

MINISTÉRIO DA
INDÚSTRIA, COMÉRCIO EXTERIOR
E SERVIÇOS



Innovate UK



GUIDANCE FOR APPLICANTS

Brazil-UK Collaborative Research and Development Programme 2016

with support of the Newton Fund

by
Ministry of Industry, Foreign Trade and Services (MDIC), Brazil
Brazilian Development Bank (BNDES), Brazil
Brazilian Agency for Industrial Research and Innovation (EMBRAPII), Brazil
and
Innovate UK, UK

November 2016

Executive summary

The Ministry of Industry, Foreign Trade and Services and Innovate UK are running a call for proposals for collaborative research and development projects between British and Brazilian companies focusing on innovative, connected cities and renewable energy solutions.

Similar to the UK, today in Brazil 85% of people lives in cities (worldbank.org). This has created a wealth of opportunities for those moving to urban centres, yet also it has accelerated the development of unique challenges for the future development of cities in Brazil. Challenges such as improving energy, waste and water efficiency, developing infrastructure to meet current and future energy and service demands by residents (and visitors), while also promoting economic participation and harnessing education and skills within and around cities.

Both the Brazilian and British governments are aiming to support projects developing the use of cutting-edge solutions (e.g. information and communication technology, internet of things, big data) to tackle critical issues for the future of urban environments, such as smart buildings (energy and resource efficiency), wider urban infrastructure (resource management, smart grids, clean energy, internet access) and mobility (reduced carbon emissions through clean energy solutions, multimodal transport, traffic management).

The UK investment has been made possible through the Department for Business, Innovation and Skills-managed Newton Fund. Innovate UK is to invest up to £2.45m in eligible projects. Brazilian participants are eligible for funding by the National Development Bank (BNDES) or for access to non-refundable (grant) resources and technical competence of the Brazilian Agency for Research and Industrial Innovation (EMBRAPII) and its EMBRAPII Units and Poles. Support to Brazilian Participants from the Brazilian funding agencies will observe the availability of Innovate UK funds.

About the funding & implementation agencies, and the Newton Fund

Ministry of Industry, Foreign Trade and Services (MDIC), Government of Brazil

The Ministry of Industry, Foreign Trade and Services (MDIC) is responsible for the Brazilian Federal Government's Industrial and Foreign Trade Policy. The jurisdiction of the Ministry comprises, amongst others, the following themes: (1) industrial and services development policies; (2) intellectual property and technology transfer; (3) metrology, standardization and industrial quality; (4) regulation and implementation of programs and activities related to foreign trade; (5) international negotiations on trade; (6) public policies on innovation and competitiveness. The following entities are associated to the MDIC to promote coordinated actions: Superintendence of the Manaus Free Trade Zone (SUFRAMA); National Institute of Industrial Property (INPI); National Institute of Metrology, Quality and Technology (Inmetro); Brazilian Agency for Industrial Development (ABDI).

For more information about MDIC, please visit: <http://www.mdic.gov.br/index.php/english>

Brazilian Development Bank (BNDES), Brazil

Founded in 1952, the National Development Bank (BNDES) is one of the world's largest development banks and, today, the main Brazilian Federal Government instrument for long-term financing and investment in all segments of the Brazilian economy.

To accomplish that, BNDES supports entrepreneurs of all sizes, including individuals, in realizing their modernization and expansion plans, and implementation of new business, always bearing in mind the potential for generating jobs, income and social inclusion for the country.

As a public company and not a commercial bank, BNDES evaluates the granting of support focusing on social, environmental and economic impact in Brazil. Encouraging innovation, regional development and environmental development are priorities for the institution.

For more information about the BNDES, visit:

http://www.bndes.gov.br/SiteBNDES/bndes/bndes_en/Institucional/The_BNDES/

Brazilian Agency for Industrial Research and Innovation (EMBRAPII), Brazil

EMBRAPII is the Brazilian Agency for Industrial Research and Innovation, a Social Organization connected to the Ministry of Science, Technology, Innovations and Communication (MCTIC) and to the Ministry of Education (MEC). EMBRAPII's Management Contract was signed on December 2nd, 2013, and both federal Ministries share responsibility for its funding.

EMBRAPII's operating model enables quickness, flexibility and reduced risk in supporting companies' RD&I projects. The non-refundable grants offered by EMBRAPII are invested in projects carried out by companies and research institutions, acknowledged for their excellence, technological focus and the ability to meet companies' RD&I demands, called EMBRAPII Units and/or Poles. The resources of the Agency cover up to 1/3 of the value of collaborative projects between companies and EMBRAPII Units and/or Poles.

The EMBRAPII resources work in a continuous flow, so companies can at any time go directly to the EMBRAPII Units and Poles, negotiate and contract their projects with them in a simple and non-bureaucratic way.

For more information about EMBRAPII, please visit: <http://www.embrapii.org.br/>

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. £735 million will be spent by the UK through the Fund over a 7-year period (2014-2021), 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).

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.

Table of Contents

SECTION ONE

1.1 Competition overview	6
1.2 Finding partners	7
1.3 Competition scope.....	7
1.4 Eligibility.....	9
1.4.1 Common eligibility criteria.....	9
1.4.2 Applicants from Brazil.....	10
1.4.3 Applicants from the UK.....	10
1.4.4 Brazil/UK partnerships.....	10
1.5 Funding.....	11
1.5.1 Financial support – Brazil	11
1.5.2 Financial support – UK	13
1.6 Application overview	14
1.7 The assessment and evaluation process for this competition.....	16
1.7.1 Assessment process.....	16
1.7.2 Evaluation and selection of R&D projects.....	16
1.8 Key dates.....	18

SECTION TWO – Information for applicants

2.1. How to apply for this competition.....	19
2.2 Finance forms and project costs.....	23
2.3 How to find out more (Data Protection Act 1998, Information Security, etc).....	23

SECTION THREE

3.1 The application form and required documents	24
3.2 Project appendices – applicable to both Brazilian and UK applicants	35
3.3 Project plan.....	37
3.4 Details of financial contribution – UK	38
3.5 Details of financial contribution – Brazil	39
3.6 Additional information for UK applicants	39
3.7 Exchange rate and contact information	40

Section 1

How to use this document

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

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

- **Section 1** - information on eligibility, timescales and terms and conditions common to both Brazilian and UK partners.
- **Section 2** – how to apply
- **Section 3** - details on how to complete the application form for both UK and Brazilian partners 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 call are to:

- enable new commercial, competitive solutions which address key societal challenges to emerge, by:
 - nurturing new Brazil-UK partnerships which focus on industrial outcomes;
 - accelerating the commercialisation of R&D that will benefit Brazil (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 relations.

