

Announcement of Opportunity

CEOI Call for Short-term EO Technology Preparation and Facility Enhancements

1 INTRODUCTION

On behalf of the UK Space Agency, the Centre for Earth Observation Instrumentation (CEOI) invites proposals covering urgent and short-term developments in two categories:

- Short EO technology projects needing urgent TRL raising of instrumentation to address the upcoming ESA Scout, Earth Explorer (11 and 12) competitions and/or National EO missions which require urgent TRL raising.
- Rapid enhancements to facilities in support of space EO for e.g., testing, calibration, and validation of instrumentation, such as in support of the above or other urgent mission-related requirement.

In both categories, the projects must be completed by 31st March 2023. The total budget for the call is ~£400k. We are looking for projects between £50k and £200k that can complete before 31st March 2023.

The CEOI has the objective to realise an excellent, internationally competitive national Earth observation instrument and technology research and development programme. Brief details of previous CEOI funded projects may be found on the CEOI website (www.ceoi.ac.uk).

1.1 Reference Documents

The following documents contain information that is relevant to this Call:

- [RD1] National Space Strategy:
<https://www.gov.uk/government/publications/national-space-strategy>
- [RD2] Companies House accounts guidance
<https://www.gov.uk/government/publications/life-of-a-company-annual-requirements>
- [RD3] BEIS Guidance - Complying with the UK's international obligations on subsidy control: guidance for public authorities
<https://www.gov.uk/government/publications/complying-with-the-uks-international-obligations-on-subsidy-control-guidance-for-public-authorities>
- [RD4] UK EO Technology Strategy:
<https://www.gov.uk/government/publications/uk-earth-observation-technology-strategy>
- [RD5] UKRI T&Cs and Guidance for Full Economic Costs (FEC) for academic Partners –
<https://www.ukri.org/wp-content/uploads/2020/10/UKRI-291020-guidance-to-fEC-grant-terms-and-conditions.pdf>
- [RD6] NERC Research Grants and Fellowships Handbook, Edition Oct 2021 - 2.0
<https://www.ukri.org/publications/nerc-research-grants-and-fellowships-handbook-guidance-for-applicants/>

2 Project types

2.1 TRL-raising projects

This Call is aimed at supporting UK organisations:

- To meet the new demanding threshold requirements of ESA Earth Explorer missions with respect to entry TRL of technologies. This is aimed at reducing development risk whilst protecting mission budget and maintaining schedule.
- To raise TRL of technologies to be used in other missions, e.g., potential national and bilateral missions.

The Call is looking for proposals to address rapid developments that can be completed before the end of March 2023. Technology developments will be considered for both UK-led (i.e., with a UK-based PI or Co-PI for e.g., the ESA Earth Explorer missions) and non-UK led missions (i.e., where the prospective PI/Co-PI is not in the UK).

2.2 Facilities Projects

CEOI welcomes proposals for enhancements to UK testing, calibration and validation EO-related facilities which would provide significant new capability in support of upcoming ESA or potential national missions.

2.3 General Call Information

This Call is released on 27th October 2022, with a closing date of **25th November at noon**. It is anticipated that proposal selection will be conducted during early December 2022. Teams are required to register their intention to bid (see Section 3).

The total budget available for the Call is ~£400k. Additional PV funds are required from industrial bidders as defined by State Subsidy regulations. Eligible activities include Industrial Research and Experimental Development. **See section 14.**

This funding opportunity is open to industry, UK HEIs and other research organisations. Proposals for projects which are from collaborative teams are encouraged; **Section 14.3** defines eligible collaborations and the PV concessions for collaborative activities.

Proposals of the highest quality that demonstrate urgent need for funding in support of an important mission in relation to the upcoming ESA Scout or Earth Explorers or potential national or bilateral opportunities will take precedence over proposals addressing more speculative objectives.

The CEOI will only award grants to proposals which are judged to be of sufficient quality. It should be noted that value for money will be a major evaluation criterion. The CEOI reserves the right to re-issue the Call in a revised form if all allocated funds are not utilised.

