

India-Sweden Collaborative Industrial Research & Development Programme 2019



Application Guidelines

Name of the Programme	<p>India-Sweden Collaborative Industrial Research & Development Programme - Request for Proposal (RFP) 2019</p> <p>[Between Department of Science & Technology (DST), Government of India and Swedish Governmental Agency for Innovation Systems (Vinnova), Sweden]</p>
Important Dates	<p>Announcement Date of Request for Proposal (RFP) : April 11, 2019</p> <p>Closing date of RFP : August 19, 2019</p> <p style="padding-left: 150px;">For Vinnova, before 14:00:00 CET</p> <p style="padding-left: 150px;">For GITA, before 5.00 PM India Time</p> <p>Announcement of Results : November 2019</p>
Who Can Apply?	<p><u>Eligible Indian Applicants</u></p> <ul style="list-style-type: none"> • The Indian Project Lead (IPL) (i.e. lead company) must be a commercial (for profit) company under the Indian Companies Act 1956/2013, which operates in and is headquartered in India. • At least 51% stake of the IPL Company must be owned by Indian citizens. • The IPL should have the required expertise and team capacity to manage the proposed project. • 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 programme. • IPL should lead the project from Indian side and if required bring in other Industry Partners or Academic/R&D Institutions as Consortium Partner. <p><u>Eligible Swedish Applicants</u></p> <ul style="list-style-type: none"> • The Swedish Project Coordinator (SPC), must be a company. SPC is responsible for the application submission Sweden and towards Vinnova. • The Project Leader must be employed at the SPC. • SPC shall be a company that operates in Sweden and registered in the country. • Swedish research performing institutions (universities, colleges and research institutes) as well as test beds, public organisations, and other companies with operations in Sweden are encouraged to actively participate in the consortium. <p><i>[Refer Annex-1: Eligibility Criteria and Annex-2: Project Requirements for details]</i></p>
Eligible technology sectors	<p>The collaborative projects should be innovative and should reflect consumer demands and focussed on creating a new product or process that will eventually lead to commercialization.</p> <p>This RFP 2019 is open to the applied R&D projects in the areas of:</p> <ol style="list-style-type: none"> (1) Smart Cities and Clean Technologies (2) Digitalisation and Internet of Things (IoT) <p><i>[Refer Annex-3: Eligible Technology Sectors for details]</i></p>

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Project funding support	<p>Funds will be provided in accordance with the national laws, rules, regulations and procedures established by each organization, and/or each jurisdiction/country.</p> <p>Funding for R&D Project Participants in India</p> <p>GITA, on behalf of the Department of Science & Technology (DST), Government of India, will fund the successful projects, as follows:</p> <ul style="list-style-type: none"> • DST-GITA will support up to INR 1.5 crore per project or 50% of the Indian Project Cost, whichever is lower, as a Conditional Grant, for a maximum project period of 24 months. • Indian industry may receive up to 50% of their part of the eligible costs 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. • 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. The term Conditional Grant implies that if the project is commercially successful (does result in incomes) then the company is obliged to pay back the amount of the grant awarded via royalties from the said incomes. <p>Funding for R&D Project Participants in Sweden</p> <ul style="list-style-type: none"> • Vinnova will provide funding to Swedish participants up to 2,500,000 (two million five hundred thousand) Swedish Krona as Grant under applicable State Aid regulation • Grants are only given to organizations with operations in Sweden. The maximum aid intensity (funding levels) which apply in this RFP are: <ul style="list-style-type: none"> • Up to 50% of eligible costs for commercial entities/companies, • Up to 100% of eligible costs for research organisations • Up to 80 % of eligible costs for public sector, other non-economical organisations <p>The project activities approved shall be covered by Industrial Research and/or Experimental Development definitions in State Aid Rules (EU General Block Exception Rules, GBER)</p> <p><i>[Refer Annex-4: Project Funding Support for details]</i></p>
Finding a Partner	<ul style="list-style-type: none"> • GITA has developed an online portal to facilitate partnership search for prospective applicants. Please register at https://www.gita.org.in/FindAPartner.aspx • Please note that companies should allow for a minimum 3-4 months for this phase.
Types of projects to be supported	<p>The following types of projects will be considered for programme funding:</p> <ol style="list-style-type: none"> 1. Full-Scale R&D Projects, focused on co-development of new products, processes or technologies, OR 2. Product Adaptation Projects including but not limited to: <ol style="list-style-type: none"> a. Adaptation of product in consideration of local cultural / technical considerations b. Adaptation to local conditions, such as climate, infrastructure etc. c. Creation of low-cost alternative of an existing technology d. Establishment of beta-sites / test beds <p>Note: The project partners should agree in advance on the IP rights and on the commercialization strategy of the product or process.</p> <p><i>[Refer Annex-5: Application Submission Process and Annex – 7 - General Guidelines on Intellectual Property Rights (IPR) and Commercialisation plan for more details]</i></p>
Selection Criteria	<ol style="list-style-type: none"> 1. Projects must be innovative and market-driven, leading to the proposed development of a new product or process or new/improved services, leading to commercialisation.

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	2. Proposals must demonstrate the joint India-Sweden project teams' capacity to manage the proposed project in their respective countries, and jointly with the counterpart project team.
Project Duration	Technical development stage should be no longer than 24 months. Post technical development stage requirements should be in accordance with the terms and conditions of the funding agreements with the respective innovation agencies.
Project Evaluation stages and process	Projects will be evaluated according to the standard evaluation processes of Vinnova and DST/GITA in Sweden and in India, respectively. <i>[Refer Annex-6: Project Evaluation & Pre-Commencement Process for more details]</i>

Contact Information:

INDIA

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SWEDEN

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Contact regarding the e-Services portal (Intressentportalen)

Vinnova's IT-support

08-473 32 99

Email: helpdesk@vinnova.se

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.

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India-Sweden Collaborative Industrial Research & Development Programme
Request for Proposal (RFP) 2019

Guidance Notes for Applicants

SUMMARY

This Request for Proposals (RFP) is open for Indian and Swedish companies who jointly aim to develop new innovative products, processes and advanced or technology-based services which will in subsequent steps generate sustainable solutions for society coupled with market potential. The cooperation should be led by a commercial company in the respective country and the consortium could in addition include research performing organisations such as universities, research institutes or other similar entities.

The RFP closes on August 19th 2019. Projects can commence late 2019 or beginning of January 2020.

In this RFP, the partners in Sweden apply for funding from Vinnova and Indian partners from DST/GITA. Accordingly, the respective national funding guidelines and terms and conditions are applicable, i.e. with respect to eligibility, approved costs and budget lines, reporting and other requirements (see the respective country-specific information below and in the respective funding body's guidelines, terms and conditions).

This document can be referred by the applicants for the following annexures in-line with the application guidelines:

1. **Annexure 1** – Eligibility Criteria
2. **Annexure 2** – Project Requirements
3. **Annexure 3** – Eligible Technology Sectors
4. **Annexure 4** – Project Funding Support
5. **Annexure 5** – Application Submission Process
6. **Annexure 6** – Project Evaluation & Pre-Commencement Process
7. **Annexure 7** – General Guidelines on Intellectual Property Rights (IPR)

Annexure 1 : ELIGIBILITY CRITERIA FOR APPLICANTS

IN INDIA

The Indian Project Lead (IPL) (i.e. lead company) must be a commercial company that operates in and is headquartered in India. (Ideally, researchers or managers of these companies should be nominated as project coordinators) Academic institutions, 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 project¹.

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.

Note: Multiple projects executed concurrently by the same company under DST/GITA programmes will be discouraged.

