section.</b> Use Appendix B to provide further information to support Section 2 of the application form: The Project Details. You may include, for example, a Gantt chart, risk analysis table, project management structure and/or details of evidence for innovation.  Academic and business applications may submit an additional 2 A4 sides for additional assessment information particularly for academics, such as the Pathways to Impact and Research Excellence. Please refer to separate guidance on your Project Costs for more information using the link below.
<b>Appendix C</b> 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.
<b>Appendix D</b> Up to 2 sides of A4	<b>This appendix is mandatory.</b>  Use Appendix D to demonstrate how the project, as a whole, complies with the Official Development Assistance (ODA) criteria: <a href="http://www.newtonfund.ac.uk/about/what-is-oda">http://www.newtonfund.ac.uk/about/what-is-oda</a>  <b>Please note:</b> If your project is viewed as not compliant with the ODA criteria, it cannot be funded by Innovate UK.
<b>Appendices E, F &amp; G</b> (Mandatory for Indian applicants only)	Use Appendix E for providing additional information on project budget, budget justification and technological deliverable milestones.  Indian applicants also need to submit Appendix F (Executive Summary) and G (Presentation). Both documents are part of the online application form in India and must be submitted in the prescribed format. <b>These are mandatory.</b>

### 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 Indian partners, a more detailed project plan will be required by GITA (India) for review and monitoring of project progress.

For UK partners, a more detailed project plan will be required by Innovate UK for monitoring 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 Partner finance forms - UK

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. This will provide more detailed information on the total costs listed in your finance summary table.

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 E 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://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance>

**Indian partners:** information on project finances is available in the FAQs at [www.gita.org.in](http://www.gita.org.in)

#### 4.5 Exchange rate

For the purposes of this RFP/Competition. The stated exchange rate UK £ to Indian Rupees is:

**1 GBP = 80 INR**

*Note: this indicative exchange rate must be used in any calculations by applicants at all times during the competition process.*

#### Contact information

INDIA	UNITED KINGDOM
<a href="http://www.gita.org.in">www.gita.org.in</a>	<a href="https://www.gov.uk/government/organisations/innovate-uk">https://www.gov.uk/government/organisations/innovate-uk</a>
<b>Global Innovation &amp; Technology Alliance (GITA)</b> 4 <sup>th</sup> Floor, IGSSS Building, 28, Institutional Area, Lodi Road, New Delhi – 110 003	Customer Support Services <b>Innovate UK</b> North Star House North Star Avenue Swindon SN2 1UE Wiltshire
<b>Contact – Strategy &amp; Partnership Team</b> <b>Mr Vimal Kumar</b> Email: <a href="mailto:vimal.kumar@gita.org.in">vimal.kumar@gita.org.in</a>	Competition helpline: 0300 321 4357 (Mon-Fri, 9am-5:30pm) Email: <a href="mailto:support@innovateuk.gov.uk">support@innovateuk.gov.uk</a>
<b>Mr Nilesh Patel / Ms Deepanwita Mukherjee</b> RFP Helpline No. +91 11 4288 8009 / 8004 Email: <a href="mailto:nilesh.patel@gita.org.in">nilesh.patel@gita.org.in</a> / <a href="mailto:deepanwita.mukherjee@gita.org.in">deepanwita.mukherjee@gita.org.in</a>	