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| **‘Satellite-Enabled Data Services - Public Policy Course’** **Application Guidance Document**UK Space Agency: International Partnership Programme  |  |
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Closing date: midnight (GMT) 2nd April 2020. Proposals to be submitted to: ipp@ukspaceagency.gov.uk

We strongly suggest reading this guidance document in its entirety before completing the Application form. Please also review the budget breakdown sheet / financial section immediately and contact UKSA if there are any issues. All queries should be addressed to ipp@ukspaceagency.gov.uk

An FAQs document will be updated as we receive queries.

An Information and Collaboration Morning will be held 10.00 - 13.00 at UKSA offices, Polaris House Swindon. Please contact ipp@ukspaceagency.gov.uk to register.

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# 1. Overall Programme Background

The UK Space Agency’s International Partnership Programme (IPP) is a £30M per year programme, which will use expertise in space-based solutions, applications and capability to provide a sustainable economic or societal benefit to emerging nations and developing economies. IPP is funded by the [Global Challenges Research Fund](https://www.ukri.org/research/global-challenges-research-fund/) (GCRF): a £1.5 billion fund announced by the UK Government, which supports cutting-edge research and innovation on global issues affecting developing countries. The GCRF forms part of the UK’s Official Development Assistance (ODA) commitment. The goals for IPP are listed below:

Primary Aim:

* To deliver a space-enabled ODA-compliant programme that provides a measurable and sustainable economic or societal benefit to its beneficiaries in developing countries.

Secondary Aims:

* Develop valued and sustainable partnership arrangements which lead to growth opportunities for the UK space sector;
* Demonstrate the additionality that space-enabled solutions and applications have over terrestrial systems;
* Use the UK space sector’s unique expertise to lead in delivering overseas aid or work supported by others in their consortiums (e.g. academia, non-space industry) to complement existing ODA efforts.

IPP is an ODA programme and as such is designed to meet the aims and goals of the UK Government’s Overseas Aid Strategy.[[1]](#footnote-2)

# 2. Purpose, Scope and Requirements of this call for proposals

**Introduction:**

Satellite-enabled data services (for example using earth observation, satellite communications, navigation and tracking applications) are becoming increasingly relevant to national government departments across the development sector. Impacts are wide and varied — whether improving people’s lives by helping relief teams and first responders get information in and out of disaster zones using satellite communications; providing pest management by monitoring crop and ground level information, monitoring illegal deforestation across vast swathes of the globe or retrieving tax revenues based on accurate property mapping. In meeting these and similar needs, the International Partnership Programme has already shown that satellite solutions are more cost effective than terrestrial alternatives in many cases and has noted that the UK has a thriving community with the ability to share best practice in an ODA context.

Most, if not all the IPP projects affect national policy processes and practices and where stakeholders from Governments make up most of the end-user community. However, experience also suggests that barriers exist in taking full benefit from such relationships. Many countries still need considerable guidance and support about how they can make best use of satellite data. They lack confidence in the technology (and may even distrust it), they lack awareness of what policy challenges can – or cannot – be addressed best with satellites and they lack robust financial strategies when arguing for internal investments going forward. Most Public Policy officials are not scientists or engineers.

While there is recognition of the relevance and application of satellites, we must be more proactive if we are to strengthen state capabilities in the use/benefits of satellite data within national systems and especially with those in public administration who will be key to championing any sustainable delivery.

**Purpose:**

‘Satellite-enabled data services for public policy’ is a call for bidders to deliver a course which will increase the knowledge and confidence of DAC list[[2]](#footnote-3) country Public Administrators to develop and exploit satellite data services as a policy delivery tool within their departments. It would do so by addressing possible uses of satellite data, the underlying techniques, the programmatic, fiscal and operational consequences and the types of policy improvements that could be measured and delivered. The course must build confidence through trusted advice about practical and meaningful examples and outlining evidence of opportunities and challenges.

We are aware that courses and modules already exist, both in the UK and overseas, that deliver training in the use of satellite-enabled data services within a public policy environment. It is not clear a course exists that presents a totality of such advice covering all the key concerns and lessons learnt. This grant seeks to explore ways such a comprehensive package might be brought together.

We especially plan to join this course with similar UK activities undertaken by the UKSA “Space for Smarter Government Programme” (SSGP - more information [here](https://spaceforsmartergovernment.uk/)). To this end, there is a requirement on the provider to ensure that a UK-focussed module can be developed for UK government officials, alongside the other modules. This UK component will be scoped and funded by SSGP, separately to this bid.

**Framework:**

IPP is running a call for proposals to select 1 successful bid (that can include multiple organisations) to deliver a “satellite-enabled data services for public policy” course. IPP will provide a grant, which will be match-funded by the bidder using the match funding rules detailed below. This envisages that the provider sees an on-going sustainable market opportunity for such a course and so will co-invest. Preliminary insights into such a market will be a key selection criterion.

This IPP funding call will consist of a 10-month Discovery Phase running from May 2020 – March 2021. The proposal you submit for this call, is only for the Discovery Phase.

Pending confirmation of IPP funding beyond March 2021, the Discovery Phase project will be assessed, and if it passes the bar, will be funded into a multiyear ‘Operational Phase’ to deliver the course to officials.

The purpose of the Discovery Phase is to undertake an in-depth scoping, design and test period with the output from the phase to be a proposal for a fully functional course to be delivered in the Operational Phase.

If there is a period between the Discovery and Operational Phase in which the UK Space Agency is deciding on the project progression – this will be called the Assessment period.

A new proposal (for the follow-on operational Phase) will be submitted by the project team at the end of the Discovery Phase and assessed to decide whether it will enter the **‘Operational Phase’**. The Operational Phase will last between 1-4 years and will deliver the course to officials and deliver impact.

