



IF₄TM

Institutional framework for development
of the third mission of universities in Serbia



Operational manual for Proof of Concept Programme





IF4TM

D3.5 Operational manual for Proof of Concept Programme

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Abstract

The Operational Manual for Proof-of-Concept Programme provides the set of recommendations and guidelines for researchers on how to validate their laboratory prototypes and make them more marketable. This will lead to the raise of Technology Readiness Level (TRL) and to improve commercialisation potential of their research. The Manual for PoC will be publically available so that researchers from other HEIs from Serbia and the region will be able to use it.



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LIST OF ABBREVIATIONS

EU	European Union
HEIs	Higher education institutions
IP	Intellectual Property
PoC	Proof of Concept Programme
TRL	Technology Readiness Level



EXECUTIVE SUMMARY

The Operational Manual for Proof of Concept Programme is developed as part of the WP Technology transfer and innovation dimension within Activity 3.5 Improving TRL level through implementation of Proof-of-Concept Programme for selected research ideas.

The Operational Manual for Proof-of-Concept Programme provides the set of recommendations and guidelines for researchers on how to validate their laboratory prototypes and make them more marketable. This will lead to the raise of Technology Readiness Level (TRL) and to improve commercialization potential of their research.

Having this in mind the introductory part of the Manual explains the background of Proof-of-Concept (PoC) Programme and provides the definition of the Technology Readiness defining its 9 levels. It also gives a preview of activities supported by the PoC Programme:

- Market Research
- Business model development
- Commercialization strategy
- IP evaluation and protection
- Technology/concept validation.
- Development of prototype
- Technical feasibility study
- Fundraising or crowd-funding support.

The section Framework of the PoC Programme is focused on more concrete objectives of the Programme and benefits that Serbian researchers can gain by participating in the Programme. It also provides some basic information on the planned duration of the Programme and some funding aspects.

Eligibility sections explains some terms and conditions for participation in the PoC Programme in terms of eligibility of institutions, researchers and scientific and research fields. It also includes the set of exclusion criteria for those researchers and research teams that do not qualify for the Programme.

Further on, the basic principles of application and selection procedures are explained.

Separate section is dedicated to the progress reporting and follow-up procedures. With reference to the reporting, two types of reports are planned within the PoC programme: technical and financial.

The Manual is followed by the set of annexes that support the practical implementation of recommended actions within the PoC Programme:

- Annex 1 – Application Package consisting of Application Form (word) and Proposed Budget Table (excel)
- Annex 2 – