

## Announcement of the call for applications for pre-implementation research under the project „Inkubator Innowacyjności 4.0”

### The mode of qualifying Innovation for funding as part of the pre-implementation work from the project funds „Inkubator Innowacyjności 4.0”

#### I. Purpose and amount of funding

1. Consortium of the Jagiellonian University, Cracow University of Economics and InnoCel SPV of the Jagiellonian University sp. Z o.o. (hereinafter: **Consortium**) in the years 2020-2022 is implementing the project "Inkubator Innowacyjności 4.0" as part of the project of the Minister of Science and Higher Education "Inkubator Innowacyjności 4.0" (hereinafter: **Project**).
2. Project tasks are carried out entirely by the Center for Technology Transfer CITTRU of the Jagiellonian University (hereinafter: **CTT CITTRU**), the Department of Knowledge and Project Transfer of the UEK (hereinafter: **DTWiP**) and InnoCel SPV of the Jagiellonian University sp. Z o.o. (hereinafter: **InnoCel**).
3. As part of the project tasks, CTT CITTRU, DTWiP and InnoCel perform task 4. "Conducting pre-implementation works, including additional laboratory tests or adapting the invention to the needs of the interested buyer". Therefore, CTT CITTRU, DTWiP and InnoCel announce a call for proposals for pre-implementation research financed by the Project.
4. As part of the above-mentioned tasks will be funded for activities related to the implementation of the commercialization process of Innovations developed by research teams of the Jagiellonian University and UEK (hereinafter: **Innovation**). Funding will cover activities conducive to achieving success in the commercialization process, in particular research works aimed at increasing the level of Innovation readiness for implementation, especially if implementation is planned by establishing a spin company.
5. Co-financing may be granted for:
  - a. making a prototype,
  - b. proof of concept research,
  - c. experimental verification of the features and testing the usefulness of the Innovation from the point of view of the recipient or a potential business partner interested in implementation,
  - d. conducting other studies increasing the commercial potential of the Innovation and enabling and optimizing the process of its implementation or increasing the level of readiness for implementation or the possibility of practical application, in particular constituting an answer to questions asked by a potential business partner interested in its implementation,
  - e. purchase of expert services, including analyzes and valuations.
6. Under the Innovation Project, it may receive support in the amount not exceeding 80.000 PLN net for Innovation of the Jagiellonian University and not more than 60.000 PLN gross for the UEK Innovation. In justified cases, it will be possible to increase the value of the grant up to 100.000 PLN net (for Innovation at the Jagiellonian University) with the prior consent of the Director of CTT CITTRU (hereinafter: **the**

**Director**) or up to 80.000 PLN gross (for UEK Innovation) with the prior consent of the Vice-Rector for Projects and Cooperation of the CUE (hereinafter: **Vice-Rector**) or a person designated by him.

## II. Procedure for submitting and qualifying applications with deadlines

1. The application template is attached as Annex 1 (for Innovations of the Jagiellonian University) or Annex 2 (for Innovations of the UEK).
2. Decisions regarding the support of Innovation are made by the Investment Council (hereinafter: the Council), whose composition, competences and work procedure are specified in separate regulations. Decisions are made on the basis of the applications referred to in point II.1. and after the presentation of Innovation and planned activities by a representative of the Jagiellonian University research team and the appropriate CTT CITTRU Broker (for Innovation at the Jagiellonian University) or a representative of the UEK research team and a representative of DTWiP (for UEK Innovation), taking into account the plans to establish a spin company. The presentation takes place in front of the Council, the Director, the President of InnoCel (hereinafter: the President) and the representative of the UEK at the time, place and procedure specified by the Director, and he may specify that the presentation will be held remotely. The director, president and representative of the UEK perform an advisory function without voting rights.
3. The eligible costs under the grant cover the following categories of expenditure:
  - a. Remuneration of people directly involved in the implementation of pre-implementation works covered by the support (research and development, technical and support staff) - only if necessary and justified, not more than 20% of the total value of pre-implementation works;
  - b. Costs of participation in fairs and business conferences related to the search for Innovation recipients and training necessary to carry out pre-implementation works;
  - c. Expenditure on the purchase of materials and raw materials;
  - d. Costs of renting research equipment at the Jagiellonian University or UEK determined on the basis of price lists in accordance with the internal regulations of the Jagiellonian University regarding the use of infrastructure and internal regulations of the UEK;
  - e. Expenditure on the purchase of external research services, analyzes, reports and expert opinions;
  - f. Costs of domestic and foreign business trips related to pre-implementation research;
4. The condition for considering the grant application is:
  - a. previous formal notification of Innovations to CTT CITTRU or DTWiP via the Results Notification Form (registered Innovation, property rights to intellectual property in whole or in part belong to the Jagiellonian University or UEK). In the case of UEK, it is allowed to submit an Innovation notification to DTWiP within 30 days from the start of the pre-implementation study planned in the application. In the case of Innovations from the Jagiellonian University, co-financing may be obtained only for those for which a patent application has already been filed with the PPO or another patent procedure abroad or for social or IT innovations for which there is at least the first version of a service or product.
  - b. proving that the Innovation has a high commercial and practical potential, resulting either from a market analysis or a demand directly reported by a business partner (supported by a document, e.g. a letter of intent or a cooperation agreement, an MTA agreement, an inquiry from the company, a report on a meeting with a company, etc.),