We welcome enquiries from potential bidders for clarification of any aspect of the Call.

3 NOTIFICATION OF INTENTION TO BID

Applicants are required to notify CEOI of their intention to bid by email to the CEOI Call Administrator Charlotte Moretti cm738@leicester.ac.uk, using the pro-forma at Section 11, by **11th November at noon.**

The purpose of this is to gauge the size of the response and to inform the selection of reviewers. The notification and information therein will be held in confidence as described in Section 8.

4 GUIDELINES FOR PREPARING AN APPLICATION

Applications should take the form of a proposal in single-spaced typescript, minimum font size 12-point Times New Roman, minimum 1.5 cm margins all round, including diagrams and tables.

All Proposal Sections defined in the table and/or described in this section of the Announcement of Opportunity must be supplied in the proposal, unless indicated otherwise. Proposals that do not include all the Sections, unless explicitly indicated in Table 1 as optional, may be rejected. Should any part of the application overrun the specified page limit, the Assessment Panel will only consider material up to the designated page limit, in the correct format.

Section	Further Information	Proposal Maximum Page Count		Marks
		Up to £50k	Up to £200k	
Cover letter	See 4.1	2 pages		Mandatory
Application Form	See 12	1 page		Mandatory
Project Summary, with picture or diagram	See 4.2	1 page		Mandatory
Technical Case	See 4.3	2 pages	6 pages	30%
Exploitation Plan and Enhancement of National Capability	See 4.4	1 page	2 pages	20%
Project Team	See 4.5	1 page	2 pages	10%
<u>Annex A1</u> : Organisational background and track record		1 page per organisation		
<u>Annex A2</u> :CVs		1 page each		
Project Management	See 4.6	2 pages	3 pages	20%
<u>Annex B1</u> : Gantt Chart (landscape or portrait)	See 4.6	1 page	1 page	
<u>Annex B2</u> : Risk Table	See 13	1 page		
<u>Annex B3</u> : Work Package Descriptions	CEOI template	1 page each		
Project Finances	See 4.7	4 pages		10%
CEOI Cost Schedule	Use CEOI Excel template	Separate Excel file; Summary sheet plus 1 sheet per partner		
Collaboration	See 4.8	0.5 page		5%
Grant Conformance	See 4.9 and 7	0.5 page		5%
Eligibility - supporting information (Proposal Annex C1)	See 7	2 pages		

Table 1. Application Checklist

No additional annexes or appendices will be considered. Bidders should note that the Agency, University of Leicester or CEOI will not refund any costs associated with preparing proposals responding to this CEOI Call.

4.1 The Covering Letter

To ensure ease and speed of placing the contract following selection, the bids must include a covering letter containing:

1. A firm fixed price for the work to be carried out and committing offer to University of Leicester, who contractually administer the grants on behalf of the Agency and CEOI.
2. A statement of acceptance of the standard CEOI Terms and Conditions (T&Cs), defined in the CEOI Grant Agreement document which is available on the CEOI website. Bidders should note that these T&Cs will not be open to negotiation and that in submitting this statement, you are accepting the T&Cs on behalf of your organisation. Please ensure that authorisation is obtained from your organisation before submitting your bid.
3. Reference (Industry only): The name of at least one customer contact in the UK who may be approached, with whom you have recently undertaken similar work. The CEOI reserves the right to seek a customer reference for consideration by the Review Panel.
4. The completed Application Form.

The Main Proposal:

4.2 The Project Summary

The project summary should provide a brief overall description of the project in a form suitable for publication, if the project is funded (i.e., free of any commercially sensitive or IP material).

It should include a short plain-language description of the project, its objectives, and benefits to describe its purpose in a way that can be widely understood by non-experts. A relevant image, diagram or other graphic should be included, if possible, to enhance the description.

The project summary, plain-language description and graphic image may be included in a press release and published on the CEOI and the Agency websites when any award is made.

