Call Guidance

Harwell Cross-Cluster Industrial Engagement Proof of Concept Grant

Introduction

Aims of the call

To stimulate industrial engagement with organisations across the Harwell Campus Clusters – collaborations could be between industries, between industry and research organisations, and between Harwell industries and academia.

- To kick-start and accelerate innovative cross-disciplinary collaborations across the three clusters: EnergyTec, HealthTec, and Space.
- To help support and grow new and existing companies.
- To develop new ideas on the innovative use of technologies, applications and processes.
- To use Harwell Campus, and Oxfordshire, as a location for developing and validating technologies and services.
- To demonstrate the feasibility of new technologies or capabilities, or a new application of existing technology

Information for PIs and collaborators

This call is funded by the Science and Technology Facilities Council (STFC), one of the seven Research Councils of UK Research and Innovation (UKRI). The call will launch on the 16th September and close on November 4th, 2019. Up to £30k funding will be awarded per successful proposal, match funded by the proposing organisation(s) to a level that is compliant with State Aid regulations (more information on State Aid is available below).

Companies of all sizes are welcome to apply. Small equipment items may be bid for as part of the project if they are essential to its success; procurement of approved small equipment items will be the responsibility of the successful organisations. Funded work must be completed by March 2020, and any small equipment items procured and delivered by the same deadline. A final report on the project will also be required by March 27th to enable the draw-down of funds. If appropriate, the project might continue after March for a period to be agreed with STFC at time of award; this part of the work would have to draw solely on the match funding provided by the project team and not STFC’s funding.

Collaborators may choose to contribute additional in-kind effort and facility access to proposals as appropriate. Proposals should be jointly written with the collaborating Harwell Cluster organisation(s) and National Facilities, and contractual arrangements between the involved parties agreed and documented in advance of submission (please see URL links and points of contact below or if you would like an intro please contact ER or CMs). It should be clearly stated how the Harwell Cluster organisation will contribute to the project.
If you have any queries, would like advice on the most appropriate cluster organisation to work with, would like to be connected to a cluster organisation that is not listed, or would like to visit Harwell Campus and learn more about our facilities and collaborative opportunities before submitting your application, please contact Emily Rogers.

Applications should be submitted to Emily Rogers by midday on 4th November 2019.

**Eligibility criteria for applications**

For your application to be considered by the evaluation board, the proposal must meet the following eligibility criteria:

- The principal applicant must be a registered UK company.
- The projects must be collaborative; between two industrial companies, between industry and research organisations, or between industry and academia. Projects can have more than one collaborator.
- At least one partner, the principal applicant or one of the collaborators, must have a presence at the Harwell Campus and be affiliated with one of the Clusters (Space, EnergyTec, HealthTec). For a full list of companies affiliated with the clusters, please contact the Cluster Business Development Managers, contact details listed at the end of this guidance.
• Principal applicants must have sufficient working capital to fund the work themselves, as the grant money is only released for draw-down upon delivery of the final report before the end of March 2020.

• The applicants must match the STFC grant, in line with state-aid regulations, with capital or qualifying in-kind contribution.

• Proposals must be written with the collaborators as co-applicants.

• Projects must develop new ideas and technologies or enable new innovative applications for technologies, applications and processes.

• All applications must include details of any other STFC funding and/or state aid received in the last three financial years.

• Funded work must be completed by the end of the grant period/financial year, and any small equipment items procured and delivered by the same deadline. **If appropriate, the project might continue after March for a period to be agreed with STFC at time of award; this part of the work would have to draw solely on the match funding provided by the project team and not STFC’s funding.**

• Principal applicants may propose more than one project per call

**Financial guidance and timeline**

**Information on State Aid**

The award of this grant must comply with EU law on State Aid. The application form requires you to confirm that you are able to receive this assistance and declare the full amount of De Minimis aid you have already received over the last three financial years.

Under the ‘de minimis’ rules the total amount of funding received by an organisation cannot cumulatively exceed €200,000 over a three year period.

Any assistance you have received or are due to receive from a public body may be de minimis state aid. This could be any aid, grant or support from central, regional, devolved governments or agencies or a local council. The following is not a comprehensive list of the possible forms of aid; however, it should give an indication of the most common forms of aid. Should you have any doubts on this matter, please contact the body from which the assistance was received.

**Forms of possible aid:**

• State grants
• Interest rate relief
• Tax relief; Tax credits; Tax exemptions
• State guarantees or holdings
• State provision of goods or services on preferential terms
• Direct subsidies
• Preferential interest rates
• Guarantees of loans on especially favourable terms
• Acquisition of land or buildings either gratuitously or on favourable terms
• Provision of goods and services on preferential terms
• Indemnities against operating losses
• Reimbursement of costs in the event of success
- State guarantees, whether direct or indirect, to credit operations preferential re-discount rates
- Dividend guarantees
- Preferential public ordering
- Reduction of, or exemption from, charges or taxes, including accelerated depreciation and the reduction of social contributions
- Deferred collection of fiscal or social contributions
- Assistance financed by special levies
- Capital transfers
- Certain State holdings in the capital of undertakings

For the purpose of the De minimis regulation, you must retain details of all aid granted and produce it on any request by the UK public authorities or the European Commission. You may need to keep these details for 10 years or more.