- c. demonstrating that the planned pre-implementation works will significantly increase the level of Innovation's readiness for commercialization or practical use and, as a result, increase the chances of success in the process of technology and knowledge transfer from universities to the socio-economic environment.
5. The application for co-financing is prepared by an employee of the Jagiellonian University or UEK representing the research team (hereinafter: **the Manager**) in cooperation with the JU Broker or DTWiP representative (hereinafter jointly: **Coordinator or Coordinators**), while the role of the Coordinator is to support the Manager in the preparation of market data analysis , assessment of the commercial / practical potential of Innovation.
6. The grant application is signed by the Head, Coordinator and the Dean of the Faculty or the head of an out-of-faculty, inter-faculty, inter-university or common unit from which the research team comes (hereinafter: **the Head of the unit**).
7. Applications may be submitted by **10/01/2021 by 12.00 am**.
  - a. for Innovations from the Jagiellonian University: in paper version at the secretariat of CTT CITTRU or in the form of a scan of a signed document to the e-mail address: [cittru@uj.edu.pl](mailto:cittru@uj.edu.pl);
  - b. for Innovations from UEK: in paper version in the Knowledge and Project Transfer Department or in the form of a scan of a signed document to the e-mail address: [malgorzata.smagaszczepanczyk@uek.krakow.pl](mailto:malgorzata.smagaszczepanczyk@uek.krakow.pl);the application should be accompanied by consents to the processing of personal data signed by all persons mentioned in the application, who are planning to be involved in the implementation of pre-implementation works, according to the template attached to the application template. If the application is submitted in the form of a scan by e-mail, the applicant should send a signed paper version to the CTT CITTRU secretariat or the Knowledge and Project Transfer Department, respectively, within 30 days from the end of the recruitment.
8. The Director and the President (in the case of applications submitted by research teams from the Jagiellonian University) or the Vice-Rector or a person designated by him (in the case of applications submitted by research teams from the CUE), within 7 days from the end of the call for proposals, issue their own opinions on the submitted applications. These opinions are considered an advisory vote.
9. The opinions referred to in point II.8, together with applications submitted by research teams, are passed on to each member of the Council. The director, in consultation with the members of the Council, the President and the Vice-Rector (or a person designated by him), sets the date of the meeting during which a representative of the research team of the Jagiellonian University or UEK and the Coordinator presents the Innovation and planned activities. During the meeting, the Council makes a decision on granting funding or rejecting the Application based on the information contained in the application, presentation of Innovation and planned activities and opinions referred to in point II.8. and o points awarded independently by each member of the Board in relation to the evaluation criteria referred to below.
10. The Application evaluation criteria are as follows:
  - a. Criterion 1 - evaluation of the innovativeness of the solution in the context of market demand for a product / service based on Innovation (from 0 to 6 points)

- b. Criterion 2 - assessment of the level of technological readiness of Innovation according to the TRL scale (points for TRL 0, 1 points for TRL 1-2, 2 points for TRL 3-4, 3 points for TRL 5-9)
  - c. Criterion 3 - the team's plans for establishing a spin company, taking into account the level of advancement of work related to the establishment of the company (from 0 to 2 points - 0.5 points when the company is planned but no action has been taken, 1 when a business plan or model has already been prepared business company - attach it to the application, 2 there is a potential investor - attach a letter of intent)
11. A ranking list will be created on the basis of the average points awarded by the Council members. Co-financing will be awarded to the projects with the highest score, until the pool of funds allocated to the competition is exhausted, and co-financing will be available to those Applications whose average number of points awarded will be at least 5 points.
  12. Before making a decision on funding, the Council may consult the Dean of the faculty or the Head of an out-of-faculty unit, inter-faculty unit, inter-university unit or joint unit from which the research team submitting the Application comes.
  13. The decision of the Board is final, not subject to appeal and is immediately communicated to the Manager by the Director or the Vice-Rector (or a person designated by him), respectively.