## 2.1 Scope:

We ask bidders to submit a proposal for the development (scope, design and test) of a set of modules or a course under the umbrella of ‘satellite-enabled data services - public policy course’.

The long-term impacts of the course will be to enable DAC nations to better address challenges by using space data and solutions within their policies. The outcome can be achieved in different ways, which can be pitched by the proposal writer. This could be via an accredited course (e.g. MA), or an unaccredited course, or a series of modules. The audience for the courses should be policy officials in DAC list countries equivalent to Civil Service Programme managers, G7 and Directors, as well as a wider audience for sustainability purposes. During the Operational Phase UKSA will only fund DAC list attendees.

We would expect the course to deliver a series of modules, from which policy officials can choose from. These modules can be scoped designed, and some of them tested during the Discovery Phase lasting until 31st March 2021. After this Discovery Phase, we would require a proposal for the Operational Phase where the course will be delivered, and attendance from DAC list students can be funded; this proposal will be assessed to decide whether IPP funds the Operational Phase.

We expect all IPP projects to be sustainable (once the grant ends, the impacts of the project should live on), therefore please consider this carefully within your proposal; you might consider working with local universities in DAC list countries to improve sustainability chances for example. You should also consider how you plan to get people to attend, will it be online, in the UK, or overseas, will you offer individual modules etc? And how will you select officials?

Example modules could include:

* Satellite data sources – quality, availability and reliability
* Satellite data services – how data is acquired, distributed and/or installed; affordability; data storage/curation; lifetimes and legacy; connected systems
* International Partnerships that offer Data Services, e.g. the Disaster Charter, UN-Spider, Copernicus, GNSS, Commercial sector etc
* Themed modules (forestry, food security, maritime, education, health, energy, insurance, disaster management etc)
* Using space data to inform a National Climate Policy
* Public Policy and the role of Digital Data (legal perspectives etc)
* Public Policies that benefit most from Satellite services – advantages and disadvantages
* How to build a financial case for securing satellite data services vs alternatives – incentives and constraints
* SDGs in policy and where/how satellite data can (or cannot) provide a meaningful impact
* Ethical use of data and managing privacy issues and wider security concerns
* Managing IP, licensing, export/import of technology/services and building trust between user and supplier
* Building in decision metrics to guide the processes

Modules should extract knowledge and findings from existing IPP projects, using them as case studies wherever possible.

A board of international partners (from DAC list countries) could be considered for involvement in the development of the course.

Consider how you will deliver the modules, will they be online, face to face or a blend.

## 2.2 Requirements for the proposal:

Your proposal for this Discovery Phase should:

* provide appropriate evidence that there is both a need and potential interest in attending the course
* detail how the Discovery Phase (scoping, design and testing) will be run and what the outputs will be;
* detail how modules will be selected and how modules will be designed;
* detail how modules will be tested;
* provide a basic plan of the Operational Phase - who the course will target and how they will attend and how you will select them;
* detail the expertise in both design and delivery of programmes that develop the capacity/ skills of professionals related to satellite data;
* provide detail of previous experience of working and educating in DAC list countries;
* show a clear route to impact for DAC list country organisations;
* provide a plan for sustainability after the Operational Phase (show the course can continue on a commercial basis after IPP grant funding ends);
* provide an estimated cost of running the course per year (which will be refined during the Discovery Phase);
* Show your ability to manage a project in line with standard IPP project-management practises.
* Show the ability to develop a separate UK focused module (scoped and funded by SSGP), which will be operated as a ~3-5 day standalone training activity using SSGP’s Introduction to Satellite Applications (ISAPs) as a model to build on.

Note that to achieve a sustainable solution we might expect non-DAC list countries to also be able to attend the course. Examples of non-DAC list attendees include: government officials from developed countries (including UK e.g. SIN officials, fast streamers), officials from overseas and UK space agencies, NGOs, etc. However, IPP funding can only be used to pay for DAC list attendees / scholarships.

Standard project management monitoring tools will be expected throughout the life of the Discovery (and Operational) Phase. This includes monthly updates, quarterly reviews, invoice reports to UKSA and reporting to Caribou Space on Monitoring and Evaluation. See sections 3 and 5 for further details.

Proposals for the Discovery Phase will be submitted using the IPP SEDS\_PPC Application Form, including a budget breakdown and a theory of change (TOC).

## 2.4 Outputs from the Discovery Phase

The Discovery Phase should deliver the following by March 2021:

1. Evidence of an assessment on the current strengths and skills gaps of policy makers in relation to the use of satellite data;
2. Evidence of interest and willingness by target audience to attend and complete the course/modules;
3. Clear justification for the choice of modules and explicit learning objectives for each module;
4. Completion of course/module design, including overview of the course, each module, course materials, certification or assessment plans;
5. Testing of a selection of courses;
6. A Monitoring and Evaluation Plan and Logframe for how the learning outcomes of the course will be monitored and evaluated in the Operational Phase;
7. A proposed Sustainability Plan for the Operational Phase: covering at least the business plan of how you expect the course benefits will continue after the Operational Phase grant funding ends with clear milestones to reach sustainability by that point
8. A clear understanding of the costs required to run the Operational Phase;
9. Submission of a proposal for the Operational Phase: including operational running of the course, with sufficient quality and detail to enable a yes / no decision to be made on future funding.

