



*Ministero degli Affari Esteri
e della Cooperazione Internazionale*

**MINISTRY OF FOREIGN AFFAIRS
AND INTERNATIONAL COOPERATION
GENERAL DIRECTORATE FOR COUNTRY PROMOTION
ITALIAN REPUBLIC**



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Department of Science and Technology
Ministry of Science and Technology
Government of India

ITALY - INDIA

Collaborative Industrial Research & Development Program 2019

CALL FOR THE SUBMISSION OF JOINT PROJECT PROPOSALS

Closing date June 28th, 2019

BACKGROUND

Within the framework of the Agreement on Scientific and Technological Cooperation between the Republic of India and the Italian Republic, signed in New Delhi, on 28th November 2003 and entered into force on 3rd November 2009, the Department of Science and Technology, Ministry of Science & Technology, Government of India and the Directorate General for Cultural and Economic Promotion and Innovation of the Ministry of Foreign Affairs and International Cooperation of the Italian Republic, have created funding mechanisms through which companies may seek support for joint India-Italy research and development (R&D) projects and other activities intended to generate new or expanded research and technology-based partnerships between the two countries. This India-Italy program aims to foster and support the development of collaborative R&D projects that bring together companies, research organizations, academics and other collaborators from both countries for the joint development of innovative products or processes. It aims to stimulate innovative R&D projects that address a specific market need or challenge; demonstrate high industrial relevance and commercial potential; and aim to deliver benefit to all participants, and more broadly, to both nations. These projects help participants to become more competitive by developing global research-based alliances with the potential to foster increased or expanded international R&D collaboration.

FUNDING SCHEME

In India the project lead and other project partners such as R&D Organisations and Academia are eligible for funding support.

On behalf of the Department of Science & Technology (DST), Government of India, the Global Innovation & Technology Alliance (GITA) will provide funding and other services to Indian project partners. *(Please refer to Annex – 2 for more details)*

In Italy the project lead only, will receive the financial support from Italian Ministry of Foreign Affairs and International Cooperation. Other project partners such as R&D Organisations and Academia must be paid as sub-contractors by the project lead.

Funding and other services to Italian project partners will be provided by the Directorate General for Cultural and Economic Promotion and Innovation (DGSP, Unit IX) of the Ministry of Foreign Affairs and International Cooperation (MAECI), of the Italian Republic

AREAS OF COOPERATION

Department of Science & Technology (DST), Government of India and Directorate General for Cultural and Economic Promotion and Innovation (DGSP) of the Ministry of Foreign Affairs and International Cooperation of the Italian Republic, invite proposals in collaborative industrial research and development projects in following areas:

- Advanced Manufacturing and Materials
- Aerospace
- Clean Tech (Renewables, Water, Environment)
- Internet of Things (Smart Mobility, Smart Cities, Smart Manufacturing, Precision Agriculture etc.)
- Technologies for Cultural Heritage

Projects submitted in other research areas will not be considered for evaluation.

KEY DATES

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

The deadlines below are absolute and final. Please, note the submission deadlines. Any application received after this time will not be accepted.

Opening of the Request for Proposals	January 16, 2019
Closing of the Request for Proposals	June 28, 2019
Evaluation Process Completion (Country Specific & Joint)	August 2019

Anticipated release date of Request For Proposal results	October 31 2019
Start date of projects	January, 2020

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.

ELEGIBILITY CONDITIONS

- Each proposal must include:
 1. An **Indian** Project Lead (**IPL**), responsible for the Indian application submission, leading the Indian part of the project and communicating with the Italian Project Lead.
 2. An **Italian** Project Lead (**ITPL**), responsible for the Italy application submission, leading the Italian side of the project and communicating with the Indian Project Lead.
- Collaborations must be business-led in both sides
- The Indian partner must be a commercial company that operates in and is headquartered in India. Academic institutions, research hospitals, other R&D institutes (including not-for-profit research institutes recognised by DST/GITA) having the HQ and operating in India are encouraged to participate in the projects as co-investigators/partners. *(please refer to Annex –2 for more details)*
- The Italian partner must be an industrial entity (company) running activities of R&D. In the case of an industrial entity without a mandate in R&D, it must collaborate as partner in the research activities with a non-industrial entity (university, research center, etc.). SMEs that apply in collaboration with a research partner as stated above, innovative start-up companies and certified incubators (as defined by art. 25 of Italian DL 179/2012) or innovative SMEs (as defined by art. 4 of Italian DL 3/2015) have priority in the selection assessment *(please refer to Annex –2 for more details)*.
- The Italian and Indian partners must express their willingness to cooperate, on a balanced basis, towards the development of a new product, industrial process or service.
- Applicants are required to submit an identical common application form, plus country-specific information to GITA (in India) and MAECI (in Italy) to request funding for the proposed R&D project. GITA and MAECI will implement an integrated, merit-based project evaluation and selection process.

- **Note:** Applicants are entitled to submit only one proposal in each Request for Proposal cycle. Multiple application submissions by same IPL / ITPL will not be considered. Further multiple projects being executed concurrently under DST/GITA programmes will be discouraged.

PROJECT REQUIREMENTS

The project content and budget should be well balanced between the Italian and the Indian partners.