The expected results of the call are as follows:

- Organisations participating in MDIC 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 Brazil within the focal sectors start to emerge;
- The bilateral R&D community, in targeted markets and sectors, demonstrates an increased awareness of Brazil and UK science and technological capabilities.
- Brazilian organisations and UK-based companies have increased knowledge and understanding of global innovation and business networks.
- Applicants are required to submit an **identical** collaborative application form to MDIC and Innovate UK to request funding for the proposed R&D project. MDIC 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
- MDIC to invite Brazilian Participants to seek funding from the Brazilian funding agencies

1.2 Finding partners

In Brazil: international cooperation website

- MDIC maintains a matchmaking platform on its international cooperation on innovation website.
- All interested applicants, Brazilian and British, can create a profile and search for partners.
- Please follow the link: <http://internationalcooperation.mdic.gov.br/>
- In the eventuality that a company could not find a partner in the platform, MDIC is available to help in the partner search at the e-mail internationalcooperation@mdic.gov.br

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 Brazil-UK competition. 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:
- The Meeting Mojo link is also available on the Innovate UK competition webpage under the “Finding Partners” section.

Enterprise Europe Network

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

1.3 Competition scope

Both Innovate UK and MDIC wish to invite companies to submit proposals under the following challenge areas, with corresponding areas of potential technological solutions.

This competition invites proposals in three challenge areas:

- Integration and governance of systems within a city;
- Urban infrastructure and affordable, smart mobility; or
- Sustainable urban environments.

Within these three challenge areas, the following technologies are in scope:

- Internet of things
- Big data
- Smart grids
- Multimodal transport technology
- Traffic management solutions
- Clean energy solutions
- Waste and water management
- Blue-green infrastructure

1.3.1 Integration and governance of systems within a city

Cities face the challenge of improving the collection of information to inform policy-making, reducing the cost and increasing the quality of public services delivery and being more transparent and accountable to their citizens. Those goals can be achieved through the development of solutions based on information and communication technology.

Examples may include, but are not limited to:

- development of platforms:
 - flexible central platform (for systems integration, apps, etc.) for integrated public systems;
 - platforms for digital communication in order to improve public services planning (location addresses, street scenes, transportation services, facilities, etc.)
 - for integrating data from different systems
- systems development:
 - digital government (public services and consultations)
 - biometric identification
 - applications using geographic information systems (GIS)
 - collection and interpretation of big data for decision and policy support
 - public warnings and emergency alerts, detection of natural disasters, anticipation of essential public services interruption and other events

1.3.2 Urban infrastructure and affordable, smart mobility

Following decades of intense growth, cities need to improve outdated infrastructure and find solutions for ever-increasing traffic. New technologies provide the opportunity to address those issues in innovative, efficient and cheaper ways, delivering value to citizens and municipalities.

Examples may include, but are not limited to:

- software solutions for Smart Grids
- equipment for Smart Grids
- water and sewage distribution management and reduction of losses:
 - Development of leak detection equipment , macro/micro meters and pressure control valves;
 - Development of remote reading and remote management systems
- paving technologies permeable to water
- development of LED lamps and luminaires:
 - chips for control, dimming , remote sensing and
 - systems for remote management and ancillary services
- technologies to promote universal accessibility in urban transport
- vehicle sharing systems (car sharing and bike sharing) and lift applications
- advanced systems for traffic management, prioritization and traffic signal planning systems and management of commercial vehicles operating in the urban environment
- systems and solutions in telematics for communication between vehicles, and between vehicles and pedestrian infrastructure, including active traffic monitoring
- new features for traffic lights
- systems for metropolitan railway and subway automation

- The use of behavioural science to ‘nudge’ people into more sustainable behaviours

1.3.3 Sustainable urban environments

The reality of climate change and dwindling natural resources means that finding more efficient and environment-friendly ways to use water, to generate and store energy and to dispose of waste has become necessary. Furthermore, estimates say that, by 2050, 70% of the world’s population will be living in cities. Cities, henceforth, have an outsized role in making the world more sustainable. Emerging technologies can provide solutions to make cities more sustainable and resilient.

Examples may include, but are not limited to:

- building automation (energy and water management)
- water collection, reuse and treatment
- wastewater treatment and reuse technologies
- integrating blue and green infrastructure
- energy storage
- more efficient photovoltaic panels
- wind turbines for microgeneration (up to 100 kW) and mini-generation (between 100 kW and 1 MW)
- more efficient natural gas-powered engines and generators
- technologies for use of biogas from sewage, landfills, water treatment plants and sewage treatment plants;
- technologies to avoid adding waste to landfills by methods that extract value of the waste (e.g. recycling, incineration, mechanical biological treatment, composting, digestion, etc.)
- transport solutions that optimize the logistics of waste collection (eg. containerized collection) that add new alternative technologies for waste disposal
- technologies for treatment of leachate generated from the decomposition of the organic fraction present in landfills
- technologies for buses with reduced carbon emissions
- systems and equipment for charging electric vehicles
- technologies that reduce energy consumption or promote autonomy of the mobility system (e.g.: regenerative braking and solar generation in motor vehicles)

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 competition and does so in accordance with the national laws, rules, regulations and procedures of their jurisdiction or country.

Collaborations must be business-led in both countries.

Project composition

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

- A Brazilian registered company Project Lead (**BPL**), responsible for the Brazilian application submission, leading the Brazilian 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 Brazilian Project Lead.
- For UK applicants: the business proportion of total eligible project costs must be 70% or higher; the total of all combined research organisation costs cannot exceed 30% of the overall project costs.
- For Brazilian applicants: only companies are eligible for funding by BNDES, while research organisations can participate as subcontractors. Projects are also eligible for funding by EMBRAPII if they are developed with research institutions accredited as EMBRAPII Units.
- 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.

1.4.2 Applicants from Brazil

Eligible Brazil applicants are:

- Brazilian companies of any size, registered, based and operating in Brazil.
- Research institutions accredited as EMBRAPII Units and Poles are eligible to participate and use the resources of EMBRAPII, observing the required participation of one Brazilian company that will make a partnership with the British side.
- Brazilian research institutions outside the EMBRAPII System are also eligible to participate, only as subcontractors.

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: <https://interact.innovateuk.org/guidance-for-applicants>, but cannot lead the UK side of the project.

1.4.4. Brazil-UK partnerships

- To be eligible for this competition, projects must be focused on industrial research. A full definition of this research category is available here: <https://interact.innovateuk.org/-/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 a Brazilian project lead to form a consortium to deliver the project. There is no restriction on the number of partners in either the UK or Brazil.
- Proposals must articulate clear commercial goals and associated commercialisation strategies.
- Proposals must demonstrate the joint Brazil-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 Brazil 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 financing agreement process.
- Innovate UK and MDIC will expect successful project participants to put in place a Collaboration Agreement amongst all project partners as part of the conditions of accepting funding.
- Projects must be innovative and market-driven, leading to the proposed development of a new product or process, leading to ultimate commercialisation.

1.5 Funding

Innovate UK and MDIC will implement an integrated, merit-based project evaluation and selection process using their existing assessment processes. Innovate UK and MDIC 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
- MDIC to invite Brazilian Participants to seek funding from the Brazilian funding agencies

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 a Brazil-UK R&D project may vary, each bilateral project must demonstrate equivalent total effort from each participating country.

Projects that only include technological transfer will not be considered for the purpose of this call.