## 2.3 Expected Timings

|  |  |
| --- | --- |
| **Dates** | **Notes** |
| **7th February 2020** | IPP Call 3 ‘Satellite-enabled Data Services - Public Policy Course’ formally opens.  |
| **25th February 2020** | Information and collaboration event. For interested parties to find out more about the Call and could collaborate with other organisations.Ask IPP@ukspaceagency.gov.uk to be added our Basecamp Collaboration Site to receive updates about all IPP calls and have the opportunity to post messages. |
| **13th March 2020** | Submit Expression of Interest. |
| **Midnight 2nd April 2020** | Call closes, acknowledgment of application receipt |
| **May 2020**  | Successful project put on grant |
| **March 2021** | Project Discovery Phase close |
| **April 2021** | Decision on future funding for Operational Phase |
| **May 2021** | Operational Phase for project begins |

##

## 2.4 IPP Grant Funding

**Who can access the funding?**

Academia, NGOs and industry can all bid for funding. A blend of academics and practitioners is welcomed. We fully expect a partnership approach where a Prime organisation receives the IPP grant and brings together a partnership of interested parties.

**Grant Funding:**

A grant will be given to a project selected by a competitive process, for an initial 10 months of funding to develop a set of modules under the umbrella of ‘using satellite enabled data services for policy makers’. This will be followed by a proposal submission in March 2021 to bid for an additional 1-4 years of funding. The proposal will be assessed by UKSA.

All UKSA funding must be match funded by the partner members (see section 3.2). UKSA grants range between 50-80% of total project budget depending on type of organisation, DAC list countries are eligible for 100% funding.

Grant funding will be ONLY released on delivery of evidenced, completed milestones, based on **actuals**, and in **arrears**.

Subject to affordability, funding for the UK focused module will be provided by the Space for Smarter Government Programme not IPP. Confirmation of funding availability for this module is expected in March 2020.

**Grant Funding Agreement**

A grant for the full project costs minus match funding will be given to the Prime organisation only. The Prime will then disburse funding to project partners. The grant funding agreement template is included as a separate document: *“IPP Grant Funding Agreement Template”*. Applicants cannot change the wording of the grant and must sign up to the terms as set out in the grant funding agreement. Grants must be signed by a Chief Finance Officer or someone with sufficient delegated authority.

The Grant funding will be paid into a separate (project-specific) bank account in the name of the Grant Recipient which must be an ordinary business bank account. Grantees must abide by the UK government Code of Conduct for Grant Recipients:<https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/754555/2018-11-06_Code_of_Conduct_for_Grant_Recipients.pdf>

# 3. Guidelines for projects

## 3.1 Cost Recovery

The grant funds delivered by IPP are on a **cost recovery basis only**. Grants are solely intended to cover the cost of delivering the agreed activity or goal. Any surplus funds not spent must not be claimed from UKSA unless there are alternative arrangements agreed with UKSA.

Grantees cannot receive any funding from other grants/contracts to undertake the same activities. I.e. UKSA will not pay for activities that are already being funded elsewhere.

Grant funding cannot be rolled over between financial years without explicit consent from the UK Space Agency.

## 3.2 Match Funding

All projects must be match funded by the applicant and project partners. Match funding amounts differ depending on the size and type of organisation, as shown here:

|  |  |
| --- | --- |
| **Organisation type** | **Grant from UK Space Agency (% of total project costs)** |
| Large companies | 50% |
| Medium companies | 60% |
| Small and micro companies | 70% |
| UK universities, research organisations, NGOs | 80% |
| DAC list organisations\* | 100% |

\*Any international partners in a DAC list country can be funded at 100%, however they must also contribute ‘something substantial’. This should be measurable, and could consist of resource, facilities, data, etc. and must be detailed and monitored by the Prime.

The international partner engagement will be assessed within the proposal.

Definition of company sizes:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Company category** | **Employees** | **Turnover** | or | **Balance sheet total** |
| Medium-sized | < 250 | ≤ € 50 m | ≤ € 43 m |
| Small | < 50 | ≤ € 10 m | ≤ € 10 m |
| Micro | < 10 | ≤ € 2 m | ≤ € 2 m |

All partners must match fund as above. Where subcontractors are not part of the teaming agreement, these costs must be borne and match funded by the contracting party.

The same financial checks will be undertaken on a small or micro company as we would with a medium or large company. All companies are expected to demonstrate sound internal financial and programme management -processes.

## 3.3 State Aid

Our expectation is that we will provide funding for proposals compliant with the [General Block Exemption Regulation](http://ec.europa.eu/competition/state_aid/legislation/block.html%22%20%5Cl%20%22gber) Article 25b. We will also consider proposals that can demonstrate that they are de minimis compatible. If a research organisation is applying it is unlikely that State Aid funding will apply, but should be checked by the applicant.

In line with other UK government and European guidance, the emphasis is on the grant recipient to ensure they are compliant with relevant state aid laws. We cannot provide legal advice relating to whether or not your proposal fits within State aid legislation. If state aid is of particular concern you should seek your own independent legal advice before submitting a proposal.

Information and guidance about State aid can be found on [GOV.UK](https://www.gov.uk/guidance/state-aid); further details and the original EU regulations are available on the [EU Commission web site](http://ec.europa.eu/competition/state_aid/overview/index_en.html).

## 3.4 Partners

For greatest impact on our DAC list partner countries, we foresee that an integrated offer which builds on strengths from a range of organisations with different skill sets and expertise in innovation policy and professional development, coordinated by a lead agency, as being preferable.

The bidders should be able to demonstrate the ability to build relationships in DAC list countries, to ensure maximum take-up of the course.

Any partnership that is formed will be led by a Prime who must have a UK bank account to qualify for a UKSA grant and be able to attend quarterly reviews in Swindon with the IPP team. There is no preference for the Prime or partners to be from any particular type of organisation, they can be from academia, industry, NGO, government or a mixture.

We envisage higher scoring proposals to include both activities and an element of match-funding from DAC list countries.