Cost estimates must be congruous with the planned activities.

Please provide a detailed list of the background intellectual property (IP) brought into the project by all participants. The proposal must describe, to the best extent possible, the new IP which is expected to result from the project and must address the proposed treatment of all the intellectual property. This includes the ownership of new IP and sharing of the new IP between the participants. Any IP agreement between the participants must respect the IP laws of each country along with the IP policies of the academic and other research institutions involved in the project. A signed Consortium MoU/Agreement including IP terms between the lead participants from the respective countries in the project must be submitted before **Step 1** (i.e. National level of Evaluation).

A collaboration proposing an R&D project that meets the requirements in this section is eligible to apply to this Call for Proposals and does so in accordance with the national laws, rules, regulations and procedures of their jurisdiction or country.

Any team proposing an R&D project that addresses the requirements detailed below is eligible to apply to this Call for Proposals:

- An Indian registered company Project Lead (**IPL**), responsible for the Indian application submission, leading the Indian part of the project and communicating with the Italian Project Lead
- An Italian registered company Project Lead (**ITPL**), responsible for the Italy application submission, leading the Italian side of the project and communicating with the Indian Project Lead.
- A minimum of 50% of the total project costs must be incurred by the business partners (Italy and India).
- The duration of the Project should be between 18 and 24 months.
- Projects should be at a minimum Technology Readiness Level (TRL) stage of “6”.
- Projects must be innovative and market-driven, leading to the proposed development of a new product or process or new/improved services, leading to ultimate commercialisation.
- Proposals must demonstrate the joint India-Italy project team’s capacity to manage the proposed project in their respective countries.
- Projects must articulate clear commercial goals and associated commercialisation

strategies; Building on the principles of a true bilateral partnership, all projects should demonstrate equivalence in effort from the Indian and Italian partners.

- Applicants already possess basic infrastructures/test beds, prototype and developed basic Proof of Concept (PoC).
- Projects must be drafted in English.

Although it is not mandatory, projects that engage an end-user/first customer are strongly encouraged in either side of the consortium.

If successful, project consortia will be expected to demonstrate that all partners contributing to the R&D project have agreed on IP Rights and the commercialisation plan as part of the final grant agreement process.

Any partner whose cooperative R&D project is consistent with the aforesaid criteria can apply to the present Call in accordance with the national and/or regional Laws, Rules, Regulations and Procedures in effect.

For projects involving living organisms and humans, it is the responsibility of the investigator to ensure that all facets of animal care and use meet the requirements of the International Code of Practice for the Care and Use of Animals for Scientific Purposes. This includes a responsibility to protect and promote the welfare of animals used. Institutional ethics committee approval and informed consent are obligatory parts in all interventional studies (human or animal).

PROCEDURES FOR THE SUBMISSION OF PROPOSALS

A full proposal consists of:

- a description of the working teams;
- a description of the research activities that the teams intend to carry out within the project timeframe;
- a detailed description of the costs of the project.

For Italian Applicants:

The Italian partner has to provide the annexed application form, signed by the legal representative of the Company and a copy of the signed Consortium MoU/Agreement including IP terms between the lead participants from the respective countries, by email to the following address: dgsp09.pec@cert.esteri.it

Any inquire about the call can be sent to: dgsp-09bandi1@esteri.it

For Indian Applicants:

- The Indian Project Lead visit GITA website under the **India-Italy Collaborative Industrial R&D Program 2019**.
- Applicants will be able to access and download the RFP forms and common guidelines and other requisite documents from above mentioned link.
- Refer to a subsequent section on “Key Dates” for submission of the requisite application/RFP forms.

- Please ensure your Italian counterpart has also submitted the common & identical Application Form to MAECI, as per MAECI process.
- The application must reflect a combined effort from both the ITPL and IPL, be written in English, and using the prescribed process by the stated application submission.

(Please also refer to Annex – 4 for more details)

PROJECT EVALUATION AND SELECTION

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

Eligible proposals will undergo to a two-step evaluation process.

STEP 1.

Projects first will be evaluated at the national level according to the following criteria:

1. Technology maturity stage / proof of concept
2. Technical Capability (team, infrastructure etc.)
3. Ability to deliver/complete the project
4. Financial Capability/Health of the project
5. Project Balance in terms of costs and efforts between the IPL & ITPL
6. Commercialisation Capability.
7. Novelty of Product / Technology
8. Novelty of process / functionality /integration/service
9. Potential of Business and Commercialization success with reference to Target Market
10. Expected economic results from the accomplishment of the project.

(Please also refer to Annex – 5 for more details)

STEP 2.

Following completion of the independent assessment processes described above in India and Italy, a joint review committee will be held, comprising representatives from the Indian and Italian funding agencies. Final decisions on joint approvals will be made at that time. DST/GITA and DGSP IX/MAECI will then together identify the final list of successful applicants. Selected projects will be included in the Executive Programme and will be eligible for funding.

Ineligible/Rejected Applications:

- Applications that do not meet the stated Request for Proposal eligibility criteria, as set out in this document

- Project proposals that are not written in the prescribed template, e.g. Hand-written, or submissions not compliant with these guidelines.
- Applications submitted to the incorrect organisation or use the incorrect application form for the Request for Proposal.
- Registration and Application submissions that are not compliant with the on-line template
- Applications in which only one side (i.e. one country) has contributed its part of the proposal/application.