### III. Carrying out pre-implementation works

1. The expenses referred to in point 9 must be incurred as intended, in a rational, purposeful and economical manner, in accordance with the requirements specified by the Ministry of Science and Higher Education in the documentation for the Innovation Incubator 4.0 competition and in accordance with the internal procedures of the Jagiellonian University or UEK, including regulations relating to public procurement and may be incurred from February 1, 2021 to June 30, 2022. Under the "Remuneration" category, the payment of funds will be possible only for people whose total monthly professional commitment (also outside the Jagiellonian University or UEK) will not exceed 276 hours (the person receiving the remuneration will be obliged to sign relevant declarations in this regard - an example of the declaration is provided in Appendix no.3). The team carrying out pre-implementation works at the request of CTT CITTRU or DTWiP, respectively, is obliged to prepare and submit the documentation necessary for the implementation of expenses planned in the application (e.g. specification of the terms of the contract) and the settlement / qualification of these expenses in the Project.
2. Intellectual property generated as part of pre-implementation works, in particular research results, patent rights, know-how, copyrights to reports, will belong to the Jagiellonian University or UEK.
3. Within 10 working days from the completion of the pre-implementation work for which the grant was granted, the Manager submits to the Director or the Vice-Rector (or a person designated by him) a report on the activities performed, a model of which is attached as Appendix 4 to this procedure. The manager is obliged to submit a report also in the event of interruption or early completion of pre-implementation works.
4. At the stage of accounting for activities covered by co-financing, financial and accounting services are provided by the administration of CTT CITTRU or the administration of UEK with the support of the organizational unit from which the research team comes and university-wide administration units in

accordance with the "Instruction for the circulation of financial and accounting documents of the Jagiellonian University" (for Innovation of the Jagiellonian University) or according to the Regulation of the Rector of UEK No. R-0201/44/2018 on the introduction of the Instructions for the preparation, circulation and control of accounting documents at the University of Economics in Krakow (for UEK Innovation).

5. For the correct performance of activities covered by co-financing, compliance with the budget limits contained in the cost estimate and the prescribed deadlines for the implementation of tasks along with the timely incurring of costs assigned to tasks, ensuring compliance of the manner of expenditure implementation with the procedures specified in the Public Procurement Law and ensuring compliance of the implementation of activities. The Manager is responsible for the internal regulations in force at the Jagiellonian University or the UEK, in particular with regard to the use of research infrastructure, intellectual property rights.
6. The manager is obliged to cooperate with the Coordinator during the pre-implementation work, including providing the Coordinator, at his request, with all information about the progress and course of the tasks being carried out, and participation in the preparation of promotional materials and the commercialization process, in particular in discussions with entities interested in commercialization or practical using Innovation.
7. As soon as possible, the Manager is obliged to report to the Director or Vice-Rector (or a person designated by him) in writing (electronic correspondence is allowed) problems related to the implementation of pre-implementation works in order to find a solution and determine any changes in the cost estimate or schedule.
8. At the request of the Director, the Vice-Rector (or a person designated by him) or the Council, the manager will present a report or presentation on the completed pre-implementation works within the indicated deadline, also during the execution of these works, the deadline referred to above may not be shorter than 14 working days.
9. In the event that CTT CITTRU or DTWiP organizes an event summarizing the results of pre-implementation works, the Manager or a team representative designated by him will be obliged to present the Innovation to representatives of entities interested in implementing Innovation and to participate in training courses preparing for such an event.
10. If the notification referred to in point 23 justifies the interruption or early completion of the pre-implementation works due to the results obtained, the Director or the Vice-Rector (or a person designated by him) may decide to terminate or prematurely terminate the pre-implementation works.
11. Gross deficiencies in the expenditure of funds and the implementation of tasks inconsistent with the schedule may result in the interruption or early completion of the pre-implementation works by the decision of the Director or Vice-Rector (or a person designated by him). In such a case, the Council may oblige the Manager to reimburse incorrectly spent funds. In particularly justified cases, the Director or the Vice-Rector (or a person designated by him) may decide to exclude the Manager from the possibility of obtaining funding under subsequent competitions announced by CTT CITTRU or DTWiP.
12. In the event of completion or discontinuation of the pre-implementation works and failure to spend the entire grant, the unused funds will be allocated to financing other pre-implementation works submitted for co-financing.
13. In the event that the pre-implementation works require the coverage of costs exceeding the sum of the co-financing granted, these costs may be covered by the organizational unit of the Jagiellonian University or

UEK, the research team comes from. The sole decision in this regard is made by the Head of the unit at the request of the Head.