



EXPO
2020
DUBAI
UAE



EXPO LIVE

INNOVATION IMPACT GRANT PROGRAMME

GRANT MANUAL

INNOVATION CAN COME FROM
ANYWHERE, TO EVERYONE





FOREWORD

CONNECTING MINDS, CREATING THE FUTURE IS FAR MORE THAN A THEME; IT IS A MANDATE, A PROMISE THAT THE UAE HAS MADE TO THE WORLD. FROM EVERY WALK OF LIFE, AND EVERY CORNER OF THE GLOBE, WE ARE CONNECTED THROUGH OUR HOPE FOR A BRIGHTER FUTURE. IN THIS WORLD OF SHARED DESTINIES, OUR THEME IS A COMMITMENT TO PARTNERSHIP – A PARTNERSHIP THAT WILL FOSTER CROSS-NATIONAL AND CROSS-DISCIPLINARY COOPERATION AND INNOVATION.

HER EXCELLENCY REEM AL HASHIMY
UAE MINISTER OF STATE FOR INTERNATIONAL COOPERATION,
DIRECTOR GENERAL, EXPO 2020 DUBAI

Our hope is to engage the international community in seeking collective solutions to global challenges in our subtheme areas of Opportunity, Mobility and Sustainability.

In our increasingly interconnected and interdependent economies and societies, collaborative partnerships are key to building happier and more prosperous communities, smarter cities, cutting-edge learning environments, intelligent transport systems, lower carbon energy solutions, and so much more.

We foresee a world with clean air to breathe and clean water to drink; a world where natural resources are conserved for tomorrow; a world where entrepreneurs flourish; a world where all women are well-educated and empowered, where children are not hungry, where healthcare is not a luxury, and where poverty is eliminated; a world of opportunity for future generations.

Expo Live gives content to our pledge to support innovative solutions for these global challenges. It recognises that economic, social, and environmental challenges are closely intertwined. It translates the aspirations of our theme into a global initiative – creating opportunities for partnerships, innovations, and solutions that directly benefit communities around the world. Expo Live is about innovation; it is about sharing; it is about change with impact; it is about people implementing new ideas that positively affect the lives of people.

From our first call for proposals for Expo Live Innovation Impact Grants in 2016 through to 2020, we will deliver on the promise and power of connecting minds to create a better future. Our aim is to accelerate both the development and deployment of solutions in Opportunity, Mobility, and Sustainability.

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SECTION > 1

EXPO 2020 DUBAI AND EXPO LIVE

1.1 > OVERVIEW OF EXPO 2020 DUBAI

Expo 2020 Dubai (the “Event”) will be the first World Expo held in the Middle East, Africa and South Asia (MEASA). With its central theme of Connecting Minds, Creating the Future and the subthemes of Opportunity, Mobility and Sustainability, it is committed to convening the global community and inspiring people to collaborate towards creating a better future. Recognising that today’s challenges are too complex and interconnected to be solved in isolation, Expo 2020 Dubai is determined to connect creative minds and forge new partnerships.

Expo 2020 Dubai will be held between 20 October 2020 and 10 April 2021. The venue is a 200-hectare site where approximately 200 participants will represent nations, international organisations, companies, NGOs and universities. With 25 million expected visits, 70% of which will be international, Expo 2020 Dubai provides a one-of-a-kind global stage for showcasing and sharing novel solutions and demonstrating projects that – irrespective of their size and geography – can improve, if not transform, the lives of people around the world.

1.2 > OVERVIEW OF EXPO LIVE

Expo Live is an innovation and partnership programme launched by Expo 2020 Dubai to fund, accelerate, and promote creative solutions that improve lives while preserving our planet. With an allocation of USD 100 million, Expo Live will harness the convening power of a World Expo to demonstrate how innovations coming from all places and people can advance the pace of progress and inspire a more inclusive and prosperous future.

In the build-up to the World Expo in 2020, the programme will deploy a combination of grants, challenge prizes and knowledge sharing events focused on the universal drivers of progress: Opportunity, Mobility and Sustainability.

EXPO LIVE HAS FOUR OBJECTIVES:



> INNOVATION

Make Expo 2020 Dubai an engine of global innovation that both inspires and acts as a catalyst for creative and scalable solutions.