1.5.1 Financial support – Brazil

In Brazil, projects are eligible for funding by BNDES and/or EMBRAPII. This creates three possible ways in which funding may happen:

- BNDES only: projects are supported only by BNDES refundable loans. **Earliest possible project start date: 1st June 2018.**
- EMBRAPII only: projects are supported only by EMBRAPII non-refundable grants (requires the participation of an EMBRAPII-accredited research institution - EMBRAPII Units and/or Poles). **Earliest possible project start date: 1st December 2017.**
- BNDES and EMBRAPII: projects are supported by a combination of BNDES loans and EMBRAPII grants. **Earliest possible project start date: 1st June 2018.**

Approved projects may be funded by BNDES and/or EMBRAPII, as follows:

- BNDES
 - BNDES funding may be granted through the Bank's existing credit lines and financial products.
 - BNDES funding will be granted according to the rules and operating procedures of the

institution as well as the applicable legislation in force.

- In this call, BNDES can support Brazilian companies through two different instruments: the Innovative SME Program especially for micro, small and medium companies and the Innovation Support Line for proposals from R\$ 1 million onwards.

BNDES Financial Support	Brazilian Company Size	Financial Support
< = R\$1 million	SME	Innovative SME Program
> R\$1 million	SME	Innovative SME Program Innovation Support Line
	Medium-Large and Large	Innovation Support Line

- For each proposal, the Brazilian company repayment capacity will be evaluated by BNDES.
- Approval in International Cooperation calls is one of the qualifying criteria for Brazilian SMEs to access BNDES' Innovative SME program.
- For more information about BNDES' financing conditions and requirements, please visit: Innovation Support Line:
<http://www.bndes.gov.br/wps/portal/site/home/financiamento/produto/bndes-inovacao>

BNDES Innovative SME Program:

<http://www.bndes.gov.br/mpmeinovadora>

- **EMBRAPII**

- Project must be negotiated directly between companies and EMBRAPII Units and/or Poles.
- EMBRAPII finances up to 1/3 of projects between companies and EMBRAPII Units and Poles with non-refundable (grant) resources.
- All projects supported in the framework of the EMBRAPII System must include previously established investment shares from EMBRAPII Units and Poles (economic resources) and partner companies (mandatory financial resources). The companies' share must necessarily be financial and directly applied in the execution of the contracted projects.

Responsible	Contribution
EMBRAPII	Maximum of 1/3 of Brazilian project costs
Companies	At least 1/3 of Brazilian project costs
EMBRAPII Units	Up to 1/3 of the remaining costs of Brazilian projects

- The Brazilian companies supported to develop projects jointly with EMBRAPII Units and Poles may also request financing to BNDES and other funding institutions. In this case, the requested financing may be granted according to the available credit lines and the rules and operating procedures of each institution as well as the applicable legislation in force.
- For more information on EMBRAPII Units and Poles and their technological skills, please

- visit: <http://embrapii.org.br/categoria/unidades-embrapii/#/> and <http://embrapii.org.br/categoria/polos-embrapii-if/>
- For more information about EMBRAPII's model and rules, please visit: <http://embrapii.org.br/manual-das-unidades-embrapii/>

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 Brazil 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/>.

Expected costs, grant and eligible costs

We expect total UK project costs of between £200,000 to £500,000, giving rise to total UK grant of approximately £350,000. Proposals outside of this range can only be considered with prior Innovate UK approval.

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.

Full details of what project costs are eligible for funding from Innovate UK can be found at: <https://interact.innovateuk.org/-/project-costs>

Proportion of total eligible cost and grant per type of applicant

- The business proportion of total eligible project costs must be 70% or higher; the total of all combined research organisation costs cannot exceed 30% of the overall project costs.

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://interact.innovateuk.org/-/funding-rules>
- Work packages that include elements of Experimental Development will be considered within projects that predominantly target Industrial Research. Those work packages which are primarily Experimental Development will receive the appropriate grant percentage.
- 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 ¹	70%	45%
Medium	60%	35%
Large	50%	25%

¹ 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/enterprise/policies/sme/facts-figures-analysis/sme-definition/index_en.htm

- 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://interact.innovateuk.org/-/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 November 7th 2016.

For Brazilian applicants

- On the MDIC website (www.internationalcooperation.mdic.gov.br), applicants can access the Guidance document containing instructions to apply for funding under the Brazil-UK Collaborative Research & Development Competition 2016
- Registration with MDIC for this Brazil-UK Collaborative Research & Development Competition 2016 is recommended for each Brazilian Project Lead (**BPL**), in order to access the application and learn about the submission process. You are required to register first to download the form.
- Post registration, applicants will be able to access and download the joint application form for the competition.
- The application process in Brazil consists in registration in the MDIC website to access the application form, and submission of the application form via e-mail to internationalcooperation@mdic.gov.br.
- If the applicant wishes to request BNDES support up to R\$ 1 million, they must send, alongside the form, the Annex 1 (Economic-Financial Indicators).
- If the applicant wishes to request BNDES support above R\$ 1 million, they must send, alongside the form, the Annex 2, namely, (i) *Informações para análise cadastral e risco de crédito*; (ii) *Indicadores econômicos e financeiros*; (iii) *Quadro de Usos e Fontes*.
- The information for the cadastral analysis and credit risk assessment at the BNDES should be completed and filed electronically through the On-Line Protocol system for Cadastral Information and Credit Analysis in <https://web.bndes.gov.br/FichasCadastrais/FCE> per the guidelines in the Annex. **It should be noted that this information is subject to banking secrecy by BNDES.**
- The *Pessoa Física* and *Pessoa Jurídica* files that need to be printed, signed and notarized along with the Cadastral Analysis Cover page - CAPA should be forwarded to BNDES to the following address:

Edital de Cooperação Internacional Brasil-Reino Unido
Banco Nacional de Desenvolvimento Econômico e Social – BNDES
Área de Planejamento e Pesquisa – APP

Departamento de Prioridades – DEPRI
Av. República do Chile, 100 – Protocolo – Térreo
20031-917 – Rio de Janeiro – RJ

Obs: Documentation sent to BNDES' representatives will not be accepted.

- **The Annex 2 must be sent only to BNDES.**

BNDES Financial Support	Annex	Send to
< = R\$1 million	Annex 1	internacionalcooperation@mdic.gov.br
> R\$1 million	Annex 2	BNDES only

- BNDES may at any time contact the Brazilian company and request further information.
- In order to request EMBRAPII resources, Brazilian companies wishing to apply for funding should contact the EMBRAPII Unit and/or Pole of interest to present the partnership proposal. The Unit and/or Pole will evaluate and decide on the feasibility of the research to be developed, within the parameters of EMBRAPII rules.
- The EMBRAPII model works in a continuous flow, so applicants may seek the EMBRAPII Units at any time. Companies should signal in their proposals with which EMBRAPII Unit they want to work and if they've already negotiated with them and fill the "EMBRAPII form to Brazilian Enterprise" available at the MDIC website.
- Please note that it is not necessary to guarantee financing from other funding agencies for the presentation of the proposal and grant support from EMBRAPII.
- Please ensure your UK counterpart has also submitted the collaborative and identical application form to Innovate UK, as per the Innovate UK process.
- Only applications from companies that sent all the above documentation by the closing date of the call (May 3rd, 2017) will be accepted.
- The application must reflect a combined effort from both the UKPL and BPL, be written in English, and submitted to MDIC using the prescribed process by the stated application submission.