4.3 Technical Case (30% of assessment mark)

This section should justify the need for this technology development and describe the work to be undertaken. It should also provide an assessment of technical feasibility and innovation in the project and explain how the development fits into the wider technology development roadmap. The section should include:

- An exposition of the science, commercial and/or operational need and drivers, including the relationship to relevant national space, ESA and EO strategies.
- A description of the technical work and the main activities to be undertaken.
- An assessment of the technical feasibility of the proposed work, identifying the technical risk and achievability vs. the novel and innovative aspects of the project.
- A description of any system-level benefits expected (e.g., cost, mass, size, resource requirement).
- A technology roadmap showing heritage, future evolution and the start and end Technology Readiness Level (TRL) of the proposed work.

4.4 Exploitation Plan and Enhancement of National Capability (20% of assessment mark)

This section should provide an exploitation plan detailing how the project will lead to an enhancement of national capability, catalyse investment, and address the target mission(s). TRL-raising projects should identify all potential space flight opportunities and the key steps required, beyond the requested CEOI funding, to successfully exploit the project outcomes. Facilities-related should describe how the project will result in enhancement(s) to national capability in EO technologies and/or facilities in the context of the targeted missions.

The section should include:

- A description of the main exploitation opportunities targeted, together with an assessment of the potential and accessible market(s) (this may include civil and defence dual use), and identification of key customers in the global marketplace.
- A description of the main exploitable products and/or outputs from the project, including identification of the potential scientific and/or commercial breakthroughs, and future steps that will be taken to improve the probability of successful use of the results of the CEOI activities.
- A description of how the proposed work takes advantage of UK strengths and/or unique capabilities, and where and how the enhanced development in national capability will occur.
- An assessment of the national and international competition, showing the benefits this technology offers over alternatives, and the timeliness of the proposed work in relation to external opportunities and gaining a competitive advantage.
- The potential scientific or commercial return and the overall expected impact on UK national economic growth, job creation and export opportunities.

For projects targeting future operational or scientific EO missions, such mission(s) should be clearly identified, the possible route to achieving flight should be described, together with how the benefits for any related opportunities will be achieved. In the case of projects targeting commercial opportunities, the proposal should include a brief business plan.

4.5 Project Team (10% of assessment mark)

This section should describe the team that will be undertaking the work, highlighting the strengths of the project lead organisation and the capability that is offered by each Partner. Key individuals, their project roles and technical/management contributions should be identified.

The section should include:

- A description of the overall team structure, including justification for inclusion of each Partner organisation and justification if there are no partners.
- A brief summary description of each of the organisations involved with the project
- A list of the key individuals, their position, technical/management responsibility in the project team, effort required and confirmation of their availability for the required work.
- The track record of the applicants in managing similar projects successfully

For each of the Partners, background information about the company/organisation should be provided in Annex A1 of the proposal, including diversity and inclusion policies. CVs of key staff should be provided in Annex A2 of the proposal.

4.6 Project management (20% of assessment mark)

This section should provide information about the approach to the management of the project, including planning, the actions that will be taken to maintain the schedule, and the assessment and control of risk. (“Risk” is defined here as the probability that the project will meet its stated technology and business objectives).

This section should include:

- A description of how the project will be managed and the management measures proposed to ensure on-time completion.
- A project plan, including a summary of the work, work break down structure and a project schedule.
- A table of outputs from each work package, clearly identifying their scope and the delivery schedule.
- A clear identification of which institutions and individuals will be performing which functions, the lead organisation for each task and the resources required for each task.
- An assessment of the major project technical, schedule and commercial risks and the approach to managing, tracking and mitigation of these risks. Major risks should, where possible, be expressed in terms of potential schedule slippage.