> PARTNERSHIPS

Establish a network for collaboration between nations, organisations and innovators around shared global challenges.



> ENGAGEMENT

Engage participants and stakeholders on the journey to Expo 2020 Dubai by the 'connecting of minds' to seek and support solutions across Expo's subthemes of Opportunity, Mobility, and Sustainability, while contributing to high-quality and relevant content to be exhibited during the event.



> IMPACT

Create tangible and quantifiable impact to improve the lives of people around the world by supporting the development and transfer of new solutions.

SECTION > 2

ABOUT EXPO LIVE INNOVATION IMPACT GRANT PROGRAMME



2.1 > OBJECTIVES

Expo Live's flagship programme, Expo Live Innovation Impact Grant Programme, will fund novel and innovative solutions that encapsulate the spirit of the theme Connecting Minds, Creating the Future. The focus areas for funding are the subtheme areas of Opportunity, Mobility and Sustainability. Successful applicants will demonstrate how new innovations,

or the innovative application of existing solutions addressing global challenges, could lead to impressive impacts at community level. Potential for replication, scaling-up or scaling-out* of solutions and its impacts are important.

The programme will be opened for submission twice a year in January and June.

Beyond grant funding, successful grant recipients will also have access to networking and partnership opportunities, marketing and communications exposure, as well as additional funding enabling their solutions to be showcased during Expo 2020 Dubai.

*Scale-up is when projects introduce innovative ways to expand the potential benefits of solutions to more people and more regions. Scale-out is when projects extend their application to new problems, new domains or through new partnership models.

2.2 > SCOPE

The Innovation Impact Grant Programme focuses on smaller, startup and social enterprise organisations that could utilise grants up to USD 100,000 to fuel and capacitate their projects in their journey to scale.

Funding levels will depend on the stage of maturity of the project, its capacity to implement and grow and the extent of its impacts in the subtheme areas as well as at community level. Tranche funding against milestones will be introduced for larger projects, multi-year initiatives and startup ventures.

Expo Live Innovation Impact Grant Programme will fund projects that are beyond the ideation stage. The intent is to build a portfolio of projects that range from prototype stage (testing and validating a working model), implementation (in-market and continuous product or service improvement), to building the pathways to scale (expanding the product or service to a larger scale).

