TU Research and Innovation Supporting Enterprise scheme (TU RISE)

Application template

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|  |
| --- |
| **Application Guidance Note** * Before attempting to complete this template, you should ensure that you have familiarised yourself with the guidance provided in the TU RISE call documentation.
* All sections of the template and the appendices should be completed in full.
* Applications should adhere strictly to the word limit provided for each section. Any words in excess of the word count limit set will be redacted prior to the assessment of the application.
* The format of the application template should not be altered.
* The application should be submitted in Word and pdf format to systemperformance@hea.ie by **14th September 2023 at 17:00.**
* Only those institutions listed in Section 2.2 of the TU RISE call documentation are eligible to apply for funding.
* Applications that are submitted after the closing date will be deemed ineligible.
* Additional appendices and hyperlinks to further written information are not permitted.

**Data Protection** The HEA as data controller will process personal data received via this form in compliance with GDPR and the Data Protection Act 2018. We will only process the data received via this form for the purposes of assessing applications, and will be retained in line with our Records Management Policy only as long as is necessary to meet this purpose. For more information please see the HEA’s [Data Privacy Notice.](https://hea.ie/about-us/data_protection/) |

# **1. Project Summary**

##  Applicant information

|  |  |
| --- | --- |
| Name of institution:  |   |
| Select the relevant regional programme:  | Choose an item  |
| Project title: |  |
| Name of lead contact:(All project queries will be directed to this contact)  |  |
| Job title: |  |
| Office: |  |
| Email address:  |  |
| Telephone number: |  |

##  Project abstract

|  |
| --- |
| The abstract should provide the reader with a clear understanding of the fundamental aspects of the project. This description may be used in the public domain and, as such, should be written to be understood by a wide audience. No confidential information should be included. **Word count: 500** |
| **Word count: [XXX]** |

##  Summary of project budget

|  |  |
| --- | --- |
| Total project budget (€M)  |  |
| Project budget as a percentage of programme funds available (SEM: €63.68M; NW: €20M) |  |

# **2. Project Relevance**

## 2.1 Project objectives

|  |
| --- |
| List the key objectives of project. A maximum of five high-level project objectives may be listed. Each objective should be:* Specific
* Relevant to the aims and objectives of the TU RISE scheme
* Quantifiable
* A maximum of **40 words** in length

**Word count: 200** |
| 1.2.3.4.5.  |

## 2.2 Project and policy alignment

|  |
| --- |
| With reference to the project’s key objectives, detail the regional impact of the project. Your answer should cite relevant data and evidence and include comment on project alignment and coherence with: * The scope and outcomes of the TU RISE scheme
* Ireland’s Smart Specialisation Strategy
* European Regional Development Fund
* Other regional, national, or international strategies, as relevant

**Word count: 1000** |
| **Word count: [XXXX]** |

## 2.3 Institutional capacity and capability

|  |
| --- |
| Detail the institution’s capacity and capability to deliver the project objectives in the timeframe for TU RISE.[[1]](#footnote-1) Your answer should include direct reference to evidence and should address the following: * Alignment with institutional strategy
* Relationship between current research capacity and future capability, including identified areas where capacity building is needed
* Track record of engagement with enterprise/SMEs
* Supporting infrastructure in place
* Regional mission, including relevant established networks or activities

**Word count: 500** |
| **[Word count: XXX]** |

#

# **3. Project Design**

*In completing this section, applicants should adhere to the timeframe for completing activities under the TU RISE scheme: 48 months with an additional 12 months available for costs relating to research students only.*

## 3.1 Programme of work

|  |
| --- |
| Provide a brief narrative overview of the proposed programme of work, demonstrating how the specific objectives and deliverables will be achieved. Outline the rationale for the proposed approach and how the approach links to the overall project objectives.  **Word count: 1000** |
| **[Word count: XXXX]** |

## 3.2 Overview of project work packages

Complete the table below. Rows should be added/deleted for work packages as required. Please note that for the purpose of TU RISE, a work package is understood as a building block of the overall project, and within a work package there a sequence of activities (planned actions) that leads to a deliverable (output).

