**Application for SMART Expertise**

**Financial Support for a Collaborative Project**

**Open Call**

It is important that you read and use the accompanying **Guidance to SMART Expertise Application Form** when completing this form.

All sections are applicable to all partners.

**This is an open call. Please submit this completed form and appendices to** [smartexpertise@gov.wales](mailto:smartexpertise@gov.wales)

It is a condition that the project outputs are reported to the European Commission under European Regional Development Funds regulations. These will require verification during the project.

**SECTION 1. THE APPLICATION**

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| **1a. Application details** | | | |
| Project Title |  | | |
| Project Reference Number  (*Internal Use Only)* |  | | |
| Funding amount applied for(£) |  | Total Project Value (£) |  |
| Planned start date |  | | |
| Planned duration (months) |  | | |

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| **1b. Applicant details**  Lead Partner. The name provided here will be the primary point of contact for any queries relating to this application. | |
| Research Organisation |  |
| Address |  |
| Contact Name and Position |  |
| Telephone Number |  |
| Department |  |
| Email Address |  |

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| **1c. Partner details**  Please provide details of all partners already committed to the project. Add additional partners as needed. | |
| Name of company (as registered) |  |
| Companies House Number |  |
| Name and position of contact involved in project |  |
| Address (trading location, including postcode) |  |
| Structure of company (does it have a parent company etc.) |  |
| Email address |  |

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| --- | --- |
| Name of company (as registered) |  |
| Companies House Number |  |
| Name and position of contact involved in project |  |
| Address (trading location, including postcode) |  |
| Structure of company (does it have a parent company etc.) |  |
| Email address |  |

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| **1d. Project Summary**  This section provides an introduction to your application for the benefit of Welsh Government staff and assessors only. It will not be used for any public dissemination. It should cover, in brief:   * The common objective. * The identifiable technical and research challenges. * The technical solution.   This section should be consistent with your Gantt chart. |
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| **1e. Public description of project**  Provide a short description of your project in a way that is comprehensible to the general public and does not disclose any confidential information.  **Use no more than 250 words in this section.** |
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| **1f. Project history and its background**  Briefly describe any previous work that had led up to this project. |
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**SECTION 2. THE BUSINESS PROPOSAL**

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| **2a. The Project Business Case**  Explain the justification for the proposed project on the basis of its expected commercial benefit. Include the motivation for the project; overall vision for the partners and the market opportunities. |
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| **2b. Benefits to partners and impacts**  Explain the main benefits for all partners and their anticipated impacts (short, medium and long term). |
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| **2c. The need and identifiable challenges**  Describe in detail the key technical and research challenges to be overcome. |
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| **2d. The solution. How will you address the project challenges?**  Describe in detail how the identified technical and research challenges will be addressed by the partners. |
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**SECTION 3. THE PROJECT AND RESOURCES**

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| **3a. Project governance**  Explain how the governance structure for the project will work and interact with the project board / project manager. |
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| **3b. Project and organisational governance**  Explain how the governance structure for the project will fit with the organisational governance structure of the university |
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| **3c. Project management**  Explain how the project will be effectively managed, identifying any key tools and processes that will be used to ensure successful project delivery. |
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| **3d. Team and resources**  Describe the roles, skills and experience of all the team members, describe the resources, equipment, facilities required for the project and how they will be accessed. Provide details of any external work needed and justification and associated costs. |
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| **3e. Project delivery plan**  Provide detailed explanations of the project activities as stated in your Gantt Chart.  Provide an Appendix in a PDF of up to 2 pages of A4 with a Gantt Chart including a critical path, identifying key milestones and work packages (these will be used to monitor progress during the project). |
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| **3f. Project Risks**  What are the main risks for this project; how will they be shared? Who owns them? Is Intellectual Property likely to be generated, and if so, how will it be equitably shared? What background IP will each party bring to the project? Explain how the risks will be mitigated by providing a risk register. |
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| **3g. Additionality**  Explain why SMART Expertise financial support is needed for this project to go ahead, what would happen without it? What other funding sources have been explored by the partners? |
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**SECTION 4: WIDER IMPACTS**

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| **4a. Project delivers for Wales**  Describe the short, medium and long term impacts of the project on Wales including anticipated timescales. How will these be measured? |
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**SECTION 5. PROJECT FINANCES**

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| |  | | --- | | **5a. Financial Appendices**  Complete all spreadsheets in this section to show the breakdown of costs and each partner’s contributions. | |

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| **5b. Financial Detail**  Use the space below to provide information on justification of all costs.  All costs must be:  - Essential to the success of the project  - Directly attributable to the project  - Clearly auditable |
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**SECTION 6: PROJECT ENDORSEMENT & CHECKLIST**