For UK applicants

- The application process in the UK consists of registration, followed by submission of the requisite application form and appendix.
- Only UK-based and UK registered companies and research organisations are eligible to apply into the competition. 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 the UK and Brazil.
- The collaborative application must reflect a combined effort from both the UKPL and BPL, 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 competition eligibility criteria as set out in this document, including ODA compliance.
- Project proposals that are not in the prescribed template. Hand-written applications will not be accepted by MDIC or Innovate UK.
- Innovate UK will not accept applications via email, they must be submitted as per Innovate UK's standard process only.
- Applications submitted to the incorrect organisation or using the incorrect application form for the competition.
- Applications in which only one side (i.e. one country) has submitted proposal/application.
- Proposals from Brazilian companies requesting BNDES support in the Innovative SME Program, not forwarding the Annex 1 (Economic-Financial Indicators).
- Proposals from Brazilian companies requesting BNDES support above 1 R\$ million reais, not forwarding the Annex 2 (*Quadro de Usos e Fontes and Informações para análise cadastral e de risco de crédito*) to BNDES.

1.7 The assessment and evaluation process for this competition

1.7.1 Assessment process

This competition will follow a single stage process.

MDIC and Innovate UK will initially screen all the applications received by the application deadline for completeness of information as per the competition guidelines.

It is the responsibility of the Project Leads (UKPL and BPL) to ensure that all of the necessary information for the application has been gathered from UK and Brazilian partners and is submitted prior to the application deadline. If there is specific information missing in an eligible application, MDIC and Innovate UK may at their discretion contact the lead applicants requesting them to provide the missing information within a specified timescale.

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

The final list of complete proposals under the competition will be shared between MDIC and Innovate UK. These proposals will then undergo assessment in their respective countries.

1.7.2 Evaluation and selection of R&D projects

To ensure the effective delivery of the competition and reinforce the principles of bilateral partnership, MDIC (for Brazil) 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 competition guidance, followed by a joint review. Together, they will make a joint recommendation on projects to be shortlisted for funding, based on the feedback and recommendations received from the Brazilian Committee and the Innovate UK expert assessors.

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

Assessment process in the 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>

Each application is assessed by up to five independent expert assessors against the joint scoring system for the 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.

Assessment process in Brazil

All applications will be evaluated by a Committee, coordinated by MDIC and involving the funding agencies, that will rate them against the joint scoring system for the gateway and criteria questions and create a ranking order.

MDIC and BNDES may at any time contact the Brazilian company and request further information.

Joint review

Following the independent evaluations in Brazil and the UK, a joint review committee will be held, comprising representatives from the Brazilian and UK funding agencies. MDIC 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 in the call will be made at that time.

The decision to offer financial support and the conditions under which the support will be given is a prerogative of each country's financial institutions, which will independently analyse requests for funding in accordance with the operating policies of each institution.

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

Financial requests in Brazil

After the notification of approval in the call, Brazilian companies wishing to apply for funding from BNDES will be notified about which BNDES instrument is available for them, according to their size and the cost of the project.

If it's direct funding from BNDES (Innovation Support Line), companies should, until 04.08.2017, present the following documents listed in the **Annex 3**:

- i. Social and Environmental Aspects Related to the Company;
- ii. Social and Environmental Aspects Related to the Project;
- iii. Job Creation and
- iv. Guarantees.

The documentation listed above should be sent in hard copy and in recorded electronic media, to the following address:

Edital de Cooperação Internacional Brasil-Reino Unido
Banco Nacional de Desenvolvimento Econômico e Social – BNDES
Área de Planejamento e Pesquisa – APP
Departamento de Prioridades – DEPRI
Av. República do Chile, 100 – Protocolo – Térreo
20031-917 – Rio de Janeiro – RJ

Obs: Documentation sent to BNDES' representatives will not be accepted.

If it's indirect funding from BNDES (BNDES Innovative SME Program), the application process depends on the accredited financial agent.

- ✓ **Be advised that the speed of the support application processing in the BNDES or in any accredited financial agent is related to the speedy providing of clear and complete information.**
- ✓ **The approval in the call does not guarantee grant funding from the BNDES (in the case of direct support) and / or accredited financial agents (in the case of indirect support). The grant support will be conditional on compliance with the processing flows in force concerning the environmental, technical, financial, legal analysis, guarantees, approval, contracting and monitoring.**

1.8 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 8 am (Local Time, Brasília) in Brazil.** Any applications after this time will not be accepted.

Competition open	November 7 th 2016
Closing of registration for UK applicants (applicants need to have registered their intention to submit an application with Innovate UK)	April 26 th 2017
Competition close	May 3 rd 2017
Anticipated release date of results	July 21 st 2017
Deadline for submission of the Annex 3 to BNDES	August 4 th 2017
Earliest project start date	Please refer to 1.5.1 (page 11)

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.

Section 2

Information for applicants

2.1 How to apply for this competition



REGISTER

To enter this competition, the consortium should appoint a Project Lead for the UK side of the consortium (UKPL) and a Project Lead for the Brazilian side of the consortium (BPL).

- The UKPL must register via the competition website at:
<https://www.gov.uk/government/collections/innovation-grants-for-business-apply-for-funding>
- The BPL can register via the MDIC International Cooperation website at:
<http://internationalcooperation.mdic.gov.br/>
- Registration is not necessary in order to submit an application.

Registrants to Innovate UK: 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

Registrants to MDIC: You will receive an email acknowledgement of your registration immediately after creating a username and password.

Please note: As stated in the above Key Dates section, the last date for UK applicants to register for a competition is 12 noon (GMT) 26th April 2017.

Multiple project applications

Registrants to Innovate UK: 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. 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.

Registrants to MDIC: If you wish to apply for funding for more than one project, the application form is available for an unlimited number of downloads. You will be able to make separate submissions by completing a unique application form for each separate project, ensuring the appropriate application form is sent to MDIC via e-mail.

Please note: If repeat/duplicate applications for the same project are submitted, then only the repeat/duplicate applications will be ineligible and not assessed. Only the most recent version will be accepted.