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Work package No.**  | **Work Package Title**  | **Responsible person(s)** | **Start** **MM/YY** | **End****MM/YY** |
| WP1 |  |  |  |  |
| WP2 |  |  |  |  |
| WP3 |  |  |  |  |
| WP4 |  |  |  |  |
| WP*n* |  |  |  |  |

## 3.3 Work package descriptions

Copy and complete the table below for each work package of the project. Add rows as required.

|  |  |  |  |
| --- | --- | --- | --- |
| **WP no.** |  | **WP title** |  |
| **WP objective****Word count: 40** | *[The overall objective of this specific work package should be stated here.]* |
| **Number** | **Planned actions**  | **Deliverables (Outputs)**(cross reference Section 4.2, as appropriate) | **End date** **(MM/YY)** | **Success criteria or outcome**  |
| R1.1 | *[Provide a specific description of key actions (or sequence of activities) that will take place in the work package in this column]* | *[Insert deliverables of the planned action/activity in this column.**A deliverable is something that is provided or achieved because of the implementation of the planned action.**Deliverables should be numbered, e.g., D1.11; D1.12]* |  | *[Identify how the success of the action/activity will be measured].* |
| R1.2 |  |  |  |  |
| R1.3 |  |  |  |  |
| R*n* |  |  |  |  |

# **4. Project Efficiency and Effectiveness**

## 4.1 Overview of enterprise engagements generated

|  |
| --- |
| Provide a brief overview of the enterprise engagements that will be generated as a result of the implementation of the project’s programme of work. This should include information on the: * Relationship between individual project work packages and engagements;
* Variety of engagements generated;
* Scale and reach of engagements;
* Rationale for the projections, including evidence base.

 **Word count: 1000** |
| **[Word count: XXXX]** |

## 4.2 Target number of enterprises supported by the project

With reference to the relevant output and result indicators for TU RISE, complete the table below indicating the project’s target number of distinct enterprises supported through relevant engagements and the link between work packages and performance indicators.[[2]](#footnote-2) Information on key actions/activities that will support target attainment should also be provided.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Indicator code**  | **Indicator name** | **No. of enterprises: Milestone** | **No. of enterprises: Target** | **Work package(s) associated** | **Key actions/activities that support the target** |
| **RCO01** | Enterprises supported (of which: micro, small, medium, large) |  |  |  |  |
| **RCO04** | Enterprises with non-financial support |  |  |  |  |
| **RCO05** | New enterprises supported |  |  |  |  |
| **RCR03** | Small and medium-sized enterprises (SMEs) introducing product or process innovation |  |  |  |  |

## 4.3 Project budget

*Complete the budget template below.* *Costings should be based on realistic timelines and costs for delivery of work packages as set out in Section 3. The project budget should present the total funding required over the timeframe of the scheme: 48 months with an additional 12 months available for costs relating to research students only. Any costs incurred outside the timeframes stipulated will be ineligible and the responsibility of the institution.*

*The cost categories provided in the project budget template may not be altered and have been designed to facilitate comparison of project costs across the sector. The budget template may be returned as an Excel spreadsheet if preferred.*

*A more detailed breakdown of the project costs must also be provided. See Appendix 1: Breakdown of Project Costs.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Cost Category[[3]](#footnote-3)** | **WP 1** | **WP2** | **WP3** | **WPn** | **Total Costs** |
| Direct staff costs |  |  |  |  |  |
| Research student stipends |  |  |  |  |  |
| Postgraduate fees  |  |  |  |  |  |
| Other research student costs  |  |  |  |  |  |
| Travel and subsistence |  |  |  |  |  |
| Collaboration and stakeholder engagement  |  |  |  |  |  |
| Communication  |  |  |  |  |  |
| Small equipment (<€10,000) |  |  |  |  |  |
| Digitisation/systems |  |  |  |  |  |
| Training and development |  |  |  |  |  |
| Other research capacity building costs |  |  |  |  |  |
| Indirect costs (Overheads)[[4]](#footnote-4) |  |  |  |  |  |
| **Total project costs requested**  |  |  |  |  |  |

#

# **5. Project Governance and Financial Oversight**

## 5.1 Project governance

|  |
| --- |
| Outline the governance and management structures in place to drive and oversee this project. This should include information on: * Approach to monitoring and evaluating the project throughout the funding period.
* Systems in place to monitor progress and results, including ability to plan for results, monitor progress towards key milestones and deliverables, report and learn.
* Systems in place to ensure compliance with the relevant standards and terms and conditions of the TU RISE scheme, ERDF, and the European Commission.
* Approach to identifying, assessing, and managing risks related to the project.
* Any recent or pending changes in governance and management structures that may impact the project.