Note that any overseas contribution **is in addition** to your own and not a substitution for your own contribution.

Please note that the HMG teams in-country can assist with contacts and introductions in target countries; the IPP team are happy to put you in touch.

## 3.5 ODA Applicability

All proposals must be targeted at addressing challenges in developing countries and should clearly state how they:

* aim to promote the welfare and economic development of a country or countries on the [DAC list of recipients;](http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/daclist.htm)
* are designed to address a development need;
* focus on developing country problems; and
* are linked to the UN Sustainable Development Goals (SDGs). Please identify the priority one or two UN SDGs impacted, and link to specific UN SDG targets.

If during Discovery Phase it becomes clear that the Operational Phase is not viable, then the project must publish a public domain ‘Learnings Report’ to allow the wider community to learn from the project’s Discovery Phase; this is also to satisfy ODA requirements to deliver some value from the grant awarded in Discovery Phase.

The Programme is limited to working for the benefit of countries on the DAC list: <http://www.oecd.org/dac/stats/daclist.htm>

Note: In alignment with IPP policy, India and China cannot be the beneficiary of IPP projects. Applications to work in India and China will not be accepted at this time.

For more information on ODA programmes see:

<http://www.oecd.org/dac/stats/officialdevelopmentassistancedefinitionandcoverage.htm>

<https://www.oecd.org/dac/stats/34086975.pdf>

For more information on the UN SDGs see:

<https://sustainabledevelopment.un.org/sdgs>

<https://unstats.un.org/sdgs/indicators/indicators-list/>

## 3.6 Organisation Eligibility

IPP grants to the Prime are only available to organisations with a UK bank account. Project partnerships can be created involving any company.

There are a series of requirements for eligibility to receive IPP grant funding:

* Prime must be able to demonstrate the ability to effectively manage a project
* Prime organisations must have a UK bank account and all IPP grant payments will be made in UK sterling (as per grant funding agreement)
* All project members must have in place and provide detail of appropriate anti-bribery and anti-corruption internal policies
* All project members must provide evidence of a process for declaring and managing conflicts of interest
* All project members must be able to provide evidence that they are GDPR compliant
* Projects cannot work in areas that are in active conflict and any travel to overseas must comply with FCO recommendations
* Projects must pass due diligence checks on company viability (financial standing assessment, governance, conflicts of interest, technical expertise)
* Formal teaming agreements between project partners must be in place within 60 days of grant signature
* All projects must be ODA compliant
* Projects must comply to all rules stated in this guidance.

See eligible costs section for rules on eligible / ineligible costs. Section 5.9

## 3.7 Ownership of intellectual property

Protection of any intellectual property (IP) rights on the project will remain the responsibility of the project participants. The UK Space Agency does not seek any ownership of project IP. Future ownership of any potential IP should be dealt with as part of any collaboration agreement.

Note participants should also satisfy themselves that their treatment of IP will not give rise to state aid issues. For further information use the [BEIS website](http://bit.ly/2nEib1L).

## 3.8 Structure of the partnership and responsibilities of the Prime

IPP works using a Prime and partner model (also known as hub and spoke). The grant from UK Space Agency will be only with the Prime. However, a group of organisations can deliver the project who will be managed by the Prime. We require the Prime to project manage the project. It will be the responsibility of the prime organisation applying for the grant to organise the teaming agreement between partners.

* Each project will have one clear prime organisation, who will be the signatory of the Grant Funding Agreement and responsible for the success of the project
* UK Space Agency’s relationship is always with the Prime, not the subcontractor. Other members of the partnership must be aware that all official communication goes between UK Space Agency and the Prime
* The Prime must provide evidence of due diligence checks on all proposed partners (financial standing assessment, governance, organisational structure, conflicts of interest, relevant technical expertise)
* Teaming agreements must be in place within 60 days of the grant signatures
* The prime organisation has responsibility and accountability to resolve any issues which may occur between the project partners

See section 6 ‘Ways of Working’ between UK Space Agency and Prime.

## 3.9 Annual audit of projects

All projects will be subject to an external annual audit to ensure that costs claimed from the grant funding have been expensed on agreed project related expenditure and comply to UK Space Agency grant funding policies (e.g. match funding). The auditor will be appointed by the UK Space Agency. All subcontractors and partners must provide access to project relevant expenditure. Therefore, projects must be able to provide upon request, and in support of each milestone claim, any supporting evidenced as deemed necessary, such as:

* Timesheets (prime and partners)
* Staff costs (contractors)
* All receipts (including T&S)
* All partner and subcontractor invoices
* Breakdown of overhead cost
* Breakdown of capital usage (e.g. licence, data costs etc)

The UK Space Agency reserves the right to conduct ad-hoc audits throughout the life of the project.

# 4. Application

## 4.1 Application process

See separate document – “IPP SEDS\_PPC Application Form” and “IPP SEDS\_PPC Budget Template”.

Applications must be submitted by email to: ipp@ukspaceagency.gov.uk by midnight (GMT) 2nd April 2020.

You should attach:

* A Word and a PDF version of the application
* An Excel and PDF version of the budget template.

**Expression of Interest (EOI)**

To allow us to plan for the assessment of the bids please submit the ‘IPP SEDS\_ Expression of Interest’ document before the 13th March. Please email this EOI to IPP@ukspaceagency.gov.uk. This EOI includes a short abstract and approximate grant value. We will not hold you to this submission, this is simply for our internal planning purposes.

**Exclusion criteria:**

Your application will be disqualified if:

* the application document is longer than the specified pages limit - you cannot attach additional annexes on top of those required in the application;
* you do not fully complete all sections in the application document, including annexes and budget breakdown;
* the project does not meet ODA criteria;
* The project does not meet the aims of IPP.

## 4.2 Monitoring and Evaluation

Monitoring and Evaluation is an important part of all IPP projects. All projects must undertake monitoring and evaluation to show the social/ environmental/ economic impact in an ODA country. A Theory of Change (TOC) is required as part of the application for the Discovery Phase, and then during the Discovery Phase the project will deliver a Monitoring and Evaluation Plan and Logframe for how the learning outcomes of the course will be monitored and evaluated in the Operational Phase.

Caribou Space will be available throughout the Discovery Phase for guidance and advice on the M&E aspects and will be involved in the QA/assessment of the M&E outputs. For additional information on M&E and IPP in general, please see ‘*IPP Monitoring & Evaluation Context*’ document.

**Impact on target country**

The purpose of IPP is to demonstrate social, economic or environmental impact for the partner country.

* You must show what impacts you expect to realise, expressed as social, economic or environmental gain. These benefits should be consistent with the Theory of Change. Describe how these are measurable. Describe how the impacts will be realised.

**Theory of Change**

* The Theory of Change is required in both a narrative and diagrammatic flow chart form. The narrative form should align to and support the interpretation of the diagrammatic form.
* The Theory of Change should be for what you expect the **Operational Phase** to achieve.
* It is a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context. It is an explanation of how you expect your project to result in the ultimate changes you seek. It provides the logical explanation and flow between project inputs and activities, to project outputs, to outcomes and finally to impact.
* It should include:
	+ Activities: the specific activities which you will deliver (these can be linked to key work packages)
	+ Outputs: the deliverables, (products, training events, tools etc.) that you will produce.
	+ Outcomes: the changes that you see as a direct result of your project, usually with immediate target groups, which you have some degree of control over. These may include changes in peoples’ knowledge or capacity, changes in processes or systems, changes in regulatory frameworks, or others.
	+ Impacts: the ultimate, large scale changes that you seek to achieve. These should be significant changes in the lives of people, or in the environment in DAC listed countries, which are linked to the SDGs.
	+ Assumptions: The external factors which you assume will hold true and require to be true for your logic to remain valid. Assumptions are the key links between each level of outputs/outcomes/impacts, which are outside of your control.

## 4.3 Gender Equality

Contributing to gender equality is a critical component of all UK funded ODA initiatives. Gender equality concerns providing equal opportunity to people of both genders to participate in and benefit from project benefits. Projects should also be gender inclusive, meaning that the concerns and perspectives of men, women, boys and girls should be integral in the design, implementation and monitoring of projects.

For Discovery Phase applications, you must describe how you will encourage equal opportunity for men and women to engage in the course design process. You should also detail how you will encourage both men and women to attend and deliver course content, and how you expect to consider the experiences of and needs of both genders in course content and delivery.

## 4.4 Sustainability of the project

You must describe how you expect the course benefits will continue after the grant funding ends at the end of the Operational Phase. Covering sufficient detail including, but not exclusively, the expected users, customer, willingness to pay, revenue sources, opportunity to reduce costs.

Explain also what the commercial opportunity is for your organisation(s) via this sustainability route.

## 4.5 Project management and finances

You should include enough information in your application to assure the UK Space Agency that the project will be correctly and appropriately managed. The following items must be included:

* KPIs are used by the UK Space Agency to monitor performance of the project and understand how effectively your objectives are being met. KPIs should be SMART (specific, measurable, actionable, realistic and time bound). **The KPIs should be specifically for the Discovery Phase only**.
* Work packages and deliverables should be clearly defined. Ensure you include specific work packages on M&E and Sustainability.
* Budget Breakdown – see Finance Policy section.
* Milestone table **-** Milestones must be linked to grant payments and payment will only be released once the milestone has been achieved and approved by the UK Space Agency. Milestones should be clearly linked to deliverables. Evidence needed for invoices shown in ‘ways of working’ section. The milestone table will be shown within the Budget Breakdown spreadsheet.
* Defined risks and evidence of risk management. When rating risk scores, applicants should use the chart below:



**Probability Scores:** V High 5, High 4, Med 3, Low 2, V Low 1

**Impact Scores:** V High 5, High 4, Med 3, Low 2, V Low 1

* A readable Gantt chart (Annex: Gantt chart) detailing tasks, showing the project milestones and their expected completion dates, including key M&E activities. The chart will be used to assess project progress and performance during the project.

Please note that only the information submitted in the bid application will be considered.

## 4.6 Rejections and resubmissions

All applications will be accepted for assessment if they fit the criteria for Call 3. If your proposal did not meet basic requirements such as page length or missed a section of the application, your proposal will not be assessed. After assessment, unsuccessful applicants will receive a short statement of feedback. The decisions made during the assessment meetings are accepted by all key decision makers and are final.

## 4.7 Assessment of applications

The summary of the assessment process is as follows:

* All proposals received by midnight GMT 2nd April 2020 will be considered.
* An initial sift of proposals will remove any which do not meet basic requirements.
* External marking on the applications (criteria outlined in section below).
* Moderation panel to ensure consistent marking.
* Proposal ranking will be determined, and the top proposal will be chosen to proceed to enter a clarification period.
* Successful and unsuccessful applicants will be notified.
* The clarification stage is to ensure that all UK Space Agency rules are being adhered to. During this stage finance plans will be reviewed in detail by external contractors to ensure that the project will deliver the best value for money for the grant, and changes might be requested to the project finances.
* If the clarification stage results in any unreconcilable differences, the project will not be placed on grant. Otherwise the minor agreed changes will be made to project plan and budget and a grant placed.