COMMUNICATION OF RESULTS

Italy: The list of the selected proposals and the funding procedures will be published exclusively on the website of the Italian Ministry of Foreign Affairs and International Cooperation, at the following address:

http://www.esteri.it/mae/it/politica_estera/cooperscientificatecnologica/programmiesecutivi/accordi_programmi_culturali_tecnologici.html

Only the contact person of the selected projects will be directly informed.

India: GITA will communicate the final decision to all the IPL applicants. The list of the awarded projects will be published on the website of GITA: www.gita.org.in

CONTACT INFORMATION

Italy

Ministero degli Affari Esteri e della Cooperazione Internazionale

D.G.S.P. IX

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India

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4th Floor, IGSSS Building, 28, Institutional Area, Lodi Road, New Delhi – 110 003

Email: deepanwita.mukherjee@gita.org.in

ANNEX 1 - ABOUT THE FUNDING & IMPLEMENTATION AGENCIES

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

The Department of Science & Technology (DST) of Government of India was established in May 1971, with the objective of promoting new areas of science & technology (S&T) and to play the role of a nodal department for organising, coordinating and promoting S&T activities in the country. The Department of Science & Technology has an important role in building a strong base for research, development and demonstration in India and in addressing national concerns about strengthening science and technology. DST, as a national agency for strengthening the base of science and technology in the country, has made a sincere attempt to address national concerns of India in basic research.

For more information about DST, please visit www.dst.gov.in

Global Innovation & Technology Alliance (GITA)

GITA is a “not-for-profit” Public Private Partnership (PPP) company promoted jointly by the Confederation of Indian Industry (CII) with 51% holding and the Technology Development Board (TDB), Department of Science & Technology (DST), Government of India (GoI) with 49% holding.

GITA is a unique platform of the Government and Indian industry for attracting industrial investment in technology by mapping technology gaps, evaluating technology offers across the globe, connecting with technology developers, providers, commercializers, and funding technology development with a go-to market approach.

For more information about GITA, please visit www.gita.org.in

Directorate General for Cultural and Economic Promotion and Innovation of the Ministry of Foreign Affairs and International Cooperation of the Italian Republic

The **Directorate General for Cultural and Economic Promotion and Innovation** (DGSP - Direzione Generale per la Promozione del Sistema Paese) is responsible for the coherent and unitary promotion of several components of the Italian Economic System (economy, language and culture, science and technology), including the activities of Regional authorities and of other autonomous local authorities.

The Directorate assures support to the country's production system, research, university network and the activities of the Regional authorities and of other autonomous local authorities; collaborates with public and private players in promoting initiatives to attract foreign investments; promotes the Italian language, culture and scientific research abroad, also through the network of Italian Cultural Institutes, Italian schools abroad and scientific attachés, and manages the funds allocated to Italian archaeological missions around the world. It also coordinates the position of Italy in multi-lateral cultural cooperation and manages the valuable artistic heritage of the Palazzo della Farnesina Art Collection.

The Unit IX within the Directorate for Innovation and Research, under the Directorate General for Cultural and Economic Promotion and Innovation of MAECI, promotes International bilateral cooperation in research and technological innovation, in order to support the Italian scientific and technological system abroad.

ANNEX 2 – PROJECT COMPOSITION

Applicants from India

The Indian Project Lead (IPL) (i.e. lead company) must be a commercial company that operates in and is headquartered in India. (We expect researchers or managers of these companies to be the nominated applicant.) Academic institutions, research hospitals, other R&D institutes (including not-for-profit research institutes recognised by DST/GITA) that are headquartered and operate in India are encouraged to participate in the projects as co-investigators/partners.

Specific criteria for eligible applicants are as follows:

1. The Indian Project Lead (IPL) company applying for the project must be incorporated in India under the Companies Act 1956/2013.
2. At least 51% stake of the IPL Company must be owned by Indian citizens.
3. The IPL should have the required expertise and team capacity to manage the proposed project.

Please note for Indian applicants:

- Sole proprietors and partnership firms are not eligible for support under this programme.
- Companies headquartered and owned outside India and their subsidiaries in India, or vice versa, are not eligible to receive funding from DST/GITA under this program.

Preferences will be given to:

- Indian companies having partnership with government-funded Indian academic and R&D institutions.
- Indian companies having in-house R&D Centre which is recognised by the Department of Scientific and Industrial Research (DSIR), Government of India. For details, please refer to <http://www.dsir.gov.in/forms/irdpp/Application%20for%20R&D.pdf>.
- Companies that fall under the Micro, Small and Medium Enterprise (MSME) category, as defined by the Government of India. For definition of MSME, please refer to http://www.dcmsme.gov.in/ssiindia/defination_msme.htm.

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

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

Applicants from Italy

The Italian Project Lead (ITPL) (i.e. lead company) must be an industrial company that operates in and is headquartered in Italy and is able to carry on R&D activities. In the case the applicant is not able to perform R&D activities, it can collaborate with an academic institution or research institute (including not-for-profit research institutes recognised by the Italian Government) that is headquartered and operates in Italy, as co-investigator/partner.