The following information should be included as Annexes to the proposal:

- Gantt chart as Annex B1, of the proposal showing the scheduling of main work packages, their inter-dependencies and major project events (progress review meetings, technology development milestones). No template is provided for this.
- Risk Table as Annex B2 of the proposal using the CEOI template provided in Section 13.
- Work package descriptions (WPD) as Annex B3 of the proposal (The WPDs should use the CEOI template or equivalent, with a one-page limit on each WPD).

If a project is successful, we will expect project teams to generate a full Project Management Plan (PMP) including a comprehensive Risk Management Plan at the project Kick-Off meeting. CEOI guidelines for the PMP are available on request from CEOI. We do not need the full PMP at proposal stage.

This Call is targeting an ambitious schedule and it is therefore particularly important that the proposed delivery schedule and risk management plan are realistic and robust. Bidders should assume a starting date soon after the 1st of January 2023 for the project schedule and finance spreadsheets.

4.7 Project Finances (10% of assessment mark)

This section will describe the project finances, summarising the cost of each work package, the major items of expenditure with justification and propose a milestone payment plan. It will allow

an assessment of the value for money of the project and whether this is a good investment for the Agency.

This section should include:

- A financial summary showing the cost of each work package and the major items of expenditure by each Partner (staff, travel, external contracts, procurements etc.).
- A description and justification of the resources requested, including travel plans and other expenditure.
- Any equipment proposed for purchase must be listed separately as per State Subsidy regulations.
- Table of proposed milestone payments with description, related project outputs and/or significant events, amount, and dates. See Section 5.1 for further information.

All applications are required to provide a Cost Schedule as a separate Excel file using the CEOI supplied Excel template.

The CEOI Excel Finance Table must be completed, using one worksheet (sheets P1-P8 in the Excel spreadsheet) for each Partner¹. Any support/consultancy/service to be procured should be itemised in the 'Direct Costs' section of the relevant Partner sheet. The template Excel spreadsheet is available on the CEOI website.

Note that CEOI Grants arising from this call are intended to fund a specific programme of work. TRL-raising grants should not be used for the procurement of equipment. However, this may be acceptable for the Facilities grants. If you want further advice on large expenditures for equipment or other purposes, then please contact the CEOI.

4.8 Collaboration (5% of assessment mark)

This section should describe the collaborative nature of the project, or justification if there are no Partners.

The response should include:

- Declaration of the team, listing the academic and industrial partners
- Justification if there are no partners
- Information on collaboration between partner organisations and exploitation of Intellectual Property Rights.

4.9 Grant conformance (5% of assessment mark)

This section should provide the information required to show that the project finances conform to the BEIS Subsidy Control regime.

The section should include:

¹ 'Partners' are defined as entities/organisations which share and/or retain the Intellectual Property generated by the project. Industrial Partners will also contribute to the project costs in line with the Subsidy Control procedures. This is in contrast to 'Suppliers' and 'consultants', who supply goods and/or services under normal commercial terms to one of the Partners.

- A clear statement of the Subsidy Control Category (see Section 14).
- Level and justification of any industrial or other private investment offered
- A statement on eligibility of each partner to receive Subsidy funds and the financial viability of all the project Partners. See Section 7 for further information.

Supporting eligibility information should be provided as Annex C1 to the proposal.

5 CONTRACTUAL INFORMATION

Award(s) will take the form of a contract between University of Leicester and the project's lead organisation. The lead organisation will be expected to place contracts to flow down the Grant finance to its Partners, with terms and conditions similar to the main CEOI Grant contract.

This CEOI activity has been assessed by HMRC as outside the scope of VAT, because no taxable supply to the UK Space Agency or to CEOI is taking place. The IPR will not in the normal course of events pass to the Agency or the CEOI.

All relevant costs, including any taxes on procurements, must be included within the total amount of the grant application. Note that a direct procurement for services from another organisation implies that they are not a Partner.

Bidders should note that Grants cannot be provided to the project lead or dispersed through the project lead to companies in financial difficulties.