DOWNLOAD documents

Innovate UK application form/process:

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)

MDIC application form/process:

Once you have created your username and passwords, you can log into the International Cooperation website to access additional documentation relevant to the competition. For this competition, these are:

- Appendices (please see Section 4 for more information)
- EMBRAPII form expressing interest in establishing partnership with an EMBRAPII Unit or Pole, signalling which accredited Unit is interested in working together and indicating if there's been contact between the company and the Unit regarding implementation of the project
- Annex 1, comprising the Economic-Financial Information, for Brazilian companies requesting BNDES support in the Innovative SME Program
- Annex 2, comprising the *Quadro de Usos e Fontes* and the *Informações para análise cadastral e de risco de crédito*, for Brazilian companies requesting BNDES support above 1 R\$ million reais.
- Annex 3, comprising the Social and Environmental Aspects Related to the Company; Social and Environmental Aspects Related to the Project; Job Creation and Guarantees documents. **(Only for approved companies requesting BNDES support in the Innovation Support Line)**



COMPLETE documents

Innovate UK application form/process:

You are required 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>

MDIC application form/process:

You are required to submit the following documents:

- Application form
- Project Appendices
- EMBRAPII form expressing interest in establishing partnership with an EMBRAPII Unit or Pole, signalling which accredited Unit is interested in working together and indicating if there's been contact between the company and the Unit regarding implementation of the project
- Annex 1, comprising the Economic-Financial Information, for Brazilian companies requesting BNDES support in the Innovative SME Program
- Annex 2, comprising the *Quadro de Usos e Fontes* and *Informações para análise cadastral e de risco de crédito*, for Brazilian companies requesting BNDES support above 1R\$ million reais.
- The information for the cadastral analysis and credit risk assessment at the BNDES should be completed and filed electronically through the On-Line Protocol system for Cadastral Information and Credit Analysis in <https://web.bndes.gov.br/FichasCadastrais/FCE> per the guidelines in the Annex. **It should be noted that this information is subject to banking secrecy by BNDES.**

BNDES may at any time to contact the Brazilian company and request additional information.

The above list is indicative and MDIC may seek additional documents/information from individual project applicants.

Do not leave it until the last few days to complete your submission documents.



**UPLOAD
documents**

Innovate UK application form/process:

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>

If repeat/duplicate applications for the same project are submitted, then only the most recent version will be accepted.

MDIC application form/process:

The BPL must submit their application to MDIC before the deadline. Applications must be sent via e-mail to internationalcooperation@mdic.gov.br

The Annex 1 information should be sent by Brazilian partners seeking BNDES support in the Innovative SME Program.

The Annex 2 information should be sent by Brazilian partners seeking BNDES support above 1R\$ million reais, subject to bank secrecy.

The *Quadro de Usos e Fontes*, *Pessoa Física* and *Pessoa Jurídica* files that need to be printed, signed and notarized along with the Cadastral Analysis Cover page - CAPA should be forwarded to BNDES to the following address:

Edital de Cooperação Internacional Brasil-Reino Unido
Banco Nacional de Desenvolvimento Econômico e Social – BNDES
Área de Planejamento e Pesquisa – APP
Departamento de Prioridades – DEPRI
Av. República do Chile, 100 – Protocolo – Térreo
20031-917 – Rio de Janeiro – RJ

Obs: Documentation sent to BNDES' representatives will not be accepted.

- Only applications from companies that sent all the above documentation by the closing date of the call (May 3rd, 2017) will be accepted.
- **The Annex 2 must be sent only to the BNDES.**



Once the competition submission deadline is reached, MDIC and Innovate UK will initially screen all the applications received for completeness of information, eligibility of consortium members and ODA compliance, as per the competition guidelines. If any of these criteria is not fulfilled, the application will not be assessed and will be withdrawn from the competition.

The UKPL and BPL of all assessed applications will be notified of the outcome of your application on the date stated in the above Key Dates section. The UKPL will be notified by Innovate UK, the BPL will be notified by MDIC.



Innovate UK application form/process:

Each UKPL will be able to access feedback on their application from the assessors by logging into the secure site 4 weeks 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>

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.

MDIC application form/process:

Each BPL will receive an e-mail with the notification of the outcome of the application from MDIC. Approved applicants will be invited to send financing request to the funding agencies which will evaluate them independently and in accordance with their respective operational policies.

If the applicant wants to apply for BNDES support in the Innovation Support Line, they shall file the information in Annex 3 with the Bank, which will evaluate it independently and in accordance with its existing operational policies.

The deadline to submit Annex 3 to BNDES is August 4th 2017.

2.2 Finance forms and project costs

Innovate UK application form/process:

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>

MDIC application form/process:

Information on financing to the Brazilian companies can be found in our website:
<http://internationalcooperation.mdic.gov.br/>

For further information, please access the following websites:

BNDES - <http://www.bndes.gov.br/>

EMBRAPII - <http://embrapii.org.br/empresas/>

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:

UK

Innovate UK, Customer Support Services:

E-mail: support@innovateuk.gov.uk

Tel: 0300 321 4357 (Monday-Friday 9am-5:30pm)

Brazil

MDIC:

Email: internationalcooperation@mdic.gov.br

Tel: +55 61 2027-8223

BNDES:

<http://www.bndes.gov.br/faleconosco>

0800 702 6337 (Brazil toll free)

EMBRAPII:

Email: assessoria@embrapii.org.br

Tel: 55 61 2196 7738 (Monday-Friday 9am–6pm)

Section 3

3.1 The application form & required documents

The application form (UK and Brazilian 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 Brazilian partners for the completion of the collaborative application form.

Submission of one completed application form per project, in English, to Innovate UK and to MDIC is mandatory. Applications in any other format will not be accepted. Upon registration, each registrant will receive a unique application form and user ID for their application.

The UK and Brazilian Project Leads for each application should ensure that they liaise and coordinate to provide the collaborative application form and associated appendices/documents required. Finance forms will be specific and submitted to Innovate UK for UK applicants and to BNDES for Brazilian applicants, separately.

Multiple project applications

Registrants to Innovate UK: 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. 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.

Registrants to MDIC: If you wish to apply for funding for more than one project, the application form is available for an unlimited number of downloads. You will be able to make separate submissions by completing a unique application form for each separate project, ensuring the appropriate application form is sent to MDIC via e-mail.

Please note: If repeat/duplicate applications for the same project are submitted, then only the most recent version will be accepted.

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 tables for both UK and Brazilian partners

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 UK and Brazilian Project Leads should coordinate to ensure that:

- a collaborative application form and appendices, in English, as detailed below is submitted to Innovate UK and MDIC
- finance forms only for UK participants are submitted to Innovate UK
- a financial information appendix (Annex 1) is submitted directly to BNDES

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
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). Please note: the lead organisation will be the main point of contact between the Innovate UK and the UK project team.
UK Project Lead (UKPL) organisation contact details	Enter the full name, postcode, e-mail address and telephone number of the main point of contact between the Innovate UK and the project.
Brazilian Project Lead (BPL) organisation name	Enter the full registered name of the Brazilian project lead (BPL) organisation for the project. Please note: the lead organisation will be the main point of contact between the MDIC and the Brazilian project team.
Brazilian Project Lead (BPL) contact details	Enter the full name, postcode, e-mail address and telephone number of a named point of contact between MDIC and the project.
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.
Innovate UK applicant number	This is completed automatically and is the reference that you should use on all correspondence (this is the 5 or 6 digit number after the dash).
Summary of proposed project (not scored)	
Question	Guidance
Please provide a short summary of the content and objectives of the project including what is innovative about it.	This is an opportunity to provide a short summary of the key objectives and focus areas of the project. It is important that this summary is presented in reference to the main outline of the project, with sufficient information to provide a clear understanding of the overall vision of the project and its innovative nature. This summary is not scored, but provides an introduction of your proposal for the benefit of the assessors.