Specific criteria for eligible applicants are as follows:

1. At least 51% stake of the ITPL Company must be owned by Italian citizens.
2. The ITPL should have the required expertise and team capacity to manage the proposed project.

Please note for Italian applicants:

- Sole proprietors and partnership firms are not eligible for support under this programme.
- Companies headquartered and owned outside Italy and their subsidiaries in Italy, or vice versa, are not eligible to receive funding from DGSP IX-MAECI under this program.
- The funding to the Italian Company must comply with the *De minimis* rule enforced in the European Union.¹

Preferences will be given to:

- Italian companies having partnership with government-funded Italian academic and R&D institutions.
- SME companies that apply in collaboration with a research partner
- Innovative start-up companies and certified incubators (as defined by art. 25 of Italian DL 179/2012)
- Innovative SMEs (as defined by art. 4 of Italian DL 3/2015).

¹See the Commission regulation (EU) no. 1407/2013 of 18 December 2013 on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to *de minimis* aid

ANNEX 3 – FUNDING

DST/GITA and DGSP IX - MAECI will implement an integrated, merit-based project evaluation and selection process using their existing assessment processes. DST/GITA and DGSP IX- MAECI 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.**

Funds will be provided in accordance with the applicable laws, rules, regulations and procedures established by each organisation, and/or in each jurisdiction/country.

Although the individual type and value of individual contributions allocated to an Indian / Italian R&D project may vary, each bilateral project must demonstrate equivalent total effort from each participating country.

Financial support - India

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

- Total project funding of up to 50% of Indian Project budget as “Royalty Based Conditional Grant” for Indian applicants is a maximum of INR 150 lakhs per project.
- Indian industry may receive up to 50% of their part of the eligible cost on a reimbursement basis, for costs already incurred on a proportionate basis.
- Indian R&D organisation/academic institution may receive up to 100% of their costs (within applicable range specified above and as per proposal) on a reimbursement basis for costs already incurred.
- DST funding support for the project must be matched equally (1:1) by Indian Industry and R&D organisation/academic institution.
- The funding award will be basis appropriate due-diligence and expert evaluation.
- Funding from other public sector sources will be taken into account when awarding grant, and applicants will be asked to declare funding from other sources in the application.

Financial Support in Italy

The contribution assigned by the MAECI is a maximum of 200.000 Euros per project and will be paid as follows:

Upon request by the applicant, exclusively under the following terms and conditions

- a) One year after the formal acceptance of the contribution;
- b) Presenting a letter to the MAECI, that requires a payment of a maximum of 50% of the total granted contribution, for eligible costs already incurred on a proportionate basis.
- c) Submitting the necessary documentation proving the coherence of the first-year implemented project activities, compared with the project approved proposal.

- d) After submitting the documentation proving that all planned activities have been carried out, the amount payed by MAECI at the end of the project (the final payment), cannot exceed the 50% of the total Italian contribution for the project.

ANNEX 4 – APPLICATION SUBMISSION

Application Submission in India

1. Registration and submission of application

- The Indian Project Lead visit GITA website “under the India-Italy Collaborative Industrial R&D Program 2019”. Refer to the section “Key Dates” in this document.
- Registration Process at GITA website:
 - Registration is two stage process
 - Stage I - Registrant needs to provide basic information.
 - Stage II – The system will send a Login ID and Password to the email ID provided, and ask for completion of registration.
 - Upon completion of registration, registrants will receive an auto-generated email/SMS acknowledgement shortly after, confirming the registration along with registration number.
- Application Submission Process:
 - Indian Project Lead needs to submit the Application online (no other mode of submission will be accepted) as per deadline.
 - Login with the same ID and password, used for Downloading for Guidelines & Application Form.
 - Complete and submit the desired Application Form by the deadline.
 - Upon Application submission, the system will send auto-generated SMS/email acknowledgement to IPL, along with application reference number.
 - Please upload the necessary documents as per deadlines as per requirements.
 - For multiple applications, IPL needs to contact GITA Program Coordinator (contact details given below).
- The Indian project lead must ensure that the content of the application form is identical to the one being submitted to MAECI by the Italian project lead.
- The application must reflect a combined effort from both the ITPL and IPL, be written in English, and submitted using the prescribed process by the stated application submission.
- Only online mode of submission will be accepted.

2. Additional supporting documents required

In addition to submitting the Application Form and its appendices, the Indian Project Lead (IPL) will also be required to submit/upload the following:

- Where the IPL/Partners are recognised by the Department of Scientific and Industrial Research (DSIR), Government of India or any other competent authority as an in-house R&D unit, supporting document for the same.
- Know Your Customer (KYC) documents of IPL/Partners.
- Copy of the Company Registration Certificate of IPL/Partners.
- Audited Annual Reports (including Balance Sheet, Profit & Loss Account &

Auditor's Reports) of IPL/Partners for the last three Financial Years. Annual Report can be exempted in case of institutions managed by a Government Agency.

The above list is indicative and GITA, in India, may seek additional documents/information from individual project applicants.