**External Marking and Ranking**

IPP will run a full independent assessment process using the following criteria:

|  |  |  |
| --- | --- | --- |
|   | **Title**  | **Score**  |
| 1  | Quality and relevance of the proposed course  | 10  |
| 2 | Additionality of the bid vs pre-existing courses | 10 |
| 3  | Suitability of partners: subject matter expertise, training/education experience, project management capability, stakeholder engagement capability, network of resources   | 20   |
| 4  | Explanation of expected impacts to ODA countries  | 10  |
| 5 | Impact of gender equality  | 5 |
| 6 | Understanding of DAC country needs and quality of Theory of Change  | 10 |
| 7  | Sustainability of the course   | 20   |
| 8  | Explanation of benefit of grant funding to the delivery team  | 10  |
| 9  | Value for money   | 20   |
| 10   | Quality of project management methodology and risk management   | 10   |
| 11   | Extent to which the proposal meets IPP’s aims   | 10   |

**Confidentiality**

The procedure for handling and assessing the bids and notifications will be as follows:

a. Notifications of intention to bid and final proposals will be submitted to the IPP team, using the following email address ipp@ukspaceagency.gov.uk;

b. All proposals and notifications will be held in confidence by the UK Space Agency and will only be shared with proposal reviewers; non-HMG reviewers will all sign Confidentiality Agreements. Reviewers will include but are not limited to:

* + UK Space Agency
	+ Caribou Space
	+ Sector experts with relevant experience
	+ HMG teams

c. For those bids not recommended by the panel for funding, documentation will be retained by the UK Space Agency for reference. The proposals will not be visible to any others, and the names of any unsuccessful bidders will not be published;

d. Summary information on all successful proposals who receive grant funding will be made public, including an abstract of the proposal and the identities of companies involved;

e. All other documentation relating to bids selected for funding will remain confidential within the UK government.

f. Information submitted as part of a proposal, or subsequent commercially sensitive information submitted as part of the grant agreement, will not be disclosed by us save for in so far as we consider necessary, in our absolute discretion, to comply with our legal obligations under the Freedom of Information Act 2000, Environmental Information Regulations 2004 or any other legal act, requirement or obligation. Where permitted by law, we will attempt to notify you in advance and take your view as to the appropriate scope of any such disclosure.

**Assessment at end of Discovery Phase**

Currently IPP only has guaranteed funding for financial year 2020/21. At the end of that year, we will review our budget cover for the forthcoming years and continue funding existing IPP projects where we can. On completion of the Discovery Phase, a proposal will be submitted for the Operational Phase. This will be assessed and if deemed acceptable, and provided IPP has received funding beyond March 2021, the Operational Phase will be funded.

# 5. Finance policy

It is considered best practise for all partners to use a separate, project-specific, bank account for project funds to enable clear audits. Where this is not possible, please notify UKSA to discuss options.

If you are applying as a research organisation and meet the criteria below, then the grant will fall outside of State Aid.

* *the Commission considers that the following activities are generally of a non-economic character: knowledge transfer activities, where they are conducted either by the research organisation or research infrastructure (including their departments or subsidiaries) or jointly with, or on behalf of other such entities, and where all profits from those activities are reinvested in the primary activities of the research organisation or research infrastructure. The non-economic nature of those activities is not prejudiced by contracting the provision of corresponding services to third parties by way of open tenders.*

Academic institutions should notuse this guidance but should follow the TRAC methodology: <https://www.trac.ac.uk/about/>

If you are applying as an industrial organisation, the grant will fall under State Aid GBER Article 25b, and your costs must fall within these categories:

Article 25(3)

 *3. The eligible costs of research and development projects shall be allocated to a specific category of research and development and shall be the following:*

*(a) personnel costs: researchers, technicians and other supporting staff to the extent employed on the project;*

*(b) costs of instruments and equipment to the extent and for the period used for the project. Where such instruments and equipment are not used for their full life for the project, only the depreciation costs corresponding to the life of the project, as calculated on the basis of generally accepted accounting principles are considered as eligible.*

*(c) Costs for of buildings and land, to the extent and for the duration period used for the project. With regard to buildings, only the depreciation costs corresponding to the life of the project, as calculated on the basis of generally accepted accounting principles are considered as eligible. For land, costs of commercial transfer or actually incurred capital costs are eligible.*

*(d) costs of contractual research, knowledge and patents bought or licensed from outside sources at arm's length conditions, as well as costs of consultancy and equivalent services used exclusively for the project;*

*(e) additional overheads and other operating expenses, including costs of materials, supplies and similar products, incurred directly as a result of the project;*

## 5.1 Invoices

The UK Space Agency will only pay for actual costs that are eligible for claim and therefore we expect invoices to differ from forecasts. If a cost claim is higher than the agreed milestone total, any revision must be agreed with the UK Space Agency prior to submitting your invoice so that a Grant Change Notice (GCN) can be issued if approved.

See ‘Ways of Working’ section for further detail.

## 5.2 Staff costs

Staff costs must be calculated on a cost recovery basis only and broken down by direct pay costs and overheads separately.

Pay costs

Pay costs are only relevant to employees directly working on the project. They are calculated based on your PAYE records. They should include gross salary, employer National Insurance (NI) contributions and employer pension contributions. Pay costs must **not** include:

* Any profit margins
* Commercial charge-out rates
* Allowances for discretionary bonuses and benefits in kind
* R&D
* Business development
* T&S

These pay rates will be subject to checks during the negotiation stage by internal or external auditor teams to ensure that day rates reflect actual costs. High payroll costs will be challenged and evidence (such as pay slips, etc.) must be provided to justify that the rate is on a cost recovery basis only.

When making grant claims against labour costs, actual costs claimed must be supported with timesheets of those individuals who have worked on the project.