¹ 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.
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IN SWEDEN

- The Swedish Project Coordinator – On the Swedish side, a company with operations in Sweden, must be the main applicant and the Project Coordinator.
- The Project Coordinator must be registered in Sweden with the Swedish Companies Registration Office (Bolagsverket). It is desired that the company's operation in Sweden performs relevant R&D activities.
- We strongly encourage other organisation registered in Sweden to participate to bring in relevant expertise needed to execute the project. Participants on the Swedish side may come from different sectors such as public research organisations (university, colleges and institutes), test beds, private companies, public sector and/or non-profit organisations, providing they bring relevant expertise to the consortium.
- All participants must be legal entities.

Annexure 2 : PROJECT REQUIREMENTS

A consortium of Indian and Swedish participants proposing an R&D project that meets the requirements in this section is eligible to apply to this RFP and does so in accordance with the national laws, rules, regulations and procedures of their jurisdiction or country.

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

Cost estimates must be congruous with the planned activities. The planned activities in the project should thus be clearly presented in the proposal.

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

- An Indian registered company Project Lead (**IPL**), responsible for the Indian application submission, leading the Indian part of the project and communicating with the Swedish Project Coordinator. Project Investigator (PI) will be an individual duly authorised by IPL to this project on behalf of IPL in India.
- A Swedish registered company Project Coordinator (**SPC**), responsible for the Sweden application submission, leading the Swedish side of the project and communicating with the Indian Project Lead.
- For the Indian side, a minimum of 50% of the total project costs must be incurred by the business partners.
- For the Swedish side, a well-balanced input from the participants is desired. In a project with two project partners, one party may not perform more than 60 percent of the project's work. In projects with more than two parties, no party can contribute more than 50 percent of the work.
- The technical development stage should be no longer than 24 months and should result in a commercialisable product / service at its completion. Post technical development stage requirements should be in accordance with the terms and conditions of the funding agreements with the respective innovation agencies.
- From the Swedish side, projects must be in conformance with the definitions of 'industrial research²' and/or 'experimental development³' of the General Block

² '**Industrial Research**' means the planned research or critical investigation aimed at the acquisition of new knowledge and skills for developing new products, processes or services or for bringing about a significant improvement in existing products, processes or services. It comprises the creation of components parts of complex systems, and may include the construction of prototypes in a laboratory environment or in an environment with simulated interfaces to existing systems as well as of pilot lines, when necessary for the industrial research and notably for generic technology validation.

³ '**Experimental Development**' means acquiring, combining, shaping and using existing scientific, technological, business and other relevant knowledge and skills with the aim of developing new or improved products, processes or services. This may also include, for example, activities aiming at the conceptual definition, planning and documentation of new products, processes or services. Experimental development may comprise prototyping, demonstrating, piloting, testing and validation of new or improved products, processes or services in environments representative of real life operating conditions where the primary objective is to make further technical improvements on products, processes or services that are not substantially set. This may include the development

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Exemption Rules, article 25, of EU and have a good potential to be commercialised within 2 years after the completion of the technical development stage of the project.

- Projects must be innovative and market-driven, leading to the proposed development of a new product or process or new/improved services, with a strong potential to ultimate commercialisation.
- On the Indian side, the projects should be in the levels of Technology Readiness Levels (TRL) between 6 – 8.
- On the Indian side, should there be any change in the Project Investigator (PI) of the IPL, liability on account of the project will continue to rest with the IPL. The IPL shall ensure that the project is staffed with personnel of relevant qualification, experience and capability, as required, till project completion, so that the project execution is not impeded.
- Proposals must demonstrate the joint India-Sweden project team's capacity to manage the proposed project in their respective countries and the modes for coordination between the two sides. The participants shall have an organisation appropriate to ensuring effective implementation of the project.

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

of a commercially usable prototype or pilot which is necessarily the final commercial product and which is too expensive to produce for it to be used only for demonstration and validation purposes. Experimental development does not include routine or periodic changes made to existing products, production lines, manufacturing processes, services and other operations in progress, even if those changes may represent improvements.