Subsidy Control

Before awarding subsidies, the CEOI must ensure that the subsidy scheme meets the terms of the principles as determined in the UK-EU Trade & Cooperation Agreement (TCA), as explained in [RD3]. The principles are that:

- subsidies should pursue a specific public policy objective to remedy an identified market failure or to address an equity rationale such as social difficulties or distributional concerns (“the objective”)
- subsidies should be proportionate and limited to what is necessary to achieve the objective
- subsidies should be designed to bring about a change of economic behaviour of the beneficiary that is conducive to achieving the objective and that would not be achieved in the absence of subsidies being provided
- subsidies should not normally compensate for the costs the beneficiary would have funded in the absence of any subsidy
- subsidies should be an appropriate policy instrument to achieve a public policy objective and that objective cannot be achieved through other less distortive means
- subsidies' positive contributions to achieving the objective should outweigh any negative effects, in particular the negative effects on trade or investment between the Parties

To ensure this competition provides funding in line with the UK's obligations and commitments to Subsidy Control:

1. The intervention rates detailed in Section 14 shall apply. It is NOT possible to apply under the Small Amounts of Financial Assistance Allowance (SAFA, previously known as de-minimis under State Aid).
2. Bidders must identify the work proposed, and this must be consistent with the work programme described in the technical case. Note that the company size defines the

maximum ‘Intervention’ rate (and hence the minimum required PV level) that is permitted (see Chapter 14). Bidders will be expected to justify the category of work selected.

3. Bidders must ensure that they supply the correct information that allows UK Space Agency to award grants within the scheme. It is the responsibility of the grant funder to ensure compliance with the relevant Subsidy Controls rules and the bidder to assist the funder in doing this by acting within the terms and conditions of the scheme.

Further guidance about subsidy control is available on the gov.uk website [RD3].

5.1 Payment plan

The payment plan should be constructed so that no more than 20% is paid at/soon after kick-off against one or more outputs (e.g., the Project Management Plan), with the remainder at the final review acceptance.

5.2 Grants to Industry - Funding Contribution

Industry in receipt of a CEOI Grant as Project Lead or as a Partner in the team is required to provide a contribution to eligible project costs in accordance with the Subsidy Control requirements. Note that other funds from public sources are not eligible as a source of these contributions.

Bidders must identify and justify the Subsidy Category type of the work proposed, and this must be consistent with the work programme. Note that the type of activity and company size defines the maximum ‘Intervention’ rate (and hence the minimum required contribution level) that is permitted for that activity (see Section 14). There are concessions for collaborative activities.

Bidders must ensure that they supply the correct information that allows CEOI to award grants within the scheme and it is the responsibility of the bidder to ensure compliance with the relevant Subsidy Control requirements. Further guidance is available on the BEIS website [RD3].

5.3 Academic contribution

Academic Partners will be funded at no more than 80% of Full Economic Cost (FEC). Refer to [RD5] for further information on FEC.

Grant applications for Academic partners should use the same method for calculating eligible costs as is used by the Natural Environment Research Council. This includes the rules regarding equipment purchases and sub-contractors. Bidders with Academic partners should ensure that their financial bid conforms to this approach. The reference document is the most recent published edition of the NERC Research Grants and Fellowships Handbook [RD6].

5.4 Type of Award

The award will be made on a firm fixed price basis.

5.5 Intellectual Property

The IP generated during the project will belong to the originators.

5.6 Contractual Pre-conditions

If the project is selected for grant offer, the following conditions must be met before the CEOI will initiate preparation of the contract:

- The company size and Subsidy Category are correctly defined.
- The source and amount of additional funding is fully defined.
- The financial viability of all members of the project consortium and funding sources are established through a due diligence process.
- The consortium is judged by the UK Space Agency to be eligible to receive a Grant from UK government under HM Treasury regulations and Subsidy Category requirements.

