



InnovateUK
KTN

African Aquaculture Genetics Guidance

GCRF AgriFood Africa Innovation Awards Round 5

**Version 1:
13th January 2023**

Contents

| | |
|--|----------|
| <u>What is a GCRF Innovation Award</u> | <u>3</u> |
| <u>Scope</u> | <u>3</u> |
| <u>Impact</u> | <u>3</u> |
| <u>Terms and Conditions</u> | <u>3</u> |
| <u>Assessment Process</u> | <u>8</u> |

What is a GCRF AgriFood Africa Innovation Award?

- Projects should **develop novel business models or strategies to support the effective uptake of novel aquaculture genetics or genetic improvement programmes** through a defined **research/ innovation project** between a consortium of UK/African organisations.
- Innovate UK KTN is delivering these Innovation Awards as part of the [Global Challenges Research Fund AgriFood Africa Programme](#).
- Assuming the projects and/or partners are substantially different, lead applicants from UK-registered universities/RTOs/charities and lead applicants from UK-registered businesses/charities can submit a maximum of two applications.

Project Impact

- Project Impact
 - Projects must show the potential to reduce poverty, increase economic prosperity and improve well-being in Africa through the uptake of aquaculture and food systems technology and innovation.
- Project innovations must
 - be sustainable in the context of environmental challenges such as climate change and resource scarcity.
 - minimise negative effects such as pollution, food loss and waste.
 - promote safe, healthy and nutritious diets.
 - show benefit to an ODA-eligible African country's agriculture and/or food systems to contribute to sustainable, healthy, safe and nutritious diets.
 - consider diversity and equality, including where appropriate empowerment of girls and women in agriculture and food systems.

What are the Terms and Conditions for the Innovation Award?

1. Project Length

- 1.1 Projects are expected to start on 31st March 2023.
- 1.2 Projects must be completed and the 'Final Report and Project Completion Form' must be received by Innovate UK KTN by 29th September 2023 (Deadline).
- 1.3 No extensions will be granted for Projects not completed by the Deadline. If your Project is not completed by the Deadline, it will not be eligible to receive the Funding.

2. Award Structure, Use of Funds and Eligibility

- 2.1 Projects must be collaborative in nature with clearly defined budgets for all partners. We anticipate that costs will be allocated to the African partners to deliver on the collaborative Project deliverables.
- 2.2 Applications can apply for Funding of up to £30,000 (including any applicable VAT). Projects will comprise of a UK-registered Project lead. The Lead can work with a consortium of partners, of which at least one must be based in an ODA-eligible African country.
- 2.3 Projects must include a business as one of the organisations in the consortia.
- 2.4 The UK-registered lead organisation can be a UK-registered business, charity, University or Research Training Organisation (RTO).
- 2.5 The UK or African partner/s can be a University, industrial company, government body, agricultural cooperative/farming group, or from CGIAR or similar centres located in an ODA-eligible country.
- 2.6 Projects led by a UK University will be funded at 80% Full Economic Cost (FEC).
- 2.7 Projects led by a UK-registered RTO will be funded at 100%.
- 2.8 Projects led by a UK-registered charity will be funded at 100%.
- 2.9 Projects led by a UK-registered business will be funded depending on their size. The funding rates based on organisation size are as follows:
 - up to 70% for a micro or small organisation
 - up to 60% for a medium-sized organisation
 - up to 50% for a large organisation
- 2.10 For more information on company sizes, please refer to the [company accounts guidance](#).
- 2.11 A proportion of the value of the Award can be allocated to the African Partner(s) working on the project. Costs allocated for the African partners' contribution can be included at 100% FEC for the African partner, within the total funding available.
- 2.12 Subcontracting is allowed within the grant. This must be specified within the application budget. This Award is for research and innovation projects and is not to be used primarily to support capital costs. You can claim the usage costs of capital assets to support the project deliverables i.e. the depreciation cost of any capital items used in the project. Please refer to the Innovate UK Costs guidance for non-academic organisations for guidance on capital cost calculations, and material costs. Subcontracting is allowed within the grant this must be specified within the application budget.
- 2.13 If appropriate, applicants can use up to £5,000 from within the total project cost to support travel of the UK partner to the African partner's country, or the African partner to the UK. International air travel should be by economy class for flights up to 6 hours and economy or premium economy for flights over 6 hours. These awards will not support travel in business class/first class.
- 2.14 UK-registered Project leads must follow the [UKRI Due Diligence Guidance](#) in relation to any African partner working on the project.
- 2.15 Funding cannot be used towards any activities funded through other grants.