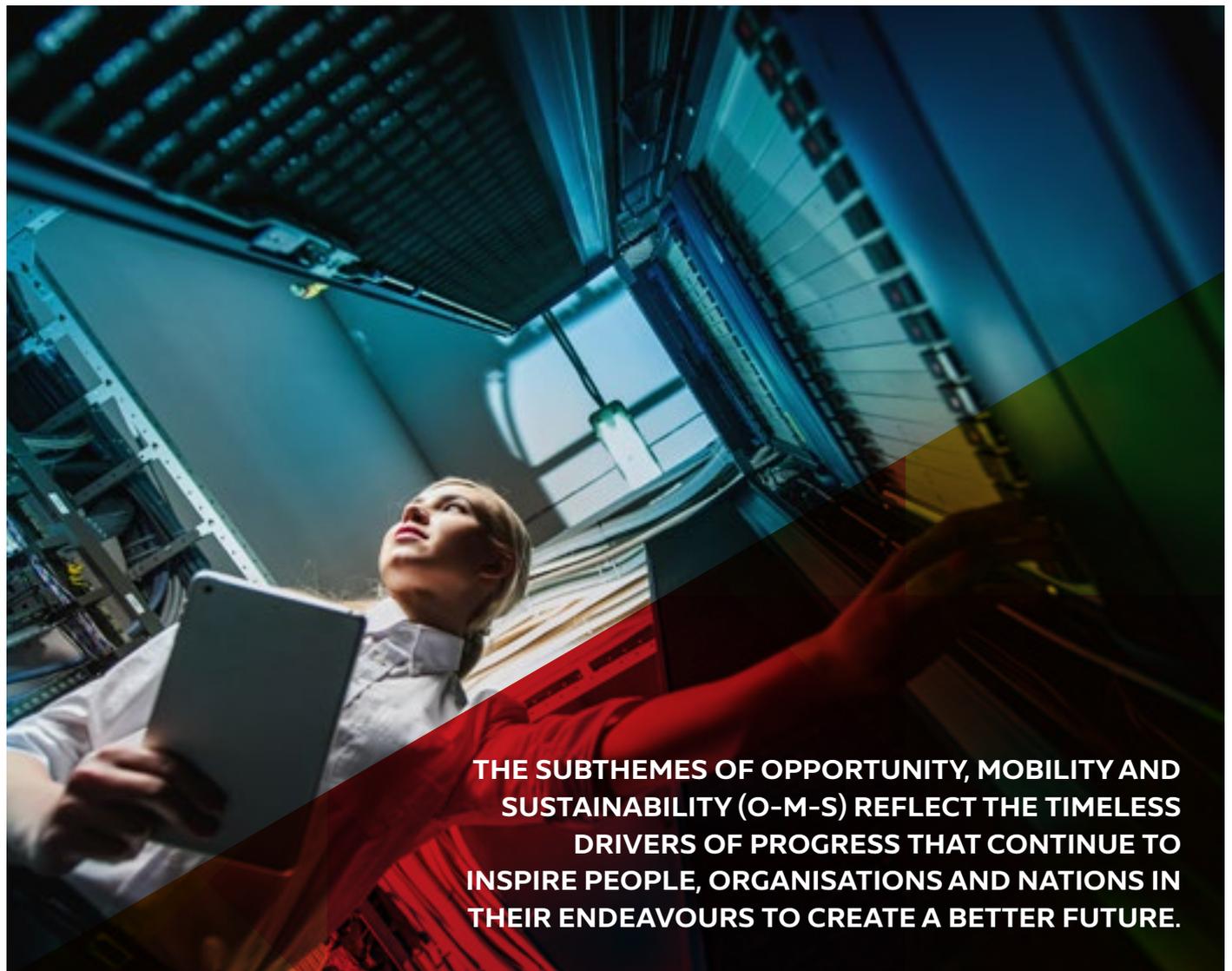


2.3 > FOCUS AREAS

The theme of Connecting Minds, Creating the Future recognises that the creation of sustainable solutions to global problems demands readiness to reach out across geographies, institutional boundaries, industry clusters, cultures and disciplines. Often we have to move outside our traditional silos to make progress; with solutions emerging from where they are least expected.

The subthemes of Opportunity, Mobility and Sustainability (O-M-S) reflect the timeless drivers of progress that continue to inspire people, organisations and nations in their endeavours to create a better future.

The focus areas for innovative solutions under each subtheme are deliberately kept broad to ensure maximum inclusion and to allow creative ideas from across the world to emerge. The tables on the next page are indicative and not comprehensive.



THE SUBTHEMES OF OPPORTUNITY, MOBILITY AND SUSTAINABILITY (O-M-S) REFLECT THE TIMELESS DRIVERS OF PROGRESS THAT CONTINUE TO INSPIRE PEOPLE, ORGANISATIONS AND NATIONS IN THEIR ENDEAVOURS TO CREATE A BETTER FUTURE.

OPPORTUNITY



Opportunity is about unlocking the potential of individuals and communities to shape a better future. Within the subtheme of Opportunity, we aim to bring to life our distinct and collective efforts to allow people and communities to realise their potential in a fast-changing world.

Opportunity lies at the core of human development and growth. It is about the aspirations of people, and turning those aspirations into the realities of tomorrow through education, employment, new industries, financial capital and governance systems.

▶ OPPORTUNITY UNLOCKING THE POTENTIAL WITHIN INDIVIDUALS AND COMMUNITIES TO SHAPE A BETTER FUTURE

INNOVATION OBJECTIVES

EDUCATION

SAMPLE CATEGORIES OF SOLUTIONS

- > Improving access & quality of education, training & capacity-building
- > Mentoring & support networks
- > Online education & new tools for learning
- > Schools & curricula for the future

EMPLOYMENT

- > Access to employment
- > (Re)skilling for emerging jobs
- > Workplaces of the future (physical & virtual)
- > Automation of work (artificial intelligence & robotics)

NEW INDUSTRIES

- > Fostering entrepreneurship
- > Boosting small & medium enterprises
- > Emerging & pioneering sectors, industries & business models
- > Future manufacturing & services