Annexure 3: ELIGIBLE TECHNOLOGY SECTORS

GITA, on behalf of DST, and VINNOVA, invite proposals in collaborative industrial research and development projects in the following areas:

(1) Smart Cities and Clean Technologies

This may include, but is not limited to:

- Transport & mobility; Electrical vehicles, Autonomous vehicles, Traffic safety, Mobility as a service, Reduction in traffic congestion, Digital solutions, etc.
- Environmental technologies; Eco-system services, Clean water and air, Waste management, Renewable energy, etc.
- Circular and bio-based economy; Bio-based materials, Bio-fuels, Resource efficiency in consumption and production, Waste-to-wealth, etc.
- Energy; Reduced energy consumption and carbon dioxide emissions, Alternative fuels and mobile energy sources, Renewable energy, Energy storage, Resource-efficient infrastructure planning, etc.
- City planning; ICT for urban technical supply, Geodata, tools for dialogue with citizens, etc.

(2) Digitalisation and Internet of Things (IoT)

Note:

Combinations of (1) and (2) are also invited to apply.

Annexure 4 : PROJECT FUNDING SUPPORT

DST/GITA and Vinnova will implement a joint, merit-based project evaluation and selection process using their respective assessment processes.

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

IN INDIA

Global Innovation & Technology Alliance (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. Disbursements will be basis completion of agreed milestones and deliverables and subject to on-site periodic project review by experts nominated by GITA.
- 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.
- 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.
- Following award notification, GITA will advise the IPL of all administrative and legal requirements to be addressed prior to the start of the project and the release of funds.

Royalty payments – for Indian participants

On successful completion of the project, Royalty will be collected as per the agreed percentage decided by competent authority, which will however not be less than 2% of the incomes from the developed product, process, knowhow, or any other derivatives developed under this joint project. The amount repayable as royalty will be equivalent to the Conditional Grant disbursed to the Indian industry partners.

Royalty shall be payable to GITA for each financial year 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.

IN SWEDEN

Vinnova will provide funding to Swedish side participants as grants. Grants are only given to organizations with operations in Sweden. The maximum funding levels which apply in this RFP are:

- Up to 50% of eligible costs for commercial entities/companies (given under State Aid regulation, see below)
- Up to 100% of eligible costs for research performing organisations (non-economical)
- Up to 80 % of eligible costs for public sector, other non-economical organisations

Vinnova's funding is through grants and thus subject to certain regulations. These regulations control, among other things, the types of costs that may be covered and aid intensity. Eligible costs are described in "Vinnova's General Terms and Conditions for Grants"⁴, as applicable on the date of decision. The rules are elaborated in more detail in "Vinnova's Guide to Terms and Conditions for Eligible Costs"⁵. The documents can be accessed from the Vinnova website. The General Terms and Conditions also contain regulations concerning project agreements, reporting, follow-up, auditing, handling of project results IP, conditions for payment and more.

Grants issued to businesses and other organizations that conduct commercial activities are provided in accordance with the Regulation on State Aid for Research and Development and Innovation (SFS 2015:208) and under which Vinnova provides grants covering a certain percentage of recipients' eligible costs. Guidelines on this is found at Vinnova's website⁶.

The types of project activities approved in this RFP shall be covered by Industrial Research (Industriell forskning) and/or Experimental Development (Experimentell utveckling) definitions, see Annex 2.

In addition to the General Terms and Conditions, Specific Terms and Conditions may be applied. For this RFP, the following Specific Terms and Conditions applies:

- No later than at the time of the first progress report to Vinnova, the Swedish Project coordinator must be able to verify the existence of a Consortium agreement (referred to as a Project agreement in the General Terms and Conditions) signed by all project partners.
- The form "Participant's approval" ("Projektparts godkännande") only applies to project Participants on the Swedish side, once decision on funding of the project has been made.

Additional specific terms and conditions may also be imposed. Any such terms and conditions will be specified by VINNOVA in its decision.