3 Minimal Financial Assistance

- 3.1 Funding awarded to a UK-registered business must comply with the Minimal Financial Assistance rules of the UK's Subsidy Control Framework (MFA Rules). The MFA Rules allow public bodies to award up to £315,000 (Funding Limit) to an enterprise in a 3-year rolling financial period (Applicable Period). Applicants must therefore declare in their application for Funding any previous funding received. To establish eligibility to receive the Funding, Innovate UK KTN

→ Return to [Contents](#)

must confirm that the total amount of the Funding, combined with the total amount of any previous funding received by applicants during the Applicable Period, does not exceed the Funding Limit. The Applicable Period is made up of: (a) the elapsed part of the current financial year, and (b) the two financial years immediately preceding the current financial year.

- 3.2 Applicants must declare in their application any funding which they have received during the Applicable Period under the [Minimal Financial Assistance Rules](#) and the [De Minimis Regulation](#). Applicants are not required to declare aid or subsidies which have been granted on a different basis (e.g. an aid award granted under the General Block Exemption Regulation).
- 3.3 Further information about the UK's Subsidy Control Framework can be found in: (a) the [UK-EU Trade and Cooperation Agreement](#) and (b) the [applicable guidance from BEIS](#).
- 3.4 EU Commission rules now only apply in limited circumstances. Please see the [general guidance](#) to check if these rules apply to your organisation.
- 3.5 If applicants are unsure about their obligations under the UK's International Obligations to Subsidy Control or the De Minimis rules, they should take independent legal advice. Innovate UK KTN cannot advise individual applicants/recipients on their eligibility and/or on their legal obligations.
- 3.6 Applicants warrant that the information contained in their application relating to their eligibility and obligations under the MFA rules and/or the De Minimis Regulation (including in particular the applicants declaration that they will not breach their Minimal Financial Assistance/De Minimis limit) is complete and correct to the best of their knowledge, and that they undertake to provide copies of any/all relevant documentation and/or evidence to Innovate UK KTN upon request.

4 Payment of the Award

- 4.1 The Funding will be awarded and paid to the UK-registered Project lead only. No Funding will be paid directly to the partner/s, and the UK-registered Project Lead is responsible for administering, paying and managing such portion of the Funding as may be attributable to the activities of the partner/s.
- 4.2 Any/all arrangements and/or disputes relating to payments and other financial matters between the UK-registered Project lead) and the partner/s must be managed and resolved internally. Innovate UK KTN will not be involved in managing or resolving disputes or other matters between partners.
- 4.3 The Funding is payable in arrears and there will be only one payment made. This payment will be made at the end of the Project and upon receipt of the 'Final Report and Project Completion Form' and evidence of eligible costs. This 'Final Report and Project Completion Form' must be completed and signed by both the UK-registered Project lead and the representative of the partner/s organisation.
- 4.4 A financial report will be required with a breakdown of expenditure, this should align with the planned expenditure and cost categories indicated in the budget included in the original application.
- 4.5 In accepting this Award, the UK-registered Project lead confirms that they will provide evidence to support the eligibility of costs with each Funding claim made. They are responsible for maintaining contemporaneous and detailed records and documentation relating to the use of their Award, including timesheets, invoices, and other documents. Applicants' time recording system should clearly show when, who and what has been carried out by employees. These should provide sufficient evidence to support the submission of timely and accurate claims and to

→ Return to [Contents](#)

demonstrate that the eligible project costs comply with the MFA rules and/or the De Minimis Regulation (as applicable).