6 PROJECT MONITORING AND REPORTING

Following an award and completion of contractual formalities, the CEOI will assign to the project an experienced coordinator drawn from CEOI partner organisations. The coordinator will oversee the projects with the following methodology:

- The coordinator will initiate the project, by preference at a face-to-face meeting at the lead contractor's site. If a timely face-to-face meeting cannot be arranged, the kick off meeting can take place through a telephone conference.
- There will be a progress review at the project mid-point in February 2023, by preference face-to-face, held at an appropriate site. Where feasible, the review should be synchronised to significant project events and/or delivery of some of the project objectives.
- There will be close attention to progress against the agreed project schedule to ensure timely completion and to the effective application of the risk mitigation process.
- At the end of the project, a Final Report and Executive Summary both suitable for publication will be produced. The Executive Summary should include a short plain-language description of the project, its objectives, and benefits to describe its purpose in a way that can be widely understood by non-experts. There will be a formal project final review and there may also be a CEOI project final presentation day in which each of the projects will present a summary of work and achievements.

7 ELIGIBILITY

We welcome bids from a variety of organisations including academia, industry and government research institutes based in the UK. The details of some organisations may not be known by the UK Space Agency or the CEOI, especially for newer entrants. Such applicants should provide brief and relevant background information for the organisation, including areas of expertise and contact information including registration and official address.

Only those organisations in the proposed team, which have not previously received a grant from CEOI or the Agency, need provide this information in their bid. Organisations that have previously received a grant should provide a title and date of a relevant previous award.

Following receipt of bids and before award of any contract, new entrants may be required to provide additional eligibility details:

- It would normally be expected that 3 years of audited accounts are available for all project Partners. In the absence of 3 years of company accounts the bid response should provide details of the specific measures that will be taken to protect the UK Space Agency's grant investment.

- Evidence of company legitimacy and financial solvency, supported by e.g., company Annual Reports.
- Details of company quality processes and accreditation.
- Track record, supported by reputation or by statements from referees and customer testimonials.
- Micro SMEs and single-person (Sole Trader) companies will need to show robust risk mitigation against single point resource failure and the measures in place to protect the grant investment.

It is possible that some consortia bidding for projects may need to involve non-UK entities. This is allowable in principle subject to the following conditions:

- The UK must lead the consortium.
- The UK work must represent a major proportion of the whole project.
- The consortium must demonstrate that the proposed non-UK capability is essential and not available in the UK.

The rules can be relaxed if the non-UK entity is supplying PV, capability, or resources on a no-exchange-of-funds basis. Full details of the non-UK participation must be provided in the bid, appended to the eligibility statement.

8 CONFIDENTIALITY

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

- Bids will be submitted to the University of Leicester administrator who will act on behalf of the CEOI. The administrator will hold all bids in confidence and will not propagate the bids internally in the University or elsewhere.
- Copies of the notifications of intention to bid sheets will be provided to the CEOI Director and to the CEOI Technology Programme Director, who will retain them as confidential information.
- When the bid period completes, electronic copies of the bid documents will be distributed to the independent assessment panel members, to the CEOI Director and to the CEOI Technology Programme Director. The UK Space Agency confidentiality rules will apply.
- Bids not recommended by the Panel will be destroyed. They will not be visible to the wider CEOI Leadership Team or to any others.
- Bids recommended by the Panel will be visible to the CEOI appointed project co-ordinator and to the CEOI Leadership Team.
- Bids selected for funding will remain confidential (i.e., will not be visible to staff of any of the CEOI Partners other than the project co-ordinator and the CEOI Leadership Team).

The CEOI Director, the CEOI Technology Director and the CEOI appointed project co-ordinator will monitor the funded project. A standard CEOI Non-Disclosure Agreement can be used to cover information exchange between the project participants and CEOI staff at any stage during the bid or contract. A copy is available on the CEOI website.

9 TEAMING AGREEMENT

Should an award be made, the contracted consortium will be required to establish a Teaming Agreement (TA) between its Partners, prior to the commencement of work. The TA should establish agreements regarding how the results of the work, including IPR and spinouts will be exploited by the consortium members. A model agreement is available from the CEOI website.