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|  | | **6a. Endorsement & Undertaking by the Main Applicant** | | | | |
|  | | As an authorised signatory of [**INSERT MAIN APPLICANT ORGANISATION NAME**], I confirm that I have read the application for the project entitled [INSERT] in its entirety. [**INSERT NAME OF MAIN APPLICANT**] is employed full-time as [**ROLE**] in the Faculty/Department of [**INSERT**] and that s/he and other members of the proposed team will be allocated appropriate time in their work schedule(s) to complete the project satisfactorily.  I further confirm that, on behalf of the Research Organisation, I have read the project eligibility criteria as set out in the Guidance to SMART Expertise and undertake that the project will be run in accordance with the State Aid requirements that are explained in the same document.  I acknowledge that the award of funding is subject to a formal collaboration agreement being signed by all parties, a copy of which will be submitted to the Welsh Government within three months of us being notified of the success of our application. | | | | |
| Signed on behalf of |  | | | [INSERT MAIN APPLICANT ORGANISATION NAME] | | |
| By |  | | |  | | |
|  |  | | | [TYPE NAME of SIGNATORY] | | |
| Position |  | | | [INSERT POSITION] | | |
| On |  | | | [INSERT DATE] | | |
|  | |  | | | | |
|  | | **6b. Undertaking by the Commercial Partners** | | | | |
|  | | On behalf of our relative organisations, we confirm that we endorse this application for funding and undertake that our organisations will provide the staff time, material and other resources as set out in the application. We also confirm our intention to make the best commercial use of the project outputs.  We acknowledge that the award of funding is subject to a formal collaboration agreement being signed by all parties, a copy of which will be submitted to the Welsh Government within **three** **months** of us being notified of the success of this application. | | | | |
|  | | **Organisation Name** | **Signatory Name & position held** (*print name*) | | **Signature** | **Date** |
| Partner 1 | |  |  | |  |  |
| Partner 2 | |  |  | |  |  |
| Partner 3 | |  |  | |  |  |
| Partner 4 | |  |  | |  |  |
| Partner 5 | |  |  | |  |  |

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| **6c. Application Checklist** | | |
|  | \*Collaboration Agreement (if successful a collaboration agreement is required before a project can begin. Not essential at application stage. See guidance) |  |
|  | Appendix Commercialisation and Development Plan |  |
|  | Appendix Gantt Chart |  |
|  | Appendix Organisational chart and project management structure |  |
|  | Appendix Research Organisation Governance chart |  |
|  | Appendix Team Skills & Experience |  |
|  | Appendix Risk Register |  |
|  | Section 5. Expenditure and output profiles have been completed, agreed and included by all partners |  |
|  | Application has been endorsed and signed by all parties |  |
|  | Your Research Development Manager has reviewed this application prior to submission |  |
| **6d. Submitting your application** | | |
| Please submit your application to: [smartexpertise@gov.wales](mailto:smartexpertise@gov.wales) | | |

**PRIVACY STATEMENT**

The Welsh Government is the data controller for any personal data that you provide. All personal data will be handled in line with General Data Protection Regulation (EU 2016/679).

1. **Why we collect and process your personal data**
   * To deliver Welsh Government Innovation support, for example through the ERDF-funded SMART suite of programmes;
   * To carry out planning, research, analysis and monitoring of Welsh Government support for innovation, and potentially to produce statistical publications;
   * To undertake audits on the project;
   * As part of promotional activity such as government business, case studies, press releases, marketing campaigns, public media; the information may be shared in the public domain.
2. **Who will have access to your personal data?**

This data may be collected by:

* + The Welsh Government for the purposes described above;
  + Approved social research organisations, to carry out research, analysis or equal opportunities monitoring of the innovation support programmes;
  + The Welsh European Funding Office (WEFO) – as scheme sponsors, WEFO require a full list of beneficiary data in order to fulfil the reporting requirements;
  + The European Commission (EC) and European Funds Audit Team (EFAT) who will take samples of our data to ensure we are following the correct processes.

1. **Lawfulness**
   * The business support and audit purposes are carried out as part of the Welsh Government’s public task to meet its main economic aim to create jobs, growth and wealth in Wales.
   * Any research / evaluation will only be undertaken with your consent. Only a sample of individuals and / or enterprises will be contacted for this purpose. If you are contacted to take part in any research / evaluation about your experience on the project then the purpose of the interview or survey will be explained to you and you will be given the option to accept or decline taking part. Your contact details will only be used for approved research and will be deleted once this approved research is complete.
   * Any promotional activity will only be undertaken with your consent.You have the right to decline participation in promotional activity.
2. **How long are your details kept?**
   * Your details will be retained on our systems in line with Welsh Government retention policy for up to 10 years as part of our ongoing training and quality reviews.

1. **Your rights**

Under the data protection legislation, you have the right to:

* + access the personal data the Welsh Government holds on you;
  + require us to rectify inaccuracies in that data;
  + (in certain circumstances) object to or restrict processing;
  + (in certain circumstances) request your data to be ‘erased’;
  + lodge a complaint with the Information Commissioner’s Office (ICO) who is our independent regulator for data protection.

The Information Commissioner’s Office can be contacted at:

Customer Contact

Wycliffe House

Water Lane

Wilmslow

Cheshire

SK9 5AF

Telephone: 01625 545 745 or 0303 123 1113

Website: www.ico.org.uk

The Welsh Government’s Data Protection Officer can be contacted at:

Data Protection Officer

Welsh Government

Cathays Park

Cardiff

CF10 3NQ

Email address: [Data.ProtectionOfficer@gov.wales](mailto:Data.ProtectionOfficer@gov.wales)

1. **The Freedom of Information Act and your Information**

The Freedom of Information Act 2000 and the Environmental Information Regulations 2004 allow the public to ask to see information held by public bodies, including the Welsh Government. The information you provide us may be the subject of a freedom of information request by another member of the public. We would consult with you to seek your views before disclosing any personal data in response to such a request.

1. **Changes to this policy**

The Welsh Government may make changes to this privacy policy at any time. When changes occur to this policy we will contact you on the email address we have recorded in your account to enable you to review the new version.

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| For office use only | |
| Project Ref |  |
| Welsh Government contact |  |
| Date received |  |
| Acknowledgement sent |  |
| Accept/Decline |  |
| Notification sent |  |
| Match to policy sector area | |  |  |  |  | | --- | --- | --- | --- | | Life Science |  | FPS |  | | Low Carbon, E&E |  | **Construction** |  | | AMM |  | **Tourism** |  | | ICT |  | **Food & Farming** |  | | Creative Industries |  |  |  | |