4.6 A claim can only be approved when the following are met:

- The claim corresponds with the cost and budget.
- The claim includes evidence to support the eligibility of costs, as detailed above.
- The claim is commensurate with the activity, involvement and corresponding progress reported by the Project making the claim.
- The claim includes only eligible items as agreed in the original budget in the award application or agreed in writing by Innovate UK KTN should there be changes to the project plan.
- The UK-registered Project lead confirms that they shall submit to Innovate UK KTN upon request a full audit trail for all costs submitted in connection with this Award.

5. Official Development Assistance (ODA) and Gender Equality Act (GEA)

5.1 Projects and their outcomes must fit within the [Official Development Assistance \(ODA\) criteria](#) and align with the [Gender Equality Act \(GEA\)](#).

5.2 Applications must demonstrate how the primary benefit from the Project will contribute to international development outcomes, specifically enhanced food and nutrition security and welfare of the poor in urban and rural areas in developing African countries.

5.3 Activities carried out in the UK must be clearly relevant to delivering impact in the country of the partner/s. Any benefits to the UK must be secondary in nature and result from delivering the primary benefit. Applicants must clearly demonstrate how they will provide impact for developing countries.

5.4 Men and women experience poverty differently and face different obstacles to moving out of poverty. A significant gender gap in agriculture means women have unequal access to and control over productive assets and income. This is despite contributing a significant share of agricultural labour.

5.5 If a Project is not sensitive to how this affects agricultural productivity, marketing and processing, the impact will be limited and potentially exacerbate gender inequalities. Applicants should not assume that the household is a unit in which everything is pooled and shared and in which one person makes decisions on behalf of all household members.

5.6 Applications should recognise that to promote gender equality and empower girls and women is not only a goal in its own right. It is often a means to improving agricultural productivity or achieving food and nutrition security.

5.7 Projects should follow [UKRI guidance on Gender Equality in international development research and innovation](#).

6 [ODA Eligible African Countries](#)

- Angola
- Benin
- Burkina Faso
- Burundi
- Cameroon
- Central African Republic
- Chad
- Congo
- Democratic Republic of Congo
- Côte d'Ivoire
- Eritrea
- Ethiopia
- Gambia
- Ghana
- Guinea
- Guinea-Bissau
- Kenya
- Lesotho
- Liberia
- Madagascar
- Malawi
- Mali
- Mozambique
- Niger

→ Return to [Contents](#)

- Nigeria
- Rwanda
- Sao Tome and Principe
- Senegal
- Sierra Leone
- Somalia
- South Africa
- South Sudan
- Sudan
- Tanzania
- Togo
- Uganda
- Zambia
- Zimbabwe

7. Public Reporting

- 7.1 A summary of the Project will be published on the Innovate UK KTN website, in full or in part, subject to exclusion of sensitive or confidential information.
- 7.2 The identities of the partner organisations and the title of the Project will be made public by Innovate UK KTN.
- 7.3 Project leads will provide Innovate UK KTN, at an appropriate point in the future, with information to allow monitoring of the impact of the Project activities for both the African and UK partners, such as number of employees, improvements in company turnover or value, additional funding attracted etc. generated as a result of the Award.