3. Administrative and legal requirements to be addressed by Indian Project Lead prior to the release of funds

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

Post project approval, as per the recommendations and approval on the project, the Indian Project Lead (IPL), as an Industry lead and its other Indian partners will be supported with grant as per the terms and conditions of the agreement.

If successful, as part of the final grant agreement process, projects will be expected to provide:

- Copy of a Memorandum of Understanding (MoU)/collaboration agreement (along with IP sharing agreement, if any) between all Indian Project Partners (as applicable), clearly specifying the roles/responsibilities/ deliverables of each of the project partners.
- Collaborative Agreement between the Indian and the Italian Project Partners along with IP sharing agreement (if any).

Grant will be in the form of reimbursement for costs already incurred. Project partners are expected to- use their own funds for the project activity and seek quarterly reimbursement of GITA's committed fund on proportional basis.

Release of the first instalment will be subject to compliance with all terms and conditions, which include Due-Diligence, signing of the agreement, etc. The subsequent funding/ instalments to the Indian project partners will be released as per the (a) agreed milestones and deliverables laid down in the agreement between GITA and IPL and (b) on-site periodic project review by Experts nominated by GITA.

A Project Review and Mentoring Committee, comprising of Technical and Financial Experts, shall be constituted by GITA for the purpose for providing advice/support towards achieving the defined objectives of the project within the time and costs projected.

4. Royalty payments – for Indian participants

On successful completion of your project, Royalty will be collected minimum @ 2% per annum on Net Sales generated from the funded project from Indian Project industry partner(s) subjected to maximum recovery of the amount equal to the Sanctioned Grant to only industry partner(s).

Sales for this purpose shall be defined as net annual sales, and should be calculated

as gross sales minus excise duty and sales tax for the corresponding financial year.

Royalty for each financial year shall be payable to GITA by the Indian Industry Partners within 30 days of close of the corresponding financial year. For this purpose, the Indian Industry Partners shall submit an Auditor's certificate for the corresponding period of the financial year for calculating royalty. In case of delay in payment of royalty, the Indian Industry Partners shall be liable to pay simple interest at the rate of 12 percent per annum on the amount of default in payment of royalty. The Indian Industry Partners shall pay the actual amount of royalty calculated as above.

5. Type of cost supported by GITA

Please refer to the Project Cost Guidelines at (<http://gita.org.in/OnlineRfp/ProgramInfo.aspx?ProgramId=13>) for full information on what can and cannot be funded under this competition.

The following can be funded:

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

Application Submission in Italy

1. Submission of application

The Italian Project Lead needs to download and complete the Application Form (Annex A) that can be found on the same website as the Call (http://www.esteri.it/mae/it/politica_estera/cooperscientificatecnologica/avvisiincaricobandi.html).

The Italian Project Lead must ensure that the content of the application form complies with the one being submitted to GITA website by the Indian Project Lead.

The completed Application Form and a copy of the signed Consortium MoU/Agreement including IP terms between the lead participants from the respective Countries must be sent to the following email address: dgsp09.pec@cert.esteri.it.

2. Additional supporting documents required

If successful, the ITPL must send the documents requested by the Italian regulations in force.

ANNEX 5 – THE APPLICATION FORM & SUBMISSION DOCUMENTS

The purpose of this document is to provide applicants with guidance about how to develop a strong application for the bi-lateral R&D program managed by GITA and MAECI. This includes relevant information to help potential applicants in understanding the various processes and steps needed to complete a funding application. They should apply notwithstanding the specificity of the partner country or the targeted priority sectors. GITA and MAECI funding applications are usually accepted through specific Request for Proposal (RFP) Announcement. Additional details related to partner country, targeted priority sector(s), and participation of additional funders, will be clearly described in each Request for Proposal Announcement. Potential applicants are invited to regularly visit the GITA and MAECI web sites, and to sign up online to receive instant GITA and MAECI information to find out when the new RFPs are released.

1. The Innovation

- What is the current "best practice"?
- What are the current limitations? 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.;
- What is the idea? Sketches, diagrams and tables could be included to help describe the innovation. This description should clearly identify in what way(s) the innovation overcomes current limitations. How the idea overcomes these limitations is to be contained in this section;
- How much will the proposed program cost and how long will it take to develop the product to the point of commercial readiness?
- What is the patent situation, including background patents and the potential for new patents? Are there any obligations to other agencies which have supported any part of the innovation development?
- Which standards relate to the developed product? Will the proposed product meet current and/or emerging standards?

2. Proposed R&D Program

This section of the proposal could be organized in two parts: "Analysis of the Problem" and "Proposed Approach".

a) Analysis of the Problem

The purpose of this section is to establish a credible basis for the proposed RDI program, with the intent of identifying specific problem areas. These are the problems or challenges that need to be overcome in order to achieve the program objectives. For example, at the start of the project, the companies and participants are at Position A, which relates to the current limitations highlighted in the preceding section. By the end of the project, at the point of commercial readiness,

the companies and participants expect to be at Position B. What specific problems must be solved or overcome in order for the companies to reach Position B, consistent with the project budget and timetable? Clearly, these problems and their resolution should have been considered by the participants in formulating their Proposed Approach and in defining the Program Plan.