**Word count: 500** |
| **[Word count: XXX]** |

##

## 5.2 Key risks and mitigation measures

Identify risks to successful delivery of the project. Proposed risk-mitigation measures should be detailed. Rows should be added/deleted as required.

|  |  |  |  |
| --- | --- | --- | --- |
|  **Risk area** | **Risk description**  | **Risk classification**  | **Proposed risk-mitigation measures**  |
|  |  | Choose an item. |  |
|  |  | Choose an item. |  |
|  |  | Choose an item. |  |
|  |  | Choose an item. |  |
|  |  | Choose an item. |  |

## 5.3 Financial Oversight

|  |
| --- |
| Provide an overview of the financial management framework and controls for the project, including how issues of value for money are taken into account in decision-making. **Word count: 350 words** |
| **[Word count: XXX]** |

# **6. Standards**

## 6.1 Gender equality and equal opportunities

|  |
| --- |
| Provide information on how the proposal aligns with the Charter of Fundamental Rights of the European Union and the United Nations Convention on the Rights of Persons with Disability (UNDRPD). The response must include information on: * How gender equality and equal opportunities have been considered in the development of the project proposal.
* Specific actions that will be taken to support gender equality and equality opportunity.
* Specific data sets to support equality monitoring should be identified (e.g., staff/researcher recruitment and retention rates; update and experience of training/development; number of engagements with female-led enterprise).
* The use of sex/gender disaggregated data to understand the beneficiaries of the TU RISE fund.
* How equality will be monitored in the recruitment of staff and research students and the steps taken to prevent discrimination on the grounds of gender, racial or ethnic origin, disability, religion or belief, age, and sexual orientation, including attention to accessibility for persons with disabilities.
* Athena Swan Ireland award status.
* Relevant policies and procedures in place and steps taken to ensure implementation across the institution.

**Word count: 500** |
| **[Word count: XXX]** |

## 6.2 Do no significant harm (DNSH)

|  |
| --- |
| Provide information on the measures that will be in place to promote sustainable development throughout the project, including the 6 principles of Do No Significant Harm (DNSH): climate change mitigation, climate change adaptation, the sustainable use and protection of water and marine resources, the circular economy including waste prevention and recycling, pollution prevention and control or the protection and restoration of biodiversity and ecosystems.**Word count: 350** |
| **[Word count: XXX]** |

## 6.3 State Aid

|  |
| --- |
| Proposals under the ERDF TU Research & Innovation for Supporting Enterprise Scheme must be from institutions whose primary activities concern:* Education for more and better skilled human resources;
* Conduct of independent research and development for more knowledge and better understanding including collaborative research and development; or
* Dissemination of research results.
 |
| By ticking this box, it is confirmed that this proposal is from an institution whose primary activities are included above: [ ]  |

## 6.4 Excluded activities

|  |
| --- |
| Proposals under the ERDF TU Research and Innovation for Supporting Enterprise Scheme must explicitly exclude:* Activities related to fossil fuels (including downstream use), except for natural gas-based heat/power compliant with the conditions set out in [Annex III of the DNSH guidance](https://ec.europa.eu/info/sites/default/files/c2021_1054_en.pdf),
* Activities under the ETS with projected CO2 equivalent emissions that are not substantially lower than the relevant benchmarks established for free allocation,
* Activities linked to the disposal of waste in landfill, in mechanical biological treatment (MBT) plants, and incinerators for the treatment of waste,
* Activities where the long-term disposal of waste may cause long-term harm to the environment (e.g., nuclear waste).
 |
| By ticking this box, it is confirmed that this proposal explicitly excludes the activities listed above: [ ]  |

## 6.5 Confirmation of eligibility for ERDF Funding

|  |
| --- |
| The applicant is responsible for overall compliance with the conditions for support under the European Regional Development Fund (ERDF): * The Institution has effective mechanisms in place to ensure that all public procurement is consistent with National and EU procurement legislation.
* The institution will ensure compliance with State Aid regulations and ensure that project activities do not give rise to unlawful state aid.
* The institution has effective mechanisms in place to ensure compliance with the Charter of Fundamental Rights of the European Union and with the United Nations Convention on the Rights of Persons with Disability (UNDRPD).
* All supported activities will promote sustainable development including the six principles of ‘Do No Significant Harm’ (DNSH).
* ERDF funding will not be used to fund infrastructure.
* Proposed activities have not started before the selection of the operation.
* The proposed activities fall within the scope of the ERDF and the specific intervention type (012. Research and innovation activities in public research centres, higher education and centres of competence including networking, industrial research, experimental development, feasibility studies) and are consistent with the call documentation and Ireland’s Smart Specialisation Strategy.
* The proposal does not include activities which were part of an operation subject to relocation as per Article 66 of Reg (EU) 2021/106035 or which would constitute a transfer of a productive activity as per point (a) of Article 65(1) of the same regulation.
* The proposal is not directly affected by a reasoned opinion by the Commission in respect of an infringement under Article 258 TFEU that puts at risk the legality and regularity of expenditure or the performance of operations.
 |
| By ticking this box, it is confirmed that this proposal complies with the condition for support under ERDF listed above: [ ]  |