The guidance here should not be seen as a substitute for taking legal advice, which remains the responsibility of the applicant. More information on state aid can be found by visiting www.gov.uk/guidance/state-aid.

**Cost guidance**

STFC will fund a maximum of £30,000 of the total cost of the Project.

A detailed spending plan must be included as part of the application form and show which costs will be charged to the grant and which will be matched (financial or in-kind) by the collaborators.

*Eligible financial matched funding includes; private sector owners’, partners’, directors’ and personal funds. Ineligible financial matched funding includes; funds sourced from other award funding, grant or competition, costs already incurred, loans or overdraft facilities which have been committed to cover previous expenditure and potential future profits.*

Direct Costs must be actual costs incurred during the duration of the project and in producing the final report. The spending plan should include the details of any small equipment items, for which grant award holders may be asked to provide receipts.

All costs must be reasonable and ensure best value for money. Applicants are responsible for the payment of VAT, taxes and charge

**General Eligible Costs**

The costs below are permitted as part of this grant

<table>
<thead>
<tr>
<th>Direct Personnel Costs</th>
<th>Personnel costs are the salaries, employers’ national insurance and superannuation contributions, taxes and other costs (direct overheads) included in the remuneration. They do not include overtime premium or indirect (administration) overhead.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consumable Materials</td>
<td>e.g. raw materials</td>
</tr>
<tr>
<td>Access to research infrastructure</td>
<td>including workshop and laboratory usage</td>
</tr>
</tbody>
</table>
Small Equipment Items

Small equipment items including the purchase of computer hardware and software are eligible.

Sub-contracting

Travel and subsistence

Permissible for project related travel for example to attend related technical, customer, or project meetings and where a teleconference would not be appropriate.

Training costs

Preparation of technical reports

Market assessment

General Ineligible Costs

The costs below are not permitted as part of this grant.

Any cost that does not meet the general eligibility criteria

See above list

Costs relating to drafting agreements prior to signing

Costs incurred in preparing, submitting and negotiating the project proposal

Travel costs prior to project starting and post completion

Staff costs related to overtime premiums and indirect (administration) overheads

Including recruitment and redundancy provision.

Costs incurred or reimbursed on another project

To avoid double funding

Deductible VAT

VAT that is recoverable under the national VAT

Timeline of application and grant process

Timetable (Key Dates) for 2019 Call

16 Sept 2019 Call launch
4 Nov 2019 Call closes
Nov 2019 Evaluation Panel meeting
Nov 2019 Awards confirmed
Nov 2019 Projects begin
27 March 2020 Final reports due (end of STFC funded work)

Created: September 2019 – Amended: October 2019
Application process
How applications will be assessed

Applicants are encouraged to meet with Cluster Business Development Managers (BDMs) as part of the application process. Please note, Cluster BDMs will not be on the evaluation panel. Application forms will be completed in full and submitted to Emily Rogers via email. Once submitted, these forms will be reviewed at the Evaluation meeting by an independent panel who will then make an initial decision based on Assessment Criteria that are included in this document. In a competitive situation, funding will be awarded to the highest scoring proposals.

Checklist for documents to be submitted with application

- Application completed in full, including information on current state aid status
- Letterhead
- Details of company number/companies house information

Assessment
Assessment criteria for applications

Sections of the application form which are left blank or are unintelligible, will receive a 0 for the relevant criterion.