10 SUBMISSION AND CONTACT INFORMATION

Only the lead institution should submit an application. Bids should be submitted to the University of Leicester administrator, who will act on behalf of the CEOI, as follows:

- Electronically in PDF format. **The bid should be contained in single PDF file (apart from the separate Excel format Finance Table).**
- In submitting a proposal, bidders accept that all information supplied as part of the bid will be handled under the procedures defined in Section 8, irrespective of any confidentiality markings.

The electronic submission should be sent by email to the CEOI Technology Call Administrator, Ms Charlotte Moretti.

Ms Charlotte Moretti
CEOI Technology Call Administrator

Email: cm738@leicester.ac.uk

For further information and formal enquiries contact:

Dr Nicolas Leveque
CEOI Technical Director
Airbus Defence and Space Ltd
Gunnels Wood Road
Stevenage SG1 2AS

Tel: 01438 773116
Mob: 07528 984315
Email: nicolas.leveque@airbus.com

For a timely response during the holiday period enquiries should be copied to:

Mr Chris Brownsword
CEOI Director
QinetiQ Building, A8 Room 1004,
Cody Technology Park,
Ively Road, Farnborough
GU14 0LX

Mob: 07825 762527
Email: cbrownsword@QinetiQ.com

11 Intention to Bid Pro-Forma

This form should be emailed, before the date and time specified in Section 3, to Ms Charlotte Moretti, CEOI Technology Call Administrator at cm738@leicester.ac.uk

Title of the project	
Lead organisation	
Short description of the project	
Estimated Grant request (ROM value)	
Project Type	TRL/Facilities <i>(delete as applicable)</i>

12 Application Form

The completed Application Form should be included with the Cover Letter when the full bid is submitted.

Title of Project		
Lead Organisation and Grant Requested for Lead		£
Project Partners and Grant Requested for each Partner		£ £
Address of Lead Organisation including postcode		
Lead Contact – Contractual (Name and e-mail)		
Lead Contact – Technical (Name and e-mail)		
Subsidy Control Category (see Section 15)		
Total Grant Funding Requested (£ and % of Total Project Cost)	£	%
Academic Contribution (£ and % of Total Project Cost)	£	%
PV Contribution (£ and % of Total Project Cost)	£	%
Total Project Cost (£)	£	100%
Proposed start date and duration		
Project Type	TRL/Facilities <i>(delete as applicable)</i>	
Titles and dates of related projects or proposals to CEOI, NSIP, NSTP, ETP or other UKSA programmes	<i>(List on separate sheet if necessary)</i>	

13 Risk Table Template

Please use this table in your proposal.

Risk No.	Risk Description	Type	Impact	Probability	Potential Schedule slip	Overall Rating	Month retired	(1) Avoidance Strategy	(2) Mitigation Strategy
	Short description of risk and potential consequences	Technical, Commercial or Managerial	1-5	1-5	Months	L/M/H	mm/yy	Actions to be taken to avoid occurrence and/or minimise impact	Actions to be taken during project if risk arises
R1									

Impact and Probability 1 = Low; 5= High

Overall rating Impact x Probability
 where 1<Low<6; 8<Medium<12; 15<High<25

14 Subsidy Control

14.1 Introduction to Subsidy Control (and State aid where relevant)

UKSA supports UK based businesses to invest in research, development and innovation. The support we provide is consistent with the UK's international obligations and commitments to Subsidy Control. These include:

- [WTO rules](#)
- the EU-UK Trade and Cooperation Agreement (TCA), (see EU-UK TCA summary and [BEIS \(Dept. for Business, Energy & Industrial Strategy\) guidance](#))
- in certain circumstances (e.g. under the [Northern Ireland Protocol](#)) EU State aid regulations may also be applied
- other bilateral [UK FTAs](#) (Free Trade Agreements) where relevant

14.2 What is a subsidy?

For the purposes of UK international commitments, a subsidy is a measure which:

