

## **Specific terms – Ninth round (2021)**

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### **Centres eligible to submit applications**

This funding round is open only to centres which are CERCA partner centres as at November 22<sup>nd</sup> 2021, the deadline for entering projects.

For this purpose, a CERCA partner centre is deemed to be a centre which as at that date has signed an affiliation agreement with the GÍNJOL Programme and has paid in its start-up contribution on the aforementioned date, currently established in 15,000 euros.

### **Submission and presentation of projects**

To participate in the Programme, CERCA centres may submit up to three projects which, in order to be reviewed and selected, must contain at least the following:

- A brief technical description of each project, including the main elements of the proposal and the expected results or impact, a description of the research team developing the project, current progress on the project and the eligible expenses for which funding is sought.
- A marketing proposal for the results of the project, including not only a marketing model and its expected impact, but also a proposed system of returns based on the future profits it will generate for the GÍNJOL Patents Fund in order to be sustainable. This must include a general returns model based mainly on royalties, together with the terms under which returns would be paid if the technology is sold, in the event of early returns, or if the project fails.

The submission must be prepared in accordance with the CERCA Institute's standard model by the project manager and the legal representative of the beneficiary entity, and may not exceed the stipulated number of pages (10). The submission must also state if any other entities hold a share in the intellectual or industrial property to be protected.

The CERCA Institute may ask the CERCA partner centre to provide any additional documentation or information required in order to assess the proposal.

Projects must be submitted in electronic form to the following email address: [ginjol@cerca.cat](mailto:ginjol@cerca.cat).

### **Submission deadline**

Projects must be submitted for assessment and selection for the GÍNJOL Patents Fund by November 22<sup>nd</sup> 2021.

I-CERCA may extend the deadline for submitting proposals, or open additional periods for the submission of projects, by means of a public announcement.

### **Expenses that may be covered by the Programme**

Project expenses incurred between 1 January 2021 and 31 December 2022 may be included in the application.

The expenses that may be included are those necessary for the protection and commercialisation of technology generated from research, specifically:

- Advisory services related to procedures and strategies for protecting the intellectual and industrial property related to the technology

- External services to assess the technological suitability and market potential of the technology
- Fees and administration charges for registering or extending patents
- I-CERCA may consider other expenses, such as expenses related to drafting patents, PCT, EPO or other agencies' processing fees, international extension costs, SoA (state-of-the-art) reports and/or FTO (freedom to operate) reports, regulatory studies, the acquisition of software to exploit or manage a technology portfolio, marketing activities, litigation expenses (infringement), the purchase of licences, patent/project portfolio valorization (like HLE-High Level Estimation and/or IDD-Innovation Due Diligence costs in case of a spinoff creation), etc.

The services must be contracted by the CERCA partner centres from third-party professionals, in accordance with their contracting standards, although the suitability of the provider selected and the financial terms must be justified to I-CERCA.

The CERCA partner centre agrees to fund from its own resources the activities referred to in the application, on a percentage basis agreed between the two Parties.

### **Financial terms: financial contributions and returns**

The funding awarded by the GÍN JOL Patents Fund will not be in the form of a grant (in accordance with its regulations) as it will be structured on a returns-based model. The GÍN JOL Patents Fund will be entitled to a share of the revenues obtained from exploiting the results of the project. I-CERCA will not assume any ownership rights over said results.

The funds awarded under the GÍN JOL Programme to each project will be capped at 10,000 euros, depending on the activities to be carried out and the budget included in the application. Other funds must be available to co-finance the project: these may be drawn from the centre's own resources or from third parties. In the case of joint projects (with shared intellectual property) the total amount requested by all the entities should not exceed the 10,000 euros threshold and should be presented as a single project. Anyway, individual financial section should be provided by each partner.

The returns will be agreed by the parties in the negotiation stage for the corresponding agreement and, in accordance with the general terms of the Programme. If there are revenues, in general terms, it is expected that the funding awarded plus at least 50% will be recovered over an average of three years and a maximum of five years. In addition, once this threshold has passed, the expected returns will be between 5% and 10% of surplus revenues over a reasonable period. Nevertheless, each proposal must set out what is a reasonable return, although the parties may agree a fixed rate of return on all revenues, a model based purely on variable revenues (in those cases where it may be agreed that the GÍN JOL Patents Fund will assume all the costs of protecting intellectual and industrial property), or any other formula. In case of shared IP, individual partner details should be provided.

The final returns model, share percentages and stages will be agreed in negotiations between I-CERCA and the CERCA centre, taking into account aspects such as the amount of funding and the contributions made by each party, the nature, features and the technological readiness of the project, and the percentage ownership held by the CERCA in the results (in cases where there are co-owners).

### **Assessment criteria**

The assessment criteria applied to the projects and the weightings thereof will be:

- Disruptive scientific potential including elements of progress in case of project continuation (35%)

- Timeliness and uniqueness of the project (15%)
- Financial viability including details of each partner in case of shared IP project (40%)
- Appropriate timeline for implementation (10%)

In case of project continuation, specific details on objective elements of progress or TRL advance should be specified and detailed.

## **Selection and negotiation of terms**

In the first stage, I-CERCA staff will confirm if the projects submitted comply with the formal requirements in accordance with the criteria and conditions established in the announcement of the funding round, in order to complete the information required to assess the proposal.

The Assessment Committee, composed of three experts drawn from the private technology marketing sector and experts in different areas of research, will evaluate all projects submitted, and may ask the applicants for any additional information needed to complete their assessment, via the most suitable channel. I-CERCA reserves the option of using a fourth expert if it considers that the scores awarded to a project are not balanced or are not in line with the comments.

The target deadline for evaluating the projects by the Assessment Committee is around December, 10th, 2021 (depending on the number of submissions received). When this work is completed, the Committee will submit a proposal to I-CERCA management. This body will use this proposal as the basis for making a provisional selection of the projects to be funded, and the amount and terms applicable in each case.

I-CERCA will inform each centre as to whether their projects have been selected or not and, in the case of the selected projects, will contact them directly to negotiate the terms of the funding.

## **Agreements to allow the project to be accepted**

The selection process will involve the negotiation of the definitive financial terms for the selected project, based on the proposal submitted by the CERCA centre in the initial application, in order to ensure the most suitable model is applied depending on the nature of the project and its technological readiness.

Once the final terms have been agreed, an agreement between I-CERCA and the CERCA centres will be signed, setting out the terms agreed as described in the General Terms.

Once all the negotiations are complete and the agreements signed, I-CERCA will publish a list of the projects and centres to which funding has been granted, using the channels it deems most suitable.

## **Referral to the General Terms**

Any matter that is not expressly addressed in the specific terms for this funding round will be governed by the General Terms of the GÍN JOL Programme approved by I-CERCA.

## **Contingency resolution**

I-CERCA will determine how to resolve all issues that may arise with regard to the execution of this funding round of the GÍN JOL Programme. All matters not governed by these Terms or the General Terms will be resolved in accordance with the judgement of I-CERCA.