⁴ <https://www.vinnova.se/contentassets/e8744691aa1e46e89c4cc67c7c00a50d/multi-participants.pdf>

⁵ <https://www.vinnova.se/globalassets/dokument/guide-till-vinnovas-villkor-om-stodberattigande-kostnader.pdf>

⁶ <https://www.vinnova.se/en/apply-for-funding/rules-for-our-funding/state-aid-to-companies/>

Annexure 5 : APPLICATION SUBMISSION PROCESS

IN INDIA

1. Registration and submission of application

- The Indian Project Lead (IPL) may visit the GITA website: www.gita.org.in under the 'Apply for Funding' section.
- All applicants are required to register on the site.
 - 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.
- Application Submission Process:
 - Indian Project Lead needs to submit the Application online (no other mode of submission will be accepted) as per deadline **(by 19 August 2019)**.
 - Login with the same ID and password.
 - Complete and submit the desired Application Form, along with the required supporting documents, as listed on the GITA website, by the deadline.
 - Upon Application submission, the system will send auto-generated email acknowledgement to IPL, along with application reference number.
- The application must reflect collaborative, synergised and a balanced effort from both the IPL and SPC, be written in English, and submitted using the prescribed process.
- Only online mode of submission will be accepted.

IN SWEDEN

1. Submission of application

A person who submit the application must be authorized to do so on behalf of the applying organisation.

To apply for a grant, you fill in Web-based form in Vinnova's eServices portal (Intresseportalen). If you do not already have an account, you can register there. Only the Swedish participants should be included in the on-line application form with, for example, contact information and budgets.

You will also upload the following required documents. The documents must be written according to the instructions.

Mandatory attachments:

- Joint Application Form (MS Word document), filled in according the instructions here and in the form and identical to the one submitted by the Indian side to GITA The application form must reflect collaborative, synergised and a balanced effort from both the IPL and SPC and be written in English
- CV – Appendix: Shall include relevant information for project leader and key personnel on the Swedish side of the consortium, including those in consultant roles. Only 5 pages length is allowed, with maximum one page per individual.
- Latest annual report, registered at “Bolagsverket”, from the company acting as Project Coordinator on the Swedish side. Contact Vinnova if you have any questions concerning this.
- One document (maximum 3 pages), in 12 pt Times Roman, presenting:
 - A table with an overview of personnel resources involved, gender distribution within the team on the Swedish side, including a presentation of how much men/women contribute to the work and their roles to the project (as Full Time Equivalents). A possible imbalance in this regard should be explained in a credible way.
 - A self-assessment on which of the UN Sustainable Development Goals the project aims to address them and how.

2. Formal requirements

Vinnova will only assess proposals that meet the following formal requirements:

- The participants seeking grants from Vinnova must be legal entities registered in Sweden
- The Project leader (Projektledare) is employed by a company that is Project Coordinator
- The proposal follows the requirement for this RFP and contains all the mandatory attachments requested

Please note that the proposal may be assessed by both Swedish and international evaluators. Therefore, we recommend that the proposal is written in English. If the proposal is written in Swedish it will be translated without your co-operation.

Proposals should be submitted to Vinnova by **August 19, 2019 at 14:00**. When the proposal submission period has expired, any addition to the proposal can only be made at the request of Vinnova.

3. Who can read the application?

The proposal can be read by Vinnova's staff and by Vinnova's external evaluators appointed for the RFP. They all work under the obligation of professional secrecy.

4. Public access and Secrecy at Vinnova

Applications related to this RFP are public documents. As a rule, in accordance with the principle of public access to official records, the public has the right to access these documents. This also applies to applications that are rejected or withdrawn. Vinnova's decisions and the reasons for its decisions are also public information. However, Vinnova is required by law to keep confidential all information about an individual's (incl legal entities) business and operating circumstances, inventions, and research results, if it can

be assumed that the individual will suffer financial loss if the information is made public. More detailed information about confidentiality rules apply to documents submitted to us can be found on the Vinnova website.