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

Important note:

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

Question	Guidance
Gateway question: Scope - How does this application align with the specific competition scope?	<p>All applications must align with the specific competition scope criteria as described in the relevant competition Brief.</p> <p>Note: To demonstrate alignment, you need to show that a clear majority of the project's objectives and activities are aligned with the specific competition. In forming their judgment on this, the assessors will also consider whether the application addresses the research objectives and topics it claims to. It is important, therefore, for you to understand fully the background, challenge and scope of the competition, as outlined in this document.</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"> current nature of the specific market(s) at which the project is targeted (for example, is it characterised by price competition amongst commoditised suppliers? Is it dominated by a single leading firm?) the dynamics of the market including quantifying its current size, actual and predicted growth rates the projected market share for the project outcome, with justification in the light of any potential competitors the potential to create value-added for the UK and/or Brazil. <p>Describe and clearly quantify the return on investment that the project could achieve and provide relevant source data references.</p> <p>Where possible, provide evidence for your statements about the addressable market for project outcomes and outline your strategy for developing market share.</p> <p>For highly innovative projects (see question 6) where the market may be unexplored, explain:</p> <ul style="list-style-type: none"> what the route to market could or might be what its size might be how the project will seek to explore the market potential.

<p>3. How will the results of the project be exploited and disseminated?</p>	<p>List or describe the potential exploitable outputs of the project such as:</p> <ul style="list-style-type: none"> • products or services • processes • applications <p>Then describe how these outputs will be exploited including, where applicable, the route to market; protection of intellectual property rights; reconfiguration of the value system; changes to business models and business processes and other methods of exploitation and protection.</p> <p>Detail the early, pre-project IP agreement with your partner, addressing the following topics:</p> <ul style="list-style-type: none"> • how you will treat your respective IP entering the project; • how you will treat IP being developed within the project; • how you will treat IP after the project; <p>Note that the IP agreement must reflect a reasonable allocation and a fair return for both partners on their investment.</p> <p><i>Indicate any early agreement with your partner on splitting export markets/ sales /revenue licensing etc.</i></p> <p>Where helpful to the exchange of best practice, and not damaging to commercial interests, the results from this work should be made public on a voluntary basis and a strategy for dissemination of generic outputs from the funded project should be included.</p> <p>PLEASE NOTE: Where UK research organisations are involved in a project and funded for undertaking non-economic activity, we will expect to see evidence in the answer to this question of plans to disseminate their project outputs over a reasonable timescale. The requirement for dissemination of research results intends to secure wider benefit from the higher level of public support given to research organisations. For further information, please click here: https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</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 out of scope.</p>

	<p>For Question 4 applicants must clearly state and give evidence for how their project will:</p> <ul style="list-style-type: none"> • Create outputs to be carried out in the Newton Fund partner country • Create outputs leading to clear and widespread socio-economic benefit for the population of the Newton Fund partner country, <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: http://www.newtonfund.ac.uk/about/what-is-oda/</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"> • is the technical approach and methodology appropriate to the needs of the project and are the innovative steps achievable through the proposed approach? • 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? • is the timing of key milestones realistic? • is there demonstration of sufficient resource commitment and capability to undertake the project? • are clear management reporting lines identified? <p>Describe rival technologies and alternative R&D strategies and describe why your proposed approach will offer a better outcome.</p> <p>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.</p>

<p>6. What is innovative about this project?</p>	<p>Identify the extent to which the project is innovative both commercially and technically.</p> <p>In evaluating this section assessors will consider these questions:</p> <ul style="list-style-type: none"> • does it push boundaries over and beyond current leading-edge world science and technology? • is it looking to apply existing technologies in new areas? <p>Highlight and explain the timeliness and novelty of the research aspects of the project in an industrial and/or academic context.</p> <p>Describe any evidence you have to substantiate your belief that the intended work is innovative. This could include the results of patent searches, competitor analyses, literature surveys, etc. If applicable, you should also outline your own background intellectual property rights, as related to the project.</p> <p>You may additionally consider:</p> <ul style="list-style-type: none"> • What is current "best practice"? • What are current limitations to innovation and how will the project overcome them? This is an opportunity to elaborate on the shortcomings that exist in the proposed area of innovation as a prelude to the description of the innovation and how it can overcome these shortcomings. Current limitations could include: high cost, sub-optimal performance, lack of attention to specific market opportunities, e.g. poor suitability to high-or-low-end markets, size, compatibility, non-conformance to standards, etc; • Diagrams and tables could be included in Appendix B to help describe the innovation. What is the patent situation, including background patents and the potential for new patents? Are there any obligations to other agencies that have supported any part of the innovation development? • Which standards relate to the developed product? Will the proposed product meet current and/or emerging standards?
<p>7. What are the risks (technical, commercial and environmental) to project success? What is the project's risk management strategy?</p>	<p>MDIC 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"> • 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) • state how the project would mitigate these key risks. You should address all significant and relevant risks and their mitigation • identify key project management tools and mechanisms that

	will be implemented to provide confidence that sufficient control will be in place to minimise operational risk and, therefore, promote successful project delivery. This should include the arrangements for managing the project team and its partners.
8. Does the project team have the right skills and experience and access to facilities to deliver the identified benefits?	<p>Describe the track record of the project team members in UK and Brazil undertaking and exploiting the results of research and development projects, to show your capability to develop and exploit the technology.</p> <p>In evaluating this, the assessors will consider whether:</p> <ul style="list-style-type: none"> the project team has the right available mix of skills and experience (in both countries) to deliver the project successfully the project team's formation objectives are clear and if it would have been formed without this funding support there is additional benefit demonstrated from the collaboration, for example, increased knowledge transfer; and if the consortium is greater than the sum of its parts – how the organisations working together will achieve more than if they were working individually.
Section 3: Project costs	(10 points per question = 20 points in total)
Question	Guidance
9. What is the financial commitment required for the project?	<p>Indicate the anticipated project cost making clear the level of contribution from any project participants and the level of funding required from MDIC 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 & development being undertaken within each work package.</p> <p>UK partners: Please see the guidance section of the Innovate UK website for further details on UK funding: https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</p> <p>Brazilian partners: Please see more information on the financial support provided by BNDES and EMBRAPPII at: http://internationalcooperation.mdic.gov.br/content/237/</p> <p>Important (only for UK partners): If the project spans more than one type of funding (for example, because significant work packages</p>