# **7. Authorised signatures**

Applications must be signed by the Head of the Institution before submission to the HEA by **14 September 2023 at 17:00.**

On behalf of **[insert HEI],** I hereby confirm that I have read and understood the application document and declare that the particulars supplied in this application are true and correct.

|  |  |
| --- | --- |
| Head of Institution Signature: |  |
| Print Name: |  |
| Date: |  |

# Appendix 1: Breakdown of project costs

*The project budget should present the total funding required over the timeframe of the scheme: 48 months with an additional 12 months available for costs relating to research students only. Any costs incurred outside the timeframes stipulated will be ineligible and the responsibility of the institution.*

1. **Staff Costs**

|  |
| --- |
| Provide information on the cost of research office staff to be hired and indicate the role(s) they will fulfil in the institution. This should include information on the expected grade at which the position(s) will be advertised.  |
| (max. 350 words) |
| Total cost of research office staff to be hired for the duration of the project. |
| (amount in Euros 000.00 format) |

|  |
| --- |
| Provide information on additional staff costs not referenced above, including information on the expected grade at which the position(s) will be advertised as well as any further information on the rationale for these costs that is not provided in the main application.  |
| (max. 350 words) |
| Total additional staff costs requested for the duration of the project. |
| (amount in Euros 000.00 format) |

1. **Research Students**

|  |
| --- |
| Provide information on research student costs, including any further information on the rationale for these costs that is not provided in the main application.  |
| (max. 350 words) |
| Total cost for research students for the duration of the project. |
| (amount in Euros 000.00 format) |

1. **Travel and Subsistence**

|  |
| --- |
| Provide information on the proposed travel and subsistence costs for staff. |
| (max. 350 words) |
| Total travel and subsistence costs requested for the duration of the project. |
| (amount in Euros 000.00 format) |

1. **Collaboration and Stakeholder Engagement**

|  |
| --- |
| Provide information on collaboration and stakeholder engagement costs, including any further information on the rationale for these costs that is not provided in the main application. |
| (max. 350 words) |
| Total collaboration and stakeholder engagement costs requested for the duration of the project.  |
| (amount in Euros 000.00 format) |

1. **Communication**

|  |
| --- |
| Provide information on communication costs, including events, and any further information on the rationale for these costs that is not provided in the main application. |
| (max. 350 words) |
| Total communication costs requested for the duration of the project. |
| (amount in Euros 000.00 format) |

1. **Small Equipment (<€10,000)**

|  |
| --- |
| Provide information on small equipment costs, including details of the equipment costed and the rationale for inclusion of these costs.  |
| (max. 350 words) |
| Total equipment costs requested for the duration of the project.  |
| (amount in Euros 000.00 format) |

1. **Digitisation/Systems**

|  |
| --- |
| Provide information on any proposed costs relating to digitisation and systems in the HEI. |
| (max. 350 words) |
| Total cost for digitisation/systems requested for the duration of the project.  |
| (amount in Euros 000.00 format) |

1. **Training and Development**

|  |
| --- |
| Provide information on proposed training and development costs for staff.  |
| (max. 350 words) |
| Total cost requested for training and development for the duration of the project. |
| (amount in Euros 000.00 format) |

1. **Other Research Capacity Building Costs**

|  |
| --- |
| Provide information on any additional costs to support research capacity building and the rationale for inclusion of these costs. |
| (max. 350 words) |
| Total cost requested for any additional costs to support research capacity building  |
| (amount in Euros 000.00 format) |

1. **Total Amount Requested**

Total Amount Requested

|  |
| --- |
| (amount in Euros 000.00 format) |

**Please ensure that the information provided in this Appendix coheres with the information on costings provided in the Section 4.3 Project Budget.**

1. As per the TU RISE call document, funding is available for activities arising from eligible costs for four years (48 months). An additional 12 months is available for costs relating to research students only. [↑](#footnote-ref-1)
2. These indicators capture the number of distinct enterprises receiving support and not repeat engagement. Applicants should familiarise themselves with the information on performance indicators in the call document before completing milestone and target values. [↑](#footnote-ref-2)
3. Applicants should familiarise themselves with the information provided on cost categories in the call documentation before completing the budget template. [↑](#footnote-ref-3)
4. Overheads will be based on a flat rate of 15% of eligible direct staff costs. See the call document for further information. [↑](#footnote-ref-4)