1. Is given by a public authority. This can be at any level; central, devolved, regional or local government or a public body.
2. Makes a contribution (this could be a financial or an in-kind contribution) to an enterprise, conferring an economic advantage that is not available on market terms. Examples of a contribution are grants, loans at below market rate, or a loan guarantee at below market rate or allowing a company to use publicly owned office space rent-free. An enterprise is anyone who puts goods or services on a market. An enterprise could be a government department or a charity if they are acting commercially.
3. Affects international trade. This can be trade with any World Trade Organisation member or, more specifically, between the UK and a country with whom it has a [Free Trade Agreement](#). For example, if the subsidy is going towards a good which is traded between the UK and the EU this could affect trade between the EU and the UK. It is not necessary to consider whether the subsidy could harm trade, just whether there could be some sort of effect. Subsidies to very local companies or a small tourist attraction are unlikely to be a problem as this is unlikely to affect international trade.

The BEIS Subsidy Control regime (or where relevant EU State aid regulations) are designed to prevent unfair advantages and distortion of trade: [Complying with the UK's international obligations on subsidy control](#).

More information on the principles of awarding subsidies can be found in the [BEIS guidance](#).

14.3 Subsidy Control Categories and Intervention Thresholds

Table 2 summarises the maximum intervention thresholds allowable level of support under this UKSA grant call for Financial Year 2021/2022.

Table 3 summarises the UK definition of what constitutes an SME, in line with the Companies Act 2006. To qualify for any category, the company must meet at least two of the conditions (staff headcount, Turnover or Balance sheet total) within both the current financial year and the year previous. Anything above the limits for a medium sized company is designated as a large company. For more information on company sizes, please refer to the company accounts guidance. This is a change from the EU definition².

Other sources of public funding are not eligible as a Private Venture (PV) / match funding contribution.

Academic partners will be funded in all cases at 80% of Full Economic Cost (FEC).

Table 2. BEIS Subsidy Control categories and maximum allowable intervention rates

Subsidy Category	Allowable Level of Support		
	SE	ME	LE
Feasibility study	70%	60%	50%
Industrial research	70%	60%	50%
Industrial research projects involving collaboration/ dissemination*	80%	75%	65%
Experimental development	45%	35 %	25%
Experimental development projects involving collaboration/dissemination*	60%	50%	40%

**NOTE: Collaborations between businesses and research organisations where the research organisation bears at least 10% of the costs and have the right to publish their own research. Procurement/supplier relationships do not qualify.*

Table 3. Definition of company types [RD2]

Company category	Staff headcount	Turnover	or	Balance sheet total
Medium sized	< 250	≤ £36 m		≤ £18 m
Small	< 50	≤ £10.2 m		≤ £5.1 m
Micro	< 10	≤ £632,000		≤ £316,000

² If an application engages the Northern Ireland Protocol, then the applicant should revert to the EU definition of SMEs.

14.4 Special Drawing Rights (SDRs) and EU de minimis awards

NOTE: The text below is generic. It is NOT possible to apply to this Call under SAFA. This section is relevant if the Northern Ireland Protocol (NIP) is engaged. More information is available from [RD3].

The [UK-EU Trade & Cooperation Agreement](#) (TCA) has provision relating to Small Amounts of Financial Assistance (SAFA).

For organisations applying under SAFA, the total subsidy which can be given to each organisation is up to a maximum of 325,000 SDR over a rolling 3 fiscal year period. This threshold is subject to change and grant recipients should consult the [subsidy control guidance](#) for regular updates.

When calculating eligibility for the application of the SAFA provision bidders must include cumulation of EU State aid de minimis grants under the EC's de minimis regulation for the same 3 fiscal year period. The maximum total under the EC regulation is €200,000. This is for all project types and for most purposes, including operating aid.

This guidance is not a substitute for taking independent legal advice on your eligibility status, before applying for funding. Every applicant is responsible for securing their own independent legal advice to ensure they are lawfully eligible.

Please note the CEOI is unable to award organisations that are considered to be ailing and insolvent companies.