	<p>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"> • Is the budget realistic for the scale and complexity of the project? • Does the financial support from this competition fit within the limits set by the specific competition? • Is a financial commitment from other sources demonstrated for the balance of the project costs? • Has a realistic budget breakdown been provided? • Have any work package breakdowns been described and justified adequately? <p>UK partners: detailed guidance on eligible and ineligible project costs is provided on the Innovate UK website: https://www.gov.uk/government/publications/innovate-uk-completing-your-application-project-costs-guidance</p> <p>Please note: For UK Research Organisations, the costs of Post Graduate Research Students are no longer eligible to be included in project costs. This is in line with current Research Council guidelines. Please refer to the guidance via the above link for further details</p> <p>Brazilian partners: detailed guidance on eligible and ineligible project costs is provided on the BNDES website: http://www.bndes.gov.br/SiteBNDES/bndes/bndes_pt/Institucional/Apoio_Financeiro/Produtos/FINEM/inovacao.html</p> <p>Information on funding by EMBRAPII is provided on the website: http://www.embrapii.org.br</p> <p>Please 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 Innovate UK and MDIC 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&D infrastructure, etc)</p> <p>Please provide evidence that:</p> <ul style="list-style-type: none"> • successful delivery of your project will increase the total amount of money the project team spends on research & development in UK and Brazil <p>And either:</p>

	<ul style="list-style-type: none"> • why the funding is required for the project to be able to proceed or <ul style="list-style-type: none"> • how BNDES/ EMBRAPII / 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 Brazil and the UK <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 Brazilian participants.</p>
--	---

Public description of the project (not scored)	
Question	Guidance
<p>If your application is successful, Innovate UK will publish the following brief description of your proposal.</p> <p>Provision of this description is mandatory but will not be assessed.</p>	<p>To comply with UK Government practice on openness and transparency of public-funded activities, Innovate UK will publish information relating to funded projects. Please provide a short description of your proposal in a way that will be comprehensible to the general public. Do not include any commercially confidential information, for example intellectual property or patent details, in this summary.</p> <p>Whilst this section is not assessed, provision of this public description is mandatory. Funding will not be provided to successful projects without this.</p>

Finance summary table

Column 1 Organisation name	<p>Please provide the full names of the (lead) organisations (both UK and Brazil on separate rows) and any participants in the project consortium (organisation names as noted in Companies House /Brazilian Registration of Corporate Taxpayers (Cadastro Nacional de Pessoa Jurídica - CNPJ) Number on separate rows below.</p> <p>Indicate Parent Organization, if applicable.</p>																														
Column 2 Organisation registration number	<p>UK partner: Companies should provide the Company Registration Number (as noted in Companies House). UK Research Organisations should enter their RC number/Charitable status/legal entity registration number, etc.</p> <p>Brazilian partner: Companies should provide their Brazilian Registration of Corporate Taxpayers (Cadastro Nacional de Pessoa Jurídica - CNPJ) Number</p>																														
Column 3 Enterprise category	<p>UK partner: Please select your Enterprise Category. (SME definition below is based on the EU definition for UK applicants. For other definitions, please check the competition website: https://www.gov.uk/guidance/innovate-uk-funding-general-guidance-for-applicants#funding-rules</p> <table border="1" data-bbox="571 981 1404 1142"> <thead> <tr> <th>Enterprise category</th><th>Headcount</th><th>Turnover</th><th></th><th>Balance sheet total</th></tr> </thead> <tbody> <tr> <td>Medium sized</td><td><250</td><td><= €50 million</td><td rowspan="3">or</td><td><= €43 million</td></tr> <tr> <td>Small</td><td><50</td><td><= €10 million</td><td><= 10 million</td></tr> <tr> <td>Micro</td><td><10</td><td><= €2 million</td><td><= 2 million</td></tr> </tbody> </table> <p>Brazilian partner: Please check your Enterprise Category according to BNDES standards.</p> <table border="1" data-bbox="571 1285 1321 1635"> <thead> <tr> <th>Enterprise category</th><th>Yearly gross operational revenue</th></tr> </thead> <tbody> <tr> <td>Micro</td><td>< = R\$ 2,4 million</td></tr> <tr> <td>Small</td><td>between R\$ 2,4 million and R\$ 16 million</td></tr> <tr> <td>Medium</td><td>between R\$ 16 million and R\$ 90 million</td></tr> <tr> <td>Medium-large</td><td>between R\$ 90 million and R\$ 300 million</td></tr> <tr> <td>Large</td><td>> R\$ 300 million</td></tr> </tbody> </table> <p>For more information on BNDES categories, please visit: http://www.bndes.gov.br/SiteBNDES/bndes/bndes_pt/Institucional/Apoio_Financeiro/porte.html</p>	Enterprise category	Headcount	Turnover		Balance sheet total	Medium sized	<250	<= €50 million	or	<= €43 million	Small	<50	<= €10 million	<= 10 million	Micro	<10	<= €2 million	<= 2 million	Enterprise category	Yearly gross operational revenue	Micro	< = R\$ 2,4 million	Small	between R\$ 2,4 million and R\$ 16 million	Medium	between R\$ 16 million and R\$ 90 million	Medium-large	between R\$ 90 million and R\$ 300 million	Large	> R\$ 300 million
Enterprise category	Headcount	Turnover		Balance sheet total																											
Medium sized	<250	<= €50 million	or	<= €43 million																											
Small	<50	<= €10 million		<= 10 million																											
Micro	<10	<= €2 million		<= 2 million																											
Enterprise category	Yearly gross operational revenue																														
Micro	< = R\$ 2,4 million																														
Small	between R\$ 2,4 million and R\$ 16 million																														
Medium	between R\$ 16 million and R\$ 90 million																														
Medium-large	between R\$ 90 million and R\$ 300 million																														
Large	> R\$ 300 million																														
Column 4 Postcode	<p>Please provide the postcode of each organisation participating in the project.</p> <p>Please provide the full address of each organization participating in the project.</p>																														
Column 5 Contribution to the project	<p>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</p>																														

by each organisation (£)/(BRL)	must be in £ at the stated exchange rate. For Brazilian partners, all figures in cols 5-9 must be in Brazilian Real (BRL) at the stated exchange rate.
Column 6 Funding sought from Innovate UK value in (£)	Please enter the funding sought from Innovate UK for each UK participant organisation in the consortium for this competition. See Col 5 above.
Column 6 Funding sought from BNDES/EMBRAPII value in (BRL)	Please enter the funding sought from BNDES/EMBRAPII for each Brazilian participant organisation in the consortium for this competition. See Col 5 above.
Column 7 Other funding from public sector bodies (£)/(BRL)	Please include any funding for the project from any other public sector bodies that has been applied for separately, and not as part of this 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 Innovate UK and MDIC with information on the total public funding for the project. See Col 5 above.
Column 8 Total (£)/(BRL)	The total cost of the project – this is the sum of columns 5, 6 and 7 and will be entered automatically.
Bottom Row Total (£)/(BRL)	The total of each column will be entered automatically.

3.2 Project appendices for the collaborative application form to be submitted to Innovate UK – applicable to both UK and Brazilian applicants

Appendices are required in addition to the collaborative application form submitted to Innovate UK. **Appendices must be submitted in English alongside the collaborative 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 collaborative application form.

In order that evaluators/assessors can open and read the appendices, **for all collaborative 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
- 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>

If you submit appendices longer than specified below, they will be truncated and the excess discarded. Appendices may be printed or photocopied in black and white, so colour should not be used as the sole method of conveying important information.