The problems may focus on a variety of technical issues – for example, how to achieve lower power consumption or higher circuit speed with data indicating both the current situation and the target values for the innovation. Process challenges may include how to enhance measurement accuracy; improve manufacturing yield; make the software platform-independent; automate a process, etc. Product targets may relate to issues such as the design of a more streamlined system with fewer parts, improved temperature performance, greater reliability, smaller footprint, enhanced market appeal, or greater flexibility. In some cases, the problems may relate to the need for fundamental technological breakthroughs in order to develop a currently non-existent product. In others, for example, the technological problems may be relatively straightforward, with key issues relating to product integration into an existing line or management of a complex, inter-disciplinary, multi-task project.

Additional items to be addressed in this section may include:

- Definition of the required properties and functions of the end-product that will be used in the service environment. Often, this is referred to as "the specifications sheet". This is the "Position B" referred to previously in this section. What market input has contributed to formulating the end-product characteristics?
- Identification and description of problems associated with realizing the required properties and functions. This is an in-depth discussion of the problems that must be solved in order to achieve the program's objectives. The participants should confirm that any critical technologies required are firmly under control.

b. Proposed Approach

This section must be sufficiently detailed for expert reviewers to assess the approach being followed for the research. It should include:

- A general plan of the proposed effort setting the stage for the more detailed task descriptions. This overall plan includes the achievements that will make it possible to realize the program's objectives;
- Any technical or economic constraints;
- Identification and detailed description of each task. This is the heart of the technical part of the proposal, stating the objective for each task and identifying the participant with primary responsibility for the task;
- Describe - for each task - the specific approach that will be employed, i.e., detail the techniques to be used to solve the previously identified problems. In this section, the participants demonstrate that they are aware of current best practice, its limitations and the opportunities inherent in the proposed innovation. As well, this section should demonstrate that the proposer understands the problems associated with developing the idea of commercial readiness;
- Discuss alternate approaches to resolving problems and the basis for selecting the preferred solution. Even if a preferred solution has not yet been determined,

- the various alternatives should be reviewed along with their relative merits;
- The detailed description of the technical approach should provide the reviewers with sufficient information to perform a meaningful review of the proposal. For each task, provide supporting information that justifies the specific approach, where appropriate;
 - Since the final objective is a product or process, tasks addressed should include compliance to standards (or why the product will not comply with applicable standards), prototyping, regulatory approvals, exhibitions, marketing activities, documentation, etc. Again, for those tasks relating to "testing", for example, details should be given as to what is to be tested, how many tests are needed, test objectives, test methodology, expected results, etc.

3. Program Plan

Should the project be approved, the Program Plan section of the proposal will be incorporated into the Project Funding Agreement and will be used by GITA and MAECI in monitoring/mentoring project progress. For projects with duration 18 months or less, the effort should be organized into one project period. For longer projects, the effort should be organized into two periods of roughly equal duration. Note that regardless of the project duration, progress and financial reporting will be required every six months, if not earlier.

The Program Plan should consist of:

- A chronological schedule of program activities presented in graphical form, clearly indicating the estimated time required for the completion of each task in addition to milestones. Specific participant assignments for each task should be identified in the Program Plan even if this information was provided elsewhere, and task assignments for subcontractors and consultants should be delineated;
- A one page summary Gantt chart;
- A Work Breakdown Structure (WBS) detailing the planned time commitment for each task, covering the same project duration (see example in Table 1);
- And encompass the entire duration of a multi-period program, including all activities that must be performed until commercial readiness.

4. The Market

Although there are uncertainties implicit in predictions of future markets and possible competition for any new product or process, it is important to demonstrate that the participants have made a thorough analysis of the market. Such an analysis can typically include the following considerations:

- What market needs are served? Are one or more participants currently active in developing, manufacturing and selling similar types of products in this market? What is the basis for this market need?
- What is the total addressable market for the product? What is the current position of the participants in this market? What is the expected growth of this market over the effective sales window of the product being developed, and what is the basis for this projection? What events could significantly alter this projection? What

market share is expected to be captured in the year of market entry and over the product sales lifetime?

- What barriers, e.g., regulatory, might be encountered, and how will they be overcome?
- What competition exists or do you expect in the future? Provide an evaluation of the impact of competition on the commercialization of the proposed product.

This is not a complete list. The basic message is that developing innovative concepts for commercial gain is an intrinsically risky, uncertain, but occasionally highly rewarding undertaking whose prospects of success can be immeasurably improved by finely tuned, objective and early planning. The participants should present whatever additional information they consider relevant.

5. Commercialization – Plans and Prospects

It is obviously beneficial to those making investment decisions regarding new technology if a single index can be derived which provides a "figure of merit" for deciding on a particular investment, or for evaluating various alternatives.

A preliminary financial analysis which includes the potential gain from successful implementation of the proposed project should be made using a Cash Flow Analysis approach of your choice.

Should the project prospects be encouraging, the commercial program needs to be planned and implemented? Some of the questions to be discussed are:

- Will the participants be engaged in production? What are the existing manufacturing facilities and how can the proposed product manufacturing be incorporated into the existing infrastructure?
- Who will sell to which market regions? What is the current sales level of the participants in the primary target regions for the proposed product?
- Do any of the participants currently have a suitable sales and service network? If there is such a network, it should be described. Alternatively, does such a network need to be created from scratch? Describe the process by which the participants plan to establish such a network and the resources required;
- Considering the maximum cash requirements based on the cash flow analysis, to what extent are the necessary resources - financial or otherwise - available within the participating companies? If any additional resources will be required, how will they be mobilized? Describe all relevant potential sources.

6. Cooperation and Benefits

The clear expectation of risk and benefit sharing by participants during product development and commercialization is essential under this program. An important factor in evaluating the proposal, therefore, is the extent to which the participants will share in the research, product development and introduction to the marketplace, as well as the benefit to be derived by each participant during product commercialization. Also of importance are the expected socio-economic benefits in each participating countries in the form of new export markets, new employment opportunities, new capital formation, productivity improvements, etc. and including also societal benefits (economic and growth, environmental, welfare and social equality)

Please elaborate these issues in the context of the agreement between the participants with respect to their agreed-upon roles during the various project stages including the commercialization process.

If there are plans for exchange of young researchers involved in this project, please indicate the length of exchange and the role(s) to be played in the RDI activities. Also explain how the exchange of young researchers adds value to the project goals.

7. Organization and Management Plan

This section should contain a presentation of the proposed management procedures for the program, including the internal review procedures and overall management plan that will ensure, barring unforeseeable circumstances, implementation to design specifications, on schedule and within budget.

- Describe the procedures to be implemented to maintain timely communications between lead participant's project team in each country. Indicate the role of review meetings (when, where, for what purpose, with whom) during the project;
- Provide an organization chart for the project, identifying each participant's project leader and the overall program manager, and indicate the relationship of this ad hoc organization to the formal hierarchies in the participant's organization. Identify the program's key project personnel and their responsibilities;
- Regarding staff - indicate positions to be filled by new employees and identify the status of these staff;
- Identify the role of key consultants and subcontractors on the organization chart and indicate if a relationship between the consultants/subcontractors and the participants currently exist.

8. The Participants and the Project Personnel

In the final analysis, the determining factors in the successful commercialization of innovation are the people and the participating companies involved. Please provide information about each of the participants, including the following:

- In the case of company participants, please provide the year in which each company was established, company ownership and principal business of each company;
- Record of performance in similar/related undertakings. Describe the extent to which products similar or related to the proposed innovation have been developed and commercialized. What is the track record or history of each participant that also substantiates a positive prognosis for this proposed product's successful commercialization?
- Degree to which the proposed project can be absorbed into the existing structure of each participant. To what extent are the staff, equipment, facilities, etc., available for the project? Identify the need to hire staff, obtain (purchase, lease or rent) capital equipment, or expand manufacturing operations;
- Relationship of the proposed project to other participant projects that receive/have received support from any outside agency for development of the proposed innovation;
- In the case of company participants, the financial information validating that the

companies cannot only contribute their share of the project cost, but have the resources available for the commercialization phase. Public companies can submit annual and quarterly reports rather than specially prepared information. At a minimum, annual revenues expected during the current fiscal year and realized during each of the last two fiscal years should be given, in addition to an indication of the profitability of the company participant during this period. Number of employees at home, at field locations and abroad should be given, along with an indication of changes in the employment picture during the past two years;

- Description of relevant facilities, equipment, infrastructure, etc., which are expected to be utilized during the project and during product commercialization;
- Resumes of key personnel/researchers who will work on the project. The resumes should include each individual's role in the project, e.g., project manager, senior software engineer, field engineer, etc. Include the person's current affiliation with the participant's organization, job title, relevant job experience and significant accomplishments, starting from the most current position. List professional affiliations and committee memberships. Indicate higher education and degrees and provide a listing of relevant publications authored or co-authored (maximum, one page). Resumes of consultants should also be included. In general, the reviewers of the proposal need to see that the experience, education and capabilities of the professional staff are commensurate with the R&D tasks to be performed;
- Additional pertinent information, such as product brochures, expressions of interest from potential customers in the products or processes to be developed, marketing agreements, etc., should be included.

Most of the collaborative projects funded under this program are expected to produce new intellectual property (IP). The program also recognizes the value to the participants of any background IP they might bring into the project. In general, a participant's background IP will remain vested with the owner.

Please refer to Annexure 7 for the detailed IPR guidelines.

ANNEX 6 – FINDING PARTNER

In India: GITA's Matchmaking Tool

GITA has developed a web platform for online Matchmaking process to enable applicants to find a suitable project partner.

- Please visit the page <https://www.gita.org.in/FindAPartner.aspx>
- Interested applicants need to submit a matchmaking profile on this platform, providing the following information:
 - Brief description of the organisation
 - Core-technical profile of the projects
 - Core-technical profile of the desired potential partner
 - Upload presentation on project/company, if any
 - *Non-registered applicants/users are expected to register the organisations prior to submitting the Matchmaking Profile through simple registration process from provided link*
- You can access the database of registered profiles and identify potential R&D project partners for your project. Upon identification of suitable project partner, you connect with them directly through portal. Please note – your Matchmaking profile listing may take some time for internal review and hosting on Matchmaking page.
- Please submit separate Matchmaking Profile for each project in case, you have more than one project.
- Applicants may tag their profile as Confidential in case they don't want to publish on GITA public portal, such profiles will be referred by GITA team and its partners for suggesting suitable partner.

In Italy:

Please visit the search engine of innovative start-up and SME companies in Italy

<http://startup.registroimprese.it/isin/home>

And please contact the Scientific Attaché of the Italian Embassy in New Delhi:
newdelhi.scienza@esteri.it

or the

ITALIAN TRADE AGENCY

Dhanraj Mahal, 'E' 28 , 2nd Floor, CSM Road, Apollo Bunder, Colaba.

400 001 MUMBAI - INDIA

E-mail: mumbai@ice.it

or register and visit the page <http://gita.org.in/Matchmaking.aspx>

ANNEX 7 – GENERAL GUIDELINES ON INTELLECTUAL PROPERTY RIGHTS

Intellectual Property Rights (IPR) & Commercialization Plan from the Project

The IPR agreement shall include the following:

- (i) The partner/s to a project from the India and the partner/s to the project from the Partner Country (each the "Party" and collectively the "Parties") will ensure appropriate protection of Intellectual Property Rights generated from cooperation pursuant to MOU, consistent with their respective laws, rules and regulations and multilateral agreements to which both Parties are party to.
- (ii) Each Party is and shall remain owner of its Background IP. For the purpose of these guidelines "Background IP" shall mean (a) the intellectual property rights of a Party that is owned or controlled by that Party prior to the execution of the cooperation agreement, or (b) created by a Party outside the scope of the MOU or without use or reliance on the confidential information or intellectual property rights of the other Party, as evidenced by written records.
- (iii) Access rights to background IP of one Party may be granted to the other Party only to the extent necessary for the execution and during term of the joint project.
- (iv) Ownership and rights to Foreground IP will be agreed upon by the Parties mutually. For the purpose of these guidelines, "Foreground IP" shall mean any invention conceived and reduced to practice, or know-how generated, solely by employees, agents, or independent contractors of a Party as a result of performing the activities under the cooperation agreement.
- (v) The IPR agreement should expressly reflect the contribution of each Party in the creation of the Foreground IP.
- (vi) Joint IP rights will be applicable only when both Parties have an inventive contribution to Foreground IP. The Parties shall not assign any rights and obligations arising out of the joint IPR generated to inventions/activities carried out under the MOU to any third Party without consent of the other Party, unless such joint IPR is in a different field than the field of the other Party and as further elaborated in the relevant cooperation agreement.

Commercialization:

- (i) In case of Joint IP under this MOU both Indian and Partner Country parties will apply as co-applicants, subject to any respective field of use agreed upon, if applicable, for the protection of intellectual property rights subject to joint rights of both the Parties in accordance with the terms and conditions of the cooperation agreement.

- (ii) The Partner Country and Indian Parties shall agree in advance on the IP rights and on the ownership, management and commercialization strategy of the product or process prior to the creation of any Foreground IP.
- (iii) The jointly developed IPR must have technological innovation value. Subject to terms and conditions aforementioned, Both Parties shall possess intellectual property rights to the technology, developed under the Joint IPR, in accordance with the principals of these guidelines.
- (iv) The relationship between the Parties must be clearly defined, including ownership of intellectual property rights for the technology proposed to be developed and commercialized. Therefore, partners must sign a formal company-company business agreement prior to the start of the Project to address issues relating to IP ownership, license rights, manufacturing rights, marketing responsibilities, ownership of technology, benefits to each Applicant during commercialization, as well as repayment to Government, if applicable.
- (v) The Parties shall declare that to the best of their knowledge and belief, that the use of the Background IP or Foreground IP in connection with the cooperation agreement does not infringe any third party's valid patent right/intellectual Property rights. The validation and verification in context of the project, is to be carried out with much sensitivity and precaution by Parties to avoid all kinds of infringements rights. The Parties will be jointly responsible for the Joint IP and solely responsible on Background IP and/or Foreground IP for any kind of legal implications emanating from infringement by them, and as set forth in the cooperation agreement.
- (vi) The Party/Parties from the Partner Country will sign a separate agreement with the Partner Country Funding Ministry and while the Party/Parties from India will sign a separate agreement with DST/GITA.

Confidential Information:

Subject to the respective applicable laws, regulations, rules, procedures, mechanisms programs or applicable in each state or of the Parties, as applicable or determined by the MAECI Authority or GITA:

- (i) All information and documents to be exchanged pursuant to the Memorandum of Understanding will be kept confidential by the Parties and will be used subject to such terms as each Party may specify. The Parties will not use the information for purposes other than that specified without the prior written consent of the other Party. The Parties shall set forth the exact terms and conditions for the protection of confidential Information under the cooperation agreement.
- (ii) All Confidential Information shall remain the exclusive property of the disclosing Party. The Parties agree that this agreement and the disclosure of the Confidential Information do not grant or imply any license, interest or right to the Recipient in respect to any intellectual property right of the other Party.

- (iii) Unpublished information, whether oral, in writing or otherwise, discovered or conceived by the scientists or technicians and exchanged under the provisions of this MOU will not be transmitted to a third party, unless otherwise agreed in writing by the Parties.