FINANCIAL CAPITAL

- > Access to funding & financial services
- > Access to global markets
- > Future of banking, payments & financial services
- > Social enterprises, impact investing & new philanthropy

GOVERNANCE

- > Systems to enhance transparency, inventiveness & competitiveness
- > Innovation ecosystems
- > Creative communities
- > Smart government

MOBILITY



Mobility is the bridge to Opportunity. By enabling connections, Mobility simulates progress and opens the door to possibility and inclusion. It explores the many different ways in which movement – of people, goods and ideas – can bring the world into greater connection. This subtheme is as much about the way we move as it is about the speed and scale of progress that we can achieve thanks to the ability to connect physically and virtually. Creating smarter and effective connections accelerates progress as new ideas, knowledge and resources can reach communities faster and further.

► MOBILITY CREATING SMARTER AND MORE PRODUCTIVE MOVEMENT OF PEOPLE, GOODS, AND IDEAS

INNOVATION OBJECTIVES

TRANSPORTATION

SAMPLE CATEGORIES OF SOLUTIONS

- > Means & modes for transport
- > Sustainable, low carbon solutions
- > Autonomous vehicles (drones, driverless cars)
- > Smart infrastructure

TRAVEL & EXPLORATION

- > Exploring new frontiers to connect people, places & opportunities
- > Experiential, authentic & immersive travel & tourism to enhance understanding
- > Migration-Opportunity nexus
- > New technologies & business models

PERSONAL MOBILITY

- > Restoring personal mobility
- > Affordable & accessible prosthetics
- > Assistive robotics
- > Universal accessibility (physical & digital)

LOGISTICS

- > Humanitarian & vital goods logistics (e.g. food, medicine, water, energy)
- > Supply chains of the future
- > Tracking & safety of goods
- > Logistics corridors & intermodal connectivity

DIGITAL CONNECTIVITY

- > Accessing remote services (internet, health, education)
- > Big data, Internet of things & smart cities
- > Virtual & augmented experiences
- > Navigation & satellite applications

SUSTAINABILITY



Sustainability is about respecting and living in balance with our planet. By understanding the intricate and often hidden web of connections that shape the working of our world, we can develop new ways of interacting with our habitats, discovering new resources or using resources in novel ways, designing systems and processes that help us exist within the boundaries of our environment.

It reflects our commitment to understand and nurture the bond that connects people, society and habitats and to find new paths for prosperity that can lead to a viable future.

► SUSTAINABILITY RESPECTING AND LIVING IN BALANCE WITH OUR PLANET

INNOVATION OBJECTIVES

NATURAL ECOSYSTEMS
& BIODIVERSITY

SAMPLE CATEGORIES OF SOLUTIONS

- > Unlocking traditional & indigenous knowledge
- > Biodiversity management, understanding & conservation
- > Future of eco-regions & biomes
- > Closed loop systems & biomimicry

RESOURCES

- > Access to current & unexplored resources
- > Energy, water & food nexus
- > Resource efficiency, management, storage & distribution
- > Sustainable food production

SUSTAINABLE CITIES
& BUILT HABITATS

- > Sustainable lifestyles (design & manufacturing)
- > Sustainable materials
- > Green standards & best practices
- > Preserving cultural authenticity

CLIMATE CHANGE

- > Adapting to social impacts of climate change
- > Emissions reporting & management
- > Novel technologies to mitigate climate change
- > Education & advocacy

GREEN GROWTH

- > Innovation and investment in human capital & infrastructure for green growth
- > Greening consumer behaviour
- > New economic models & circular economies
- > Technologies for a green transition

2.4 > PROJECT ORIGINATION

Expo Live will use a distributed approach to identify appropriate projects.



CALLS FOR PROPOSALS

A competitive Call for Proposals will be issued at regular intervals. We will distribute the invitation for Call for Proposals through multiple channels, including Expo Live website, social media, and network partners. This category is open for applications from any of the eligible entities listed in paragraph 3.1. Applicants will be eligible to submit one application per grant application cycle.

