



# UPF INNOValora 2019

The UPF Proof-of-Concept Programme

## Call full text

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## 1. Programme overview

UPF INNOValora is the first UPF programme to support proof of concept (PoC) projects linked to the university's overall research activity.

Widely known as "valley of death", there is a very significant shortage in funding available to take promising research results to a stage where they can be evaluated by the private sector and eventually reach society. PoC funding helps to demonstrate the value of the technology by the construction of prototypes, the evaluation of commercial potential, determining the best IP strategy and identifying a route to market (further co-development, license to existing company or spin-out). Establishing the viability of the research outputs is therefore the main objective for this kind of projects, although they can also help in deciding not to pursue a technology or research result development, which often saves resources and time later on.

UPF INNOValora is fully in line with the UPF Strategic Plan 2016-2025 and the UPF VALORA - Horizon 2025 project which aim to promote innovation and social transformation by creating synergies with society and thus contributing to social welfare and creation of value. UPF INNOValora programme is co-financed by the Generalitat de Catalunya and the European Regional Development Fund (ERDF), as it is part of UPF VALORA - Horizon 2025 project.

UPF INNOValora will fund projects with up to 30.000 € for a period of 6-9 months. Eligible projects would be those based on existing intellectual property and/or new research results owned or co-owned by UPF, clearly focused on commercial product development or testing and those having commercial or societal opportunities identified.

Each proposal will be evaluated according to novelty/IP, market and impact, project soundness and team by at least two external experts in the project's scientific and industry field, in technology transfer or in seed investment/entrepreneurship. A final pitch to an evaluation panel might be called in order to make the final decision on approval and funding of projects.

## 2. Project eligibility

### 2.1. Beneficiaries

Beneficiaries will be UPF researchers from all scientific and technical areas.

## 2.2. Project requirements

In order to be eligible for funding, PoC projects will have to comply with the following requirements:

- The existing, background intellectual property (IP) is owned or co-owned by UPF. In case ownership is shared with other institutions, a co-ownership agreement must be in place.
- The research results arising from the Project shall be the property of UPF.
- Research has been conducted to experimental testing with successful results (pre-demonstration stage) but need further development, setting up of a prototype, targeted demonstration, etc.
- Potential commercial or societal opportunities have been identified.

The project must be focused on commercial product development or testing. UPF INNOValora funding cannot be used for basic exploratory studies or as general funding for the principal investigator's laboratory.

Project proposals should address how achieving identified project milestones will move the invention towards commercialization.

## 3. Funding

### 3.1. Call budget

The total budget for the UPF INNOValora call 2019 is **150.000 Euros**.

UPF INNOValora is funded by **Universitat Pompeu Fabra (50%) and ERDF funds (50%) funds**.

*Projects from the Department of Experimental and Health Sciences (DCEXS) may be additionally funded by the Spanish Ministry of Economy and Competitiveness through the María de Maeztu Programme (reference CEX2018-00792-M). Please see special conditions in point 3.2.*

### 3.2. Project budget and expenditure

The programme will fund projects of up to **30.000 Euros**, duly justified under a predetermined action plan, and **eligible expenditure** will fall under the following categories:

- Services subcontracting (such as IP or business/market consultancy, technical services...)
- Travel and accommodation
- Consumables and other materials
- Small equipment (only special cases, as only a certain % of depreciation can be accepted)

Personnel\* and internal invoices (“notes de càrrec intern”) are **not eligible** under this call.

Only necessary expenses linked to technology transfer activities will be funded, according to the objectives and milestones described in the project proposal.

*\*Special conditions for DCEXS projects:*

*The DCEXS, through its María de Maeztu Strategic Programme (reference CEX2018-00792-M), may contribute with up to 90.000 € to the finally selected UPF INNOValora projects from the department. To this aim, project proposals presented by DCEXS researchers may also include Personnel expenditure, up to a maximum of 30.000 euros per project.*

## 4. Application procedure

### 4.1. Proposal submission

Proposals shall be prepared using the standard **UPF INNOValora Application form**, which is available at the Innovation Unit – UPF Business Shuttle website: <https://www.upf.edu/web/innovacio/upf-innovadora>

Completed and signed forms shall be sent via email to [innovacio@upf.edu](mailto:innovacio@upf.edu) (digital and scanned signatures are accepted) until the call cut-off date.

UI-BS (Tech Transfer team) will assist researchers on preparation of proposals when needed (assessing whether a given idea fits into the call objectives, giving orientation and guidance on how to present proposals, answering questions that may arise on the program functioning, etc.).

### 4.2. Deadlines & calendar

UPF INNOValora call 2019 will be open **from October 4, 2019 to November 4, 2019 at 23:59h**.