In the budget breakdown, you are asked to provide a pay cost per day. Using actual gross monthly payroll costs, please assume 260 working days in the year.

Overheads

Overheads should be stated separately from the pay costs. This overhead should be recorded by work package in the budget breakdown spreadsheet, and broken down to show what makes up the overheads within the budget spreadsheet in the “Overheads Breakdown” tab.

Overheads should include both direct and indirect overheads, including core admin functions of the business that are **additional** to normal functions and incurred as a result of the project.

Neither overheads nor pay costs should include any discretionary elements.

Contingent workforce / consultants' overhead rates should be recorded within their daily rate and not added on as extra.

## 5.3 Contingent workforce / consultants

A contingent workforce is a labour pool whose members are hired by an organisation on an on-demand basis. A contingent workforce consists of freelancers, independent contractors and consultants who are not on the company's payroll because they are not full-time employees of the organisation.

The budget should be structured showing consultant day rates and number of days worked. This information will be accessible to assessors. Relevant qualifications will be checked, and the day rate will be assessed on value for money.

## 5.4 Hardware / assets / software /licenses /data / server costs

**Hardware**

As this is a Discovery Phase, we expect no large-scale capital investment on the project nor purchases of large-scale hardware/assets.

In general, hardware/asset purchases for non-DAC list countries (i.e. UK) are **not** permissible. Funds should not be used to purchase equipment, such as laptops, vehicles, etc., unless the provision of the item is essential to the delivery of the project and does not already exist for other purposes. If the asset has a residual or resale value at the end of your project, costs should be reduced accordingly.

If you are using hardware/materials/assets supplied by associated companies or subcontracted from other partners, these must be listed at cost excluding any profit element or margin.

**Software / licences**

If you or a partner already own software or licences that will be used in the project, you may not charge the cost of this software or licence within your budget.

Where you require new licences to someone else's software, for the specific purposes of this project, you may charge this to the project.

You should include any support costs and maintenance costs included under licence cost heading in the assumptions section of the budget breakdown.

**Data (e.g. satellite imagery)**

If you already own or have free access to the data, this is not viewed as eligible expenditure.

If you are purchasing data from a third party for the specific purposes of the project, this can be charged to the project.

**Server costs**

As above, only costs which are additional and directly related to the project can be budgeted for.

## 5.5 VAT rules

Grant funding is outside the scope of VAT so you cannot charge output VAT on top of your submitted costs. If you incur non-recoverable **input** VAT costs, you cannot pass this on to the UK Space Agency.

## 5.6 Ineligible expenditure

The following costs are ineligible:

1. Payment that supports for lobbying or activity intended to influence or attempt to influence Parliament, Government or political parties, or attempting to influence the awarding or renewal of contracts and grants, or attempting to influence legislative or regulatory action;
2. Using grant funding to petition for additional funding;
3. Input VAT reclaimable by the Grant Recipient from HMRC;
4. Payments for activities of a political or exclusively religious nature;
5. Goods or services that the Grant Recipient has a statutory duty to provide;
6. Payments reimbursed or to be reimbursed by other public or private sector grants
7. Contributions in kind (i.e. a contribution in goods or services, as opposed to money);
8. Depreciation, amortisation or impairment of fixed assets owned by the Grant Recipient;
9. The acquisition or improvement of fixed assets by the Grant Recipient (unless the grant is explicitly for capital use – this will be stipulated in the Grant Offer Letter);
10. Interest payments (including service charge payments for finance leases);
11. Gifts to individuals;
12. Entertaining (entertaining for this purpose means anything that would be a taxable benefit to the person being entertained, according to current UK tax regulations);
13. Statutory fines, criminal fines or penalties; or liabilities incurred before the issue of this funding agreement unless agreed in writing by UK Space Agency;
14. Employee paid benefits and bonuses;
15. Alcohol.

## 5.7 Travel & Subsistence

The following outlines the guidelines for travel and subsistence costs. We expect you to follow the UKSA T&S Policy. Value for money must always be considered. If for any reason the set limits cannot be adhered to (e.g. to accommodate a reasonable adjustment), you must seek a prior written approval from the UK Space Agency. The UK Space Agency reserves the right not to settle claims which have breached these guidelines. **All expenditure must be supported by actual, itemised receipts.**

Limits:

* Accommodation: £140 per night
* Breakfast: £5
* Lunch: £5
* Dinner: £15

Travel:

* All travel claimed should be using Economy rates. In exceptional circumstances' we may accept travel at premium economy or business class rates but is entirely subject to UKSA Director approval.
* Tolls, Ferry Costs, Parking and congestion charge: Receipted costs for ferries, and tolls bridges and roads unavoidably incurred during your business journey may be claimed. Reasonable parking charges may be claimed. Receipted congestion charges unavoidably incurred on your business journey may be claimed.

No claims for alcohol will be accepted.

# 6. Ways of working

This section outlines the intended ways of working between the UK Space Agency and the project Prime. The UK Space Agency will not directly manage these projects but as project funder has a role to play in ensuring their success. The IPP team completes due diligence on the grant funding, supported by independent external contractors, ensuring tax-payers money is being spent appropriately. In addition, we can support work in-country through HMG teams at post (e.g. FCO, DFID, DIT).

The UK Space Agency relationship is with the project Prime rather than the other partners involved in the project. These other partners will be welcome to attend certain meetings, events, etc. on an ad hoc basis. The Grant Funding Agreement is between the UK Space Agency and the Prime organisation; all formal questions on project funding, scope and structure must come via the project Prime.

All grants awarded to successful projects will be monitored by the UK Space Agency IPP team. Each project will have an assigned IPP team member who will be their direct point of contact.