PARTNERSHIPS

Projects could be introduced by Expo Dubai 2020 LLC's network partners, for example international participants, non-governmental organisations, multilateral organisations, development finance institutions, innovation agencies, or philanthropic grant-making bodies. Projects that qualify for co-funding by Expo Live would have to clearly demonstrate incremental benefits that would not be realised otherwise.



DIRECTLY SOURCED PROJECTS

When Expo Live becomes aware of projects that are well-suited to our objectives, we may invite abstract submissions.

2.5 > GOVERNANCE

The governance structure will ensure fairness and accountability in the evaluation and selection process.



ADMINISTRATION

The Expo Live Department manages the administration of the Grant Programme. It is also responsible for coordinating technical assistance to qualifying developing country applicants and to establish a robust monitoring and evaluation (M&E) framework. The Expo Dubai 2020 LLC Governance, Legal and Finance departments will provide legal and financial due diligence support. Expo Dubai 2020 LLC is the signatory for grant agreements and will disburse grant funding.

PROJECT SELECTION

An Expo Live Evaluation Panel will perform the technical and sustainability assessment for projects (see criteria in 3.2). It will shortlist and recommend projects to the Board of Directors of Expo Dubai 2020 LLC. The Panel may, at any stage during the evaluation cycle, seek external advice as it deems necessary. The latter could include requesting the Expo Live Department to source external review reports from experts, to conduct site inspections, project visits, or to seek further information from applicants. The Panel will recommend, for consideration by the Expo Dubai 2020 LLC Board of Directors, a portfolio of projects that reflect diversity of geographic representation; a balanced spread of O-M-S subtheme-related projects; and projects, technologies and business models at different stages of maturity.

2.6 > PROJECT SELECTION CYCLE

Applications for Innovation Impact Grants opens twice a year in January and June. The selection cycle has four main stages:



PRE-PROPOSAL ABSTRACT

- > Once applicants have registered on the Expo Live e-portal, a short abstract describing the project should be submitted online.*
- > Eligible abstracts will be evaluated and shortlisted by the Expo Live Evaluation Panel. Shortlisted applicants will be invited to submit a full application.
- > Applicants can expect a decision within 30 working days after abstract submission.

FULL PROPOSAL

- > Upon receipt of an invitation, a full project application and supporting documents must be submitted online* within 30 working days.
- > The Expo Live Department, in collaboration with the Legal, Finance and Governance Departments, will conduct a financial and legal due diligence review for all full application submissions (see eligibility criteria in the next section).
- > The Expo Live Evaluation Panel will next review and assess proposals based on the technical and sustainability criteria as outlined in 3.2.2. This Panel will rank projects and recommend shortlisted projects for consideration for in-person presentations.
- > Depending on the technical and scientific nature of the application, this stage should be completed within 30 to 60 working days after submission.

IN-PERSON PRESENTATION

- > Shortlisted applicants will be invited to Dubai (United Arab Emirates) to give in-person presentations. The Evaluation Panel will rank projects and recommend final selection for consideration by the Expo Dubai 2020 LLC Board of Directors.

*In exceptional cases, for example where applicants do not have access to broadband, hard copies or emailed copies will be considered, provided the correct templates are used.

GRANT APPROVAL

- > The Expo Dubai 2020 LLC Board of Directors will consider the diversity of geographic representation; the spread of O-M-S subtheme-related projects; and the representation of projects, technologies and business models at different stages of maturity.

GRANT AGREEMENT

- > Once a grant has received approval for funding, a preliminary award notification letter will be sent to the applicant containing a list of any outstanding issues that need to be resolved prior to signing the agreement.
- > The agreement will be customised to provide for key performance indicators, impact assessment, technical assistance and risk mitigation.
- > Original copies of the agreement must be signed by both parties before funds can be disbursed. Standard terms and conditions will apply.

2.7 > TECHNICAL ASSISTANCE

Applicants from qualifying developing countries may be eligible for technical assistance (TA) during the application, screening and evaluation stages. The level of technical support will depend on needs. Expo Live will consider customised technical assistance on a case-by-case basis.

In the post-award stage, TA to qualifying projects should ideally be integrated with project/business plans and budgets, and thus be covered by grant agreements. During the due diligence stage, Expo Live may conduct capacity assessments

and prepare recommendations to address capacity gaps. We may also assess potential project risks and, if required, recommend risk mitigation measures (e.g. business or management support in different disciplines) to be funded as part of grant agreements.