The call calendar is as follows:

Cut-off date	Proposal evaluation	Panel presentation	Project execution
November 4 2019	November 2019	December 12 2019	January 1 2020

## 5. Proposal evaluation

### 5.1. Selection and evaluation process

The evaluation process will take place within one month after the proposal submission's deadline. The evaluation and selection process will be divided in several stages:

#### Stage I: Eligibility check

Once the application period has closed, projects will be reviewed to ensure that meet the eligibility criteria. At this stage, the completeness of the application, the submission of the proposal on time and compliance with the requirements set in section 2 will be checked.

Project proposals not fulfilling all the criteria will be withdrawn from further evaluation steps.

#### Stage II: Expert evaluation

Each eligible proposal will be assessed and evaluated by at least two external experts according to the evaluation criteria set in section 5.2. Projects will be ranked according to the score obtained.

The experts will show experience in the project's scientific & industry field, in technology transfer and/or in seed investment/entrepreneurship. External reviewers will sign a non-disclosure agreement (NDA) with UPF in order to preserve confidentiality.

#### Stage III: Panel presentation

A final pitch to an evaluation panel might be called in order to make the final decision on approval and funding of projects.

In this case, each principal investigator will be asked to make a short oral presentation in front of the evaluation panel.

Projects will be ranked and funding will be assigned according to the final score obtained.

The results of the finally selected projects will be published at the Innovation Unit – UPF Business Shuttle website.

## 5.2. Evaluation criteria

Project proposals will be evaluated according to the following criteria:

### 1. **Novelty / IP (30 points)**

The technology is new, progresses beyond the state-of-the-art in the field. A previous search in scientific and patent data bases is done. Competitive advantages respect to current technologies and or solutions have been identified. The technology is properly protected or registered and/or an IP strategy is to be executed during the course of the PoC project.

### 2. **Market and impact (30 points)**

There is an unmet need or unsolved problem clearly identified (commercial or societal opportunity). Potential beneficiaries or users have been acknowledged and quantified. Stakeholders have expressed interest in the technology. Business model for the exploitation of the technology is outlined.

### 3. **Project soundness (20 points)**

The project focuses on a commercial product or service development or testing and sets clear and feasible objectives and milestones during the project period. Budget is duly justified and clearly devoted to the PoC project objectives. The project seems therefore technically and economically viable. The UPF INNOValora grant could greatly help move the output of research towards the initial steps of pre-commercialisation or social innovation (e.g. by advancing levels of TRLs).

### 4. **Team (20 points)**

The project team is identified, shows complementarity and holds the necessary experience in valorisation and technology transfer activities. The team is clearly committed to the PoC project and beyond, especially for cases where the results obtained are positive, and the technology is transferrable.

## 6. **Project management and reporting**

### 6.1. Project management

Once a proposal is approved, the principal investigator will sign a Letter of Intent (LoI) stating his commitment to UPF INNOValora call's objectives.

Allocated funds will be released at the beginning of the project.

Projects shall be executed during a period of six to nine (6-9) months starting from January 1, 2020., Extensions might be allowed, under justified circumstances, for a maximum period of three (3) extra months.

The UPF INNOValora Call will be managed by the Unitat d'Innovació - UPF Business Shuttle, who will assign a reference person from the Technology Transfer team to each of the funded projects. Any communication regarding the UPF INNOValora call or project will be addressed via this person.

## 6.2. Reporting

A midterm review -3 months after beginning of project - is envisaged, consisting of an update meeting with UI-BS tech transfer manager and an external advisor if suitable, which will assess the project's progress.

A full final technical and financial<sup>1</sup> report on the outcome of the project will be delivered to UI-BS within one calendar month after the project is finished. This final report will include the next steps to be undertaken with the project's technology or knowledge.

Technical and financial reports shall be prepared using the standard forms which will be available at the Innovation Unit – UPF Business Shuttle website: <https://www.upf.edu/web/innovacio/upf-innovalora>

## 7. Publicity and Dissemination

The principal investigator shall promote the maximum dissemination of the UPF INNOValora funding but preserving the IP rights of the UPF.

Any communication and/or dissemination action developed in relation to the project shall refer to the UPF INNOValora programme and to FEDER funds. To this aim, it should **include the related logos and the reference** “This project is funded by UPF INNOValora programme, which is co-financed by the Generalitat de Catalunya and the European Regional Development Fund”. It is also strongly recommended to use the following hashtags for dissemination in social networks: #FEDERrecerca #UPFINNOVALORA

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<sup>1</sup> Please note that expenditure will be subject to general public finance principles, including those specific from UPF INNOValora call funding sources (ERDF (FEDER) / MARÍA de MAEZTU) as may be the case.



The UI- UPF Business Shuttle online channel to link or mention is:

Twitter: **@TransferUPF** ( <https://twitter.com/TransferUPF>)

Those awarded projects granted with additional funds from DCEXS Maria de Maeztu Programme shall include the following reference: “Unidad de Excelencia María de Maeztu”, funded by the MINECO (reference CEX2018-00792-M).

All **official logotypes** can be downloaded at the Innovation Unit – UPF Business Shuttle website: <https://www.upf.edu/web/innovacio/upf-innovalora>.