Although this call is for the development of a course, the winning bid will be treated like a standard IPP project and will be required to complete all of the usual project management tools and communicate as per normal IPP projects.

The following are mandated means of communication between the prime and the IPP team:

**Quarterly reviews**: will be conducted in Polaris House, Swindon. All meetings and reporting must be conducted in English. The agenda for these quarterly meetings will be shared with successful applicants. The Prime is expected to lead the quarterly review rather than other partners.

**Monthly reports**: are required and will be submitted promptly to the IPP team for review. Monthly reports include updates on project milestones, deliverables, Gantt chart, slip chart, risk register and key performance indicators. A format will be provided to successful applicants. As the UK Space Agency will use the meetings and reports to evaluate project progress and release payments, in certain circumstances more meetings then stated may be required. The requirements for this should be built into your work package summary.

**Additional calls and meetings**: throughout the project, there may be a requirement for additional catch up phone calls or meetings. In accordance with meeting wider programme aims, successful applicants may occasionally be asked to support UK events which will advance and enhance IPP. This may include Gate Reviews if required.

**Monthly M&E Calls:** generally, calls will be held with Caribou Space on a monthly basis on the M&E and Sustainability aspects of the project.

**Invoices:** when invoicing the UK Space Agency, the following rules must be applied:

* Invoices must only take place on a reimbursement (actuals) basis and are paid **after** UK Space Agency receives satisfactory evidence that eligible expenditure has actually been incurred.
* Before submitting an invoice to the UK Space Agency, a milestone report aka ‘payment request form’ must be submitted with accompanying evidence. Accompanying evidence should consist of but is not limited to:
	+ Proof of milestone deliverables
	+ Timesheets
	+ T&S receipts
	+ Proof of data purchases
* Once the UK Space Agency has agreed this milestone report and evidence, you will be able to submit an invoice.
* If future invoices will not match the forecasted value, a GCN must be agreed with the UKSA.

**Poor performance**

Poor performance can be broadly defined as problems with the management and delivery of the project. This could be in the form of poor communication, significant delays to deliverables or lack of engagement. In the event of such issues arising, the IPP team will work constructively with the grantees to resolve these issues.

If, however, problems persist with how the projects are being managed, the UK Space Agency reserves the right to withhold payments for invoices until a satisfactory resolution has been found.

Ultimately, theUK Space Agency reserves the right to suspend or terminate projects at any point.

**Security while overseas**

Areas where IPP projects work are often less secure and riskier than the UK; there is also often travel to more remote rural areas which present their own risks.

As a minimum, the UK Space Agency requires projects to follow the guidelines outlined by FCO: <https://www.gov.uk/foreign-travel-advice>. Please consult this resource for advice. Embassies and High Commissions in country can also advise on the specific security context of certain locations.

Projects must ensure that all risks are understood, and proper mitigations are taken, while traveling overseas for project work.

**Safeguarding**

All projects are expected to have a safeguarding policy in place. Our grant will contain the following provisions:

the Grantee shall:

1. Take reasonable steps to prevent actual, attempted or threatened sexual exploitation, sexual abuse or sexual harassment by its employees;
2. take reasonable steps to ensure that individuals are enabled to report concerns and complaints of actual, attempted or threatened exploitation, abuse or harassment;
3. adopt and follow robust procedures for the reporting and investigation of actual, attempted or threatened sexual exploitation, abuse or harassment by its employees, including reporting such matters to the relevant authorities;
4. report to UKSA if the grantee receives any complaints of actual, attempted or threatened sexual exploitation, sexual abuse or sexual harassment (a '**Safeguarding Disclosure**') about, by or from its employees or those representing the project;
5. report to UKSA if the grantee becomes aware of a Safeguarding Disclosure in relation to a Beneficiary or Partner Organisation where the complaint is relevant to activities funded by the Grant.

and

1. the grantee shall impose the obligations set out in paragraphs i to iii above on Partner Organisations and Beneficiaries in any agreement entered into as part of the project. Such agreements shall also contain an obligation that, to the extent permitted by law, Partner Organisations and Beneficiaries report any complaints of actual, attempted or threatened sexual exploitation, sexual abuse or sexual harassment to the grantee where the complaint relates to activities funded by the Grant, provided that in complying with its obligation under iv or v, the Delivery Partner shall provide an outline of the complaint and details of the action being taken by the Delivery Partner, but shall not be required to provide any personal data.

In the event that the grantee fails to comply with any of this paragraph, UKSA reserves the right to (at all times acting reasonably, proportionately and in accordance with public law):

* + 1. deem this to be a material breach and terminate the Grant in accordance with Clause 2.1 (b) of Annex C, and/or
		2. suspend, withhold or reduce its payment of all or part of the Grant related to the breach from the date of the breach, and/or
		3. require repayment of all or part of the Grant related to the breach, to the extent it would be reasonable and proportionate to do so (having regard to the nature of the breach) and/or
		4. take a breach of this paragraph by the grantee into account when considering future applications for funding.

**UK Space Agency communications policy**

The UK Space Agency may work with project Primes to ensure that their communications outputs are effective and impactful. A communications toolkit will be distributed to successful grantees which outlines how we work with project Primes to manage communications.

All external communications activity, including press-relations, media and publications, require an approval from the UK Space Agency l prior to publishing.

Within the Grant Funding Agreement, section 8 clearly outlines the specific requirements.

Ask IPP@ukspaceagency.gov.uk to be added our Basecamp Collaboration Site to receive updates about all IPP calls.

1. HM Treasury & DFID. ‘UK aid: tackling global challenges in the national interest’. https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\_data/file/478834/ODA\_strategy\_final\_web\_0905.pdf [↑](#footnote-ref-2)
2. https://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/daclist.htm [↑](#footnote-ref-3)