Appendix	Guidance
Appendix A Up to 5 sides of A4	Use Appendix A to provide additional information to support Section 1 of the application form: The Business Proposition. You may wish to include graphics describing the nature of the problem, market dynamics and/or exploitation plans.
Appendix B Up to 5 sides of A4 (7 sides of A4 for academic and business applications)	<p>A project plan is mandatory for this application, and must be included in this section.</p> <p>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.</p> <p>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.</p>
Appendix C Up to ½ side of A4 for each partner and subcontractor	<p>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.</p> <p>Academic collaborators may wish to refer to their research standing.</p>
Appendix D Up to 2 sides of A4	<p>This appendix is mandatory.</p> <p>Use Appendix D to demonstrate how the project, as a whole, complies with the Official Development Assistance (ODA) criteria: http://www.newtonfund.ac.uk/about/what-is-oda</p> <p>Please note: If your project is viewed as not compliant with the ODA criteria, it cannot be funded by Innovate UK.</p>
Appendix E Please use template provided	<p>This appendix is mandatory for Brazilian applicants <u>only</u>.</p> <p>Each partner must provide details about the organization background:</p> <ul style="list-style-type: none"> • year established • number of employees and R&D personnel • stage (seed, revenue, pre-clinical, clinical) • corporate group (<i>brief description of the corporate group it might be a part of, other companies controlled by the same group</i>) • core business and areas of expertise; • technology description, main products/services • target customers/market • corporate strategy (<i>Brief description of the long-term vision of the company in relation to its business portfolio and the role of R&D activities for its competitiveness. How the project will impact on the company's corporate strategy?</i>) • IP, Patents • Prior experience in R&D activities (local or international) - <i>Review past projects in R&D and possible results.</i>

	<ul style="list-style-type: none"> • International insertion (exports, rep offices, representatives, subsidiaries etc) • Technology sectors in which the company operate <p>Each partner must provide details about their Innovation Management and Technological Capacity <i>Provide information about the internal capacity of the company to carry out the activities necessary to the project, considering the organizational, managerial, commercial, technological and industrial aspects. Please address the following topics:</i></p> <ul style="list-style-type: none"> • the technical capacity of the company, considering the internal team and infrastructure; • the skills needed to develop the project, but not available in the company, and detail how they will be acquired; • the capacity of the company to absorb the knowledge created. • the investment in R&D in recent years in relation to the company's revenues. • indicate if the company brought to market a product / process / service in recent years (the current billing contribution of products launched in the last five years). • if applicable, highlight the technological partnerships of the company, the degree of formalization and the essentiality to the realization of the project.) • Other comments
--	--

3.3 Project plan

Innovate UK application form/process:

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. For UK partners, a more detailed project plan will be required by Innovate UK for monitoring project progress and should be submitted as part of Appendix B.

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				
Total Effort (Person Days)					XX Participant A YY Participant B ZZ Participant C AA Participant D

MDIC application form/process:

For Brazilian partners, a project plan will be required by MDIC for review and monitoring of project progress.

3.4 Details of financial contribution - UK

In addition to the collaborative application form and appendices, you must submit a finance form for every UK 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 (£).

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. 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>

3.5 Details of financial contribution – Brazil

In addition to the collaborative application form, Brazilian partners seeking BNDES support in the Innovative SME Program must also fill in the **Annex 1** information, the Economic-Financial Indicators.

In addition to the collaborative application form, Brazilian partners seeking BNDES support in the Innovation Support Line must also, for BNDES usage, fill in the **Annex 2** information, namely, (i) *Informações para análise cadastral e risco de crédito*; (ii) *Indicadores econômicos e financeiros*; (iii) *Quadro de Usos e Fontes*.

The information for the cadastral analysis and credit risk assessment at the BNDES should be completed and filed electronically through the On-Line Protocol system for Cadastral Information and Credit Analysis in <https://web.bndes.gov.br/FichasCadastrais/FCE> per the guidelines in the Annex. **It should be noted that this information is subject to banking secrecy by BNDES.**

The *Pessoa Física* and *Pessoa Jurídica* files that need to be printed, signed and notarized along with the Cadastral Analysis Cover page - CAPA should be forwarded to BNDES to the following address:

Edital de Cooperação Internacional Brasil-Reino Unido
Banco Nacional de Desenvolvimento Econômico e Social – BNDES
Área de Planejamento e Pesquisa – APP
Departamento de Prioridades – DEPRI
Av. República do Chile, 100 – Protocolo – Térreo
20031-917 – Rio de Janeiro – RJ

Obs: Documentation sent to BNDES' representatives will not be accepted.

After the notification of approval in the call, Brazilian companies wishing to apply for direct funding from the BNDES (R\$ 1 million onwards) should present the following documents listed in the **Annex 3**:

- i. Social and Environmental aspects related to the Company;
- ii. Social and Environmental aspects related to the Project;
- iii. Job Creation;
- iv. Guarantees.

The documentation listed above should be sent in hard copy and in recorded electronic media, to the same address above.

3.6 Additional information for UK applicants

As stated in this Guidance for Applicants document, all Brazilian business applicants must complete Appendix E. Appendix E is sent to BNDES to be reviewed as part of the approval process in Brazil. Any UK application involving Brazilian business partners may be contacted directly by BNDES to request further information on each UK partner. UK applicants will not be asked to provide more information than has been requested from Brazilian business partners in Appendix E.

This information is required by BNDES as part of the internal Brazilian loan approval process.

Under EC Directive of sharing of information with countries outside of the EU, an assessment has been made with BNDES to ensure that they comply with adequacy rules on protecting information

from outside of the EU. All information provided by each partner in the consortium is protected under banking secrecy rules.

Please note: in the first instance the UK Project Lead will be contacted by BNDES to obtain contact details for all relevant UK partners.

3.7 Exchange rate & contact information

For the purposes of this competition. The stated exchange rate UK £ to Brazilian Real (BRL) is:

1 GBP = 4BRL

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

Contact information

MDIC	UNITED KINGDOM
http://internationalcooperation.mdic.gov.br/	https://www.gov.uk/government/organisations/innovate-uk
MDIC International Cooperation on Innovation Email: internationalcooperation@mdic.gov.br Phone: +55 61 2027-8223 BNDES http://www.bndes.gov.br/faleconosco 0800 702 6337 (Brazil toll free) EMBRAPII International Cooperation Email: assessoria@embrapii.org.br Phone: +55 61 2196 7738	Customer Support Services Innovate UK North Star House North Star Avenue Swindon Wiltshire SN2 1UE Email: support@innovateuk.gov.uk Customer Support Services: 0300 321 4357 (Monday-Friday, 9am-5:30pm GMT)

Intellectual Property and doing Business in UK/Brazil

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

Sheila Alves | Senior Intellectual Property Advisor

UK Intellectual Property Office | The Science & Innovation Network (SIN) – Brazil

British Embassy | SES quadra 801 conj. K | Brasilia, Brazil | 70408-900

Tel: +55 (61) 3329 2316 | Email: sheila.alves@fco.gov.uk | <http://www.gov.uk/ipo>