5. After the Project has been approved for funding

No later than at the time of the first progress report to Vinnova, the Swedish Project coordinator must be able to verify the existence of a Consortium agreement (referred to as a Project agreement in the General Terms and Conditions) signed by all project partners.

6. Follow-up and reporting

The reporting to Vinnova shall be made in accordance with VINNOVA's decision and instructions. Participants shall also after the end of the project provide information in accordance with Vinnova's instructions and requests. Such information will not be requested more than three times within a period of ten (10) years from the final report.

Annexure 6: PROJECT EVALUATION AND PRE-COMMENCEMENT PROCESS

IN INDIA

STAGE 1

Eligibility check with complete set of documentation submission by the Indian Project Lead (IPL) and Indian Partners, if any.

STAGE 2

Projects will be evaluated according to the following criteria:

- (1) Technology maturity stage / proof of concept
- (2) Technical capability of Indian Partner (team, infrastructure etc.)
- (3) Indian Partner's ability to deliver/complete the project
- (4) Financial Capability / Health of the Indian Partner
- (5) Project Balance in terms of costs and efforts between the Project Partners
- (6) Commercialisation capability of the project
- (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

Note: Preference will be given to projects creating Intellectual Property (IP).

STAGE 3

Onsite Techno-Financial Due-Diligence of the shortlisted projects

STAGE 4

Announcement of awarded projects

STAGE 5

Signing of Conditional Grant Agreement (CGA)

IN SWEDEN

Vinnova will only assess proposals that meet the **formal requirements** (Annexure 5)

The following evaluation criteria will be applied in this RFP:

1. There is a clear market need for the intended technology, product or service
2. Novelty of Product / Technology in relation to state of the art
3. Novelty of process / functionality /integration/service in relation to state of the art
4. Technology maturity stage / proof of concept
5. Technical Capability (team, infrastructure etc.)
6. Ability to deliver/complete the project
7. Financial Capability/Health of the project, including ways to fund the project to market entry
8. Project Balance in terms of costs and efforts between the IPL & SPC
9. Commercialisation Capability.
10. Potential of Market Entry and Commercialization within 2 years of completion of the project, with reference to Target Market
11. Expected economic results from the accomplishment of the project and following activities.
12. The intended product, service or process has the potential to contribute to one or more of the for Global Sustainable Development Goals in Agenda 2030*
13. How well the team (key persons) is composed regarding gender distribution, including how power and influence between women and men is distributed. Any imbalances need to be commented on and goals related to gender equality should be described**

Interviews with applicants

Vinnova will invite applicants of proposals which have received sufficiently high grades from the initial review, based on the submitted information, for interviews. The reason for this to give us a possibility to assess other aspects than those covered in the texts. Interviews will take place approx. one month after closing of the RFP. Details on how this will be done, as well as timing, will be communicated to the Swedish applicants well in advance.

** Improved conditions for innovation will strengthen the capacity to reach the Global goals for sustainable development in Agenda 2030. Innovation will be crucial, to create new solutions that contribute to the goals within the framework of the priorities of the RFP.*

*** As Sweden's Innovation Agency, Vinnova promotes innovation that has the potential to contribute to sustainable growth. For generating innovation with the most possible impact, it is important to make use of the entire potential that exist in societies. Therefore, Vinnova actively works for including all groups in society to participate in innovation processes. In addition, Vinnova also encourages projects to generate results that benefit all groups in society equally. Gender equality is a prerequisite for sustainable growth and the projects funded by us are expected to contribute to an equal development of society. In our case it means that both women and men have the opportunity to access funding with equal opportunities and participate in - and have influence over - the project. Addressing gender aspects that are relevant in the problem area and utilization of the solutions are important.*

More information on how we address Agenda 2030 and Gender Equality is found on our website.