<table>
<thead>
<tr>
<th>Criterion</th>
<th>Excellent (5)</th>
<th>Good (3-4)</th>
<th>Poor (1-2)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collaboration</td>
<td>Multiple collaborators with clearly defined different roles and contributions. The objectives of 2 or more of the partners are furthered by the work proposed.</td>
<td>A single collaboration with clear objectives and benefits to both parties. The objectives of 2 or more of the partners are furthered by the work proposed.</td>
<td>The named collaborators are perfunctory; contribute little, and do not themselves benefit from the arrangement other than financially.</td>
</tr>
<tr>
<td>Originality and benefit</td>
<td>The technology is disruptive with significant societal and/or economic impact and market needs.</td>
<td>The proposal explores a novel approach to an existing technology, and demonstrates some potential for societal and/or economic benefits derived from the outputs.</td>
<td>The proposed project is not compelling, and does not make a satisfactory case for the benefits it could bring to society/the economy.</td>
</tr>
<tr>
<td>Cross-sectoral and multidisciplinary</td>
<td>Multiple collaborators include parties from two or more sectors and make use of expertise and/or equipment from different disciplines.</td>
<td>A single collaborator from a different sector and/or discipline.</td>
<td>No collaborators in other sectors or disciplines.</td>
</tr>
<tr>
<td>Clarity of delivery plan</td>
<td>The project has a clear and well defined mechanism for achieving the desired objectives.</td>
<td>The mechanisms for achieving the project's objectives seem</td>
<td>The mechanisms for reaching the objectives are</td>
</tr>
<tr>
<td>Outputs are explained in a realistic project plan, in a suitable level of detail, which shows how funded work will be completed by end of March 2020.*</td>
<td>Achieving its objectives, split into milestones and deliverables, and makes a strong and clear case for commercialisation strategy and business development.</td>
<td>Reasonable, however some details lacking/too general, or too much text makes important details difficult to identify.</td>
<td>Either unclear or ill-considered. A limited plan of work, or one with doubts about its feasibility.</td>
</tr>
<tr>
<td>------------------------</td>
<td>-------------------------------------------------------------</td>
<td>---------------------------------------------------------------</td>
<td>---------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| **Longevity**
Quality of the plan for further development of the concept/initiative, from its TRL at the end of the project to a future point. | Good consideration has been given on how the project might be scaled up and brought to market in a longer-term collaboration. Interest from venture capitalists or likely funding source identified. | Some realistic consideration has been given on how the project might be scaled up and brought to market. Some exploration how future work might be funded. | Poor or no consideration demonstrated of how the project might be built on after the grant period. |
| **Added Value**
The extent to which the resources requested will contribute to the success of the endeavour. | The proposal has strong justifications for PoC funding and there is low likelihood of an alternative route to other financial support. | The proposal has good justifications for PoC funding, and is in keeping with the overall aims of the PoC funders and there is low likelihood of an alternative route to other financial support. | The proposal lacks suitable justification for the funding, and/or there are other avenues of funding that may be more suitable. |
| **Risks and Mitigations**
The degree to which any potential issues that would prevent the project from completing on time have been identified and mitigated. | All the major foreseeable risks have been accounted for and suitable measures for their mitigation have been identified. | The approach is feasible and relevant but there are some issues or significant technical risks associated without a good mitigation plan. | The proposal does not adequately identify or address the risks to failure or delay. |
| **Costings and timings**
A clear description of the match fund provisions and the state aid compliance. Where small equipment items are required, a realistic procurement plan which delivers before the end of March 2020. | A clear and concise summary of expenditures, divided into what is to be covered by matched-funding, including in-kind, from each collaborative partner, and what is to be covered by PoC funding. | Expenditure and personnel time is accounted for, but there is a lack of clarity, for example in which partners are taking responsibility for the procurement of different items and the execution of in-kind tasks. | The proposal does not sufficiently account for the amount of grant funding requested, and it is unclear which aspects are being match-funded, and which are being funded through the PoC contribution. |
Resubmission and re-entry

Applications may not be re-submitted to the same call, but can be re-submitted to a subsequent call, taking into consideration comments from the previous review panel and any new criteria.

Successful applications

Contracts and next steps

Applicants will be notified of the Evaluation Panel’s decisions from mid November 2019 onwards. Contracts and a state aid declarations will be sent to successful principal applicants which must be signed and returned to secure the grant. Companies that are not existing UKRI-SBS suppliers will have to provide their letterhead and companies house information, and contracts may take extra time to draw up. Successful principal applicants who wish to start their project before completing contracts, do so at their own risk.

There will be three meetings between the collaborative partners and the Harwell STFC representative during the project: a preliminary Kick-Off meeting within the first weeks of the project commencing, an interim meeting mid-way through the project, and a final review in the last few weeks of the project.

A final report will be required detailing the work performed and project outcomes before the end of the financial year. The template will be made available to successful applicants, and this must be approved before STFC funds can be drawn down at the end of the completed project.

Post contract

After the conclusion of the funded project, the STFC may wish to use the successful applicants’ projects to promote the grant, as well as raising the profile of the applicant and the STFC. This may take the form of requesting a talk from the principal investigator, or asking for quotes for and comments on case study of the project and the help it received. No material will be disseminated outside of the STFC without prior approval from the collaborative partners.

STFC-UKRI may be responsible for reporting on the performance and impact of this grant to UK Government. All data will be aggregated and anonymised.
<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Email</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emily Rogers</td>
<td>Call Coordinator</td>
<td><a href="mailto:Emily.rogers@stfc.ac.uk">Emily.rogers@stfc.ac.uk</a></td>
<td>01235</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>446046</td>
</tr>
<tr>
<td>Joanna Hart</td>
<td>Harwell Space Cluster Development Manager</td>
<td><a href="mailto:Joanna.Hart@stfc.ac.uk">Joanna.Hart@stfc.ac.uk</a></td>
<td>01235</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>446070</td>
</tr>
<tr>
<td>Emma Southwell-Sander</td>
<td>Harwell Energy Cluster Development Manager</td>
<td><a href="mailto:Emma.Southwell-Sander@stfc.ac.uk">Emma.Southwell-Sander@stfc.ac.uk</a></td>
<td>01235</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>445593</td>
</tr>
<tr>
<td>Adrian Hill</td>
<td>Harwell HealthTec Cluster Development Manager</td>
<td><a href="mailto:Adrian.hill@stfc.ac.uk">Adrian.hill@stfc.ac.uk</a></td>
<td>01235</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>446575</td>
</tr>
</tbody>
</table>