8. Intellectual Property and use of outcomes

- 8.1 Innovate UK KTN strongly recommends that a collaboration agreement is drafted between partners at the application stage setting out the likely arrangements. If the partners' application is successful, a formal collaboration agreement for the Project can be defined, see the [Lambert Toolkit](#) for details of examples. This agreement should set out the basis of the collaboration, including at least the inputs and outputs of each partner, a delivery timetable and arrangements for ownership and management of intellectual property and rights to its exploitation. It is the partners' collective responsibility to put in place such an agreement.
- 8.2 Any collaboration agreement should be within the spirit of Official Development Assistance and must not inappropriately restrict use of outcomes of the research by potential beneficiaries in any partner country. Any licence(s) granted and subsequent commercial exploitation of the research outcomes are expected to be managed in a way that is consistent with the principles of Global Access (as exemplified by the Bill & Melinda Gates Foundation).

9. Research Responsibility

- 9.1. Applicants must make sure that all their proposed research, both in the UK and internationally, complies with the principles of the Biotechnology and Biological Sciences Research Council's (BBSRC) and other UK funders' common guidance on '[Responsibility in the use of animals in bioscience research](#)'.
- 9.2. Projects likely to directly compromise farm animal welfare outcomes will not be funded. Projects likely to benefit animal welfare will be viewed favourably. UK institutions should be aware of the extract from the guidance: "When collaborating with other laboratories, or where animal facilities are provided by third parties, researchers and the local ethics committee in the UK should satisfy themselves that welfare standards consistent with the principles of UK legislation (e.g., the Animals (Scientific Procedures) Act 1986), and set out in this guidance, are applied and maintained. Where there are significant deviations, prior approval from the funding body should be sought and agreed."

10. General Terms and Disclaimer

- 10.1. This funding is administered by Innovate UK KTN and funded through the GCRF AgriFood Africa Programme which is delivered by Innovate UK.
- 10.2. Innovate UK KTN reserves the right to terminate the Award at any time, subject to reasonable notice and to make any payment agreed necessary to cover outstanding and unavoidable commitments. If an Award is terminated or reduced in value, no liability for payment, redundancy or any other compensatory payment for the dismissal of staff funded by the Award will be accepted.
- 10.3. Innovate UK KTN has the unilateral right to change these Award Terms at any time, giving 3 months' notice. The UK-registered Project Lead cannot assign, transfer or sub-contract any of their rights or obligations under this Award to any third party. Rights and/or remedies under these Terms, whether exercised or not, remain available throughout the term of this agreement. These Award Terms do not create any partnership or joint venture between Innovate UK KTN and the UK-registered Project lead at law.
- 10.4. Innovate UK KTN accept no liability for any consequences, whether direct or indirect, that result from organisations undertaking an Innovation Award, using the funding, or Innovate UK KTN terminating these Terms and Conditions or the Award and limit our liability to the amount of Funding payable for which applicants can provide evidence of eligible costs incurred and defrayed, provided they are not in breach of its Terms.
- 10.5. This agreement is subject to the laws of England and Wales and the non-exclusive jurisdiction of the courts of England and Wales. The Award cannot be used for any political or lobbying activity, or for any purpose other than the Project or the purpose described or referred to in the Terms.
- 10.6. Innovate UK KTN accepts no liability, financial or otherwise, for expenditure or liability arising from the Project funded by the Award except as set out in these Terms and Conditions, or otherwise agreed in writing.
- 10.7. The UK-registered Project Lead shall indemnify and hold harmless Innovate UK KTN, its employees, agents, officers or subcontractors with respect to all claims, demands, actions, costs, expenses, losses, damages and all other liabilities arising from or incurred by reason of their and/or their African partner's actions and/or omissions in relation to the Project, the non-fulfilment of their and/or their African partner's obligations under this Agreement or their and/or their African partner's obligations to third parties.

What is the assessment process for applications?

- Only applications received in full by 11am BST 7th March 2023 (including a completed Application Form and Case for Support) will be considered.
- All applications will be checked against the terms and conditions listed above and only eligible applications will be assessed.
- Assessment of the awards will be completed by a group of staff from Innovate UK KTN and Innovate UK, and potentially independent experts with experience in AgriFood systems.

→ Return to [Contents](#)