**Annexure 7 : GENERAL GUIDELINES ON INTELLECTUAL PROPERTY RIGHTS
(IPR)**

The regulation of ownership and access rights to Background and Foreground shall be entered into the Consortium Agreement and include provisions regarding inter alia:

- (i) The Participants in a project shall ensure appropriate protection of Intellectual Property Rights (“IPR”) generated from cooperating pursuant to the joint project approved under India-Sweden Request for Proposals (RFP) consistent with their respective laws, rules and regulations.
- (ii) “Background” means any data, know-how or information whatever its from or nature, tangible or intangible, including any rights such as IPR, which is:
 - a) held by Participants prior to their accession to the action,
 - b) needed for carrying out the action or for exploiting the results of the action, and
 - c) identified by the Participants.
- (iii) Each Participant is and shall remain owner of its Background.

The Parties shall declare that to the best of their knowledge and belief, that the use of the Background or Foreground in connection with the cooperation 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 of rights. The Parties will be jointly responsible for the Joint Foreground and each Participant is responsible for their own respective Background and/or Foreground. Each participant is responsible for any kind of legal implications emanating from infringement by it, as set forth in the Consortium Agreement.

- (iv) A Participant that holds Background is, until the signing of the Project Agreement, or by special agreement with the Participants, entitled to exclude Background from a Participant's right pursuant to this section as per mutual agreement.
- (v) “Foreground” means any tangible or intangible output of the action, such as data, knowledge or information, that is generated in the action, whatever its form or nature, whether or not it can be protected, as well as any rights attached to it, including IPR, as a result of performing the activities under the Consortium Agreement.
- (vi) If, for the implementation of the project, a Participant needs access to or use of another Participant's Foreground, that Participant shall be entitled thereto to the extent necessary without paying compensation. If, for the implementation of the project, a Participant needs access to or use of another Participant's Background, that Participant shall be entitled thereto to the extent

necessary.

- (vii) Unless otherwise agreed, if a Participant, in order to use its own Foreground (also including jointly owned Foreground), needs access to or use of another Participant's Foreground or Background, that Participant shall be granted such rights to the extent necessary.
- (viii) Unless otherwise agreed, Foreground shall be owned by the Participant generating it. Where Participants in an action have jointly generated Foreground, and where their respective contribution to the joint Foreground cannot be ascertained, or where it is not possible to separate such joint Foreground for the purpose of applying for, obtaining or maintaining the relevant IPR protection, they shall have joint ownership of that Foreground. In case of Joint Foreground, the Participants should apply as co-applicants, unless otherwise agreed, for the protection of intellectual property rights in accordance with the terms and conditions of the Consortium Agreement and in accordance with their obligations under Grant/Funding Agreements with the respective funding organisations.

The non-exclusive licenses to third parties to exploit the jointly owned Foreground, without any rights to sub-license, can be granted subject to the following conditions:

- a) Agreement between the Join owners,
 - b) prior notice shall be given to the other joint owners;
 - c) fair and reasonable compensation shall be provided to the other joint owners. If employees or any party working for a Participant are entitled to claim rights to the Foreground generated, the Participants concerned shall ensure that it is possible for those rights to be exercised in a manner compatible with its obligations under the Grant/Funding Agreement with the respective funding organization. The Participants shall use the Foreground in accordance with a plan for use. Use means, for example commercialization, licensing and publication. In case of publication consideration shall be taken to a Participant's need of protecting intellectual property and trade secrets.
- (ix) Commercialization: The Parties shall agree in advance on the ownership, management and commercialization strategy. License rights, manufacturing rights, marketing responsibilities, ownership of technology and other related commercial strategies for the outcome of this joint project. Indian Party must make suitable commercialization strategy keeping in mind the royalty payment terms to Funding Agency.

Confidential Information:

- (x) All information and documents exchanged between the Participants shall be kept confidential by the Participants and shall be used subject to such terms as each Participant may specify, subject to the Participants respective applicable laws, regulations, rules and procedures.

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- (xi) The Participants shall not use the information for purposes other than those specified, without the prior written consent of the other Participant.