Capacity building and TA may be extended to the monitoring and evaluation stage, with the emphasis on building financial and programmatic reporting capacity.





SECTION > 3 ELIGIBILITY AND EVALUATION CRITERIA

3.1 > ELIGIBILITY CRITERIA: WHO CAN APPLY?

Eligible applicant(s) are individuals and legal entities, including, but not limited to: individual entrepreneurs, SMEs, non-for-profit organisations and government related entities.

- > Projects related to youth empowerment and/or initiated by the youth are encouraged to participate through their institutional affiliations (e.g. schools and universities, or community-based organisations).
- > In the case of individual innovators applying for grants, they must apply independently, meaning unaffiliated with an organisation.*
- > The applicant may act individually or with co-applicants. Co-applicants must satisfy the same eligibility criteria as applicable to the applicant.**

No individuals or organisations with questionable legal status or standing may apply.***

These could include:

- > Being convicted of an offence concerning their professional conduct by a judgment of a competent authority;
- > Non-compliance with social security or tax payments in accordance with the legal provisions of the country in which they are established or those of the country where the contract is to be performed;
- > In financial trouble, which may include bankruptcy or suspended business activities;
- > Legally convicted for fraud, corruption, involvement in a criminal organisation, money laundering or any other illegal activity; and/or
- > Misrepresentation in supplying the information required in this application process.

*If employed by or affiliated with an organisation, individual applicants must have authorisation from the organisation to pursue project development exclusively as an individual with no rights reserved to the organisation. The individual, not the organisation, retains all intellectual property rights accrued from the grant project.

** If awarded the grant, the lead applicant will become the beneficiary identified as the coordinator in the grant agreement. The coordinator is the main interlocutor of the Expo Live Department and represents and acts on behalf of any other co-beneficiary. Where there are co-applicants, ex ante agreement is required on ownership of intellectual property rights resulting from the project.

*** Individuals will have to submit police reports attested by the relevant authorities, and/or bank statements, and/or certificates of good standing, and/or an equivalent document from any entity requested by Expo Dubai 2020 LLC. Private companies and other legal entities will have to submit the companies' legal documents updated and attested by the relevant authorities, and/or bank statements, and/or certificates of good standing, and/or an equivalent document from any entity requested by Expo Dubai 2020 LLC.

3.2 > EVALUATION CRITERIA

3.2.1 > ABSTRACTS

Following an initial screening for eligibility, abstracts will be evaluated by the Expo Live Evaluation Panel against the following criteria.

CRITERIA

- 1 > **ALIGNMENT WITH EXPO 2020 DUBAI OBJECTIVES**
Is the project relevant to the theme & subthemes?
- 2 > **INNOVATIVENESS**
Is the project novel, inspiring and demonstrable?
- 3 > **IMPACT**
Are the community benefits meaningful, scalable/replicable and can it be assessed/measured?
- 4 > **QUALITY OF SUBMISSION AND ORGANISATIONAL CAPACITY**
Is the submission and organisational capacity substantial?



3.2.2 > FULL APPLICATION: TECHNICAL & SUSTAINABILITY REVIEW

Following a full screening for eligibility and compliance, applications will be evaluated by the Expo Live Evaluation Panel, or designated external experts if required, against the following technical and sustainability criteria:

CRITERIA

ABOUT THE ORGANISATION

Management capabilities

- > Is the organisation structure and internal team capable of delivering the project?

Technical preparedness

- > What facilities, equipment, and technologies are in place to assure successful implementation?

Financial position

- > Is there evidence of appropriate and accountable financial management practices?

Partners and subcontractors

- > Are there any partners and/or subcontractors involved in the project?

References

- > Are there external references in place?

ABOUT THE PROJECT

Background

- > What problem does the project aim to solve? What are the reasons for initiating the project?

Objectives

- > How will the project address and resolve the problem?

Target groups and beneficiaries

- > Who is the target group and beneficiaries (qualitative and quantitative)?

Competitive landscape

- > What existing similar solutions exist and how does the proposed solution differentiate from them?

Desired results

- > What are the desired results, targets, risks? What will be the impact of the project?

Barriers to scale

- > What are the barriers to a wider application of the solution?

Replicability

- > Has the solution been replicated before? If not, are there any barriers for replication?

IMPLEMENTATION PLAN

Implementation plan

- > Do the milestones, activities, deliverables, and timelines support successful implementation?

BUDGET & FUNDING

Budget

- > Does the proposed budget support successful delivery?

Budget justification

- > Is the requested amount reasonable in light of the project's successful completion and impact?

Additional funding

- > Is the project co-funded? Are there any innovative ways encouraging leveraged additional funding?

MONITORING PLAN

Monitoring mechanism

- > Is there evidence of appropriate and accountable monitoring and reporting capacity?

LONG-TERM SUSTAINABILITY

Long-term sustainability

- > Does the project have a capacity to sustain beyond this grant/support?

Dissemination plan

- > What are the opportunities for showcasing and marketing the project?

The Evaluation Panel may call for expert inputs, site visits or independent review reports. When submitting the full application, all applicants will be requested to provide the name and contact information for three independent reviewers or references. These independent experts or persons of authority should have knowledge of the project, applicant and/or legal entity and must be willing to submit confidential reports (upon request). Expo Live reserves the right to contact and contract other experts, reviewers and/or references to assess projects, proposals, legal entities and individual applicants.

3.2.3 > IN-PERSON PRESENTATION

Shortlisted applicants will be invited to Dubai (United Arab Emirates) for in-person presentations during which the Expo Live Evaluation Panel will be able to ask additional questions in order to make a final assessment. The Expo Live Evaluation Panel will eventually rank projects and recommend final selection.





SECTION > 4 DISBURSEMENT, REPORTING AND AUDIT

4.1 > DISBURSEMENT

Funds can be disbursed in a number of ways. The decision on how funds will be disbursed will be taken at the grant approval stage. The options available, at the sole discretion of Expo Dubai 2020 LLC, include:

- > A lump sum as percentage of the total grant at the start of the project timeline (i.e. funding based on the project document submitted), with the remainder reimbursed at project conclusion against invoices and/or any other equivalent supporting documents, as well as a final report.
- > Reimbursement of the lump sum against invoices and/or any other equivalent supporting documents, as well as a final report at the end of the project.
- > Instalment payments at specified milestones during the project.

Any funds left over from a project must be returned to Expo 2020 Dubai at the end of the project. Interest earned must be accounted for.

4.2 > REPORTING AND AUDIT

Reporting on grant projects is an important part of the Expo Live funding process.

Grantees have a contractual obligation to report on their projects at regular intervals. These intervals will be stipulated in grant agreements and will be based on the nature and duration of the project as well as the grant amount. Reports should highlight the progress and achievements of the project (through narrative reporting and visual/multimedia materials), as well as financial information.

Deliverables will be agreed during the grant agreement stage (to be based on KPIs submitted during application stage) and should be submitted together with the annual report within 20 working days after the end of each reporting period. The format for progress reports and final reports will be provided.

The final report should contain a publishable summary of high-quality as well as digital images that Expo Live could use for publicity and marketing purposes.

Expo Live reserves the right to appoint ad hoc reviewers and independent financial auditors.





SECTION > 5 INTELLECTUAL PROPERTY

All Intellectual Property developed during project execution will vest in the grant recipient. This latter will hold harmless Expo Dubai 2020 LLC from any claim and/or action from any third party related to the ownership of the Intellectual Property and its infringement. If an application is submitted by co-applicants, ex ante agreement is required on the ownership of intellectual property.

The applicant shall not, and shall require that its co-applicants do not, use the

logo or any trademarks of Expo Dubai 2020 LLC or Expo Live unless the applicant and its co-applicants have respectively executed valid license agreements with Expo Dubai 2020 LLC, Expo Live and/or any related entity for such use.

Expo Dubai 2020 LLC has the right to use name, likeness, and statements made by applicants/grantees for advertising, publicity and other marketing purposes. Any and all rights to these shall be with no further

funding or compensation. The intent of this is to allow Expo Dubai 2020 LLC to publicise/market Expo Live and its accomplishments.

Stipulations in respect of intellectual property will be captured and elaborated on in the grant agreement and standard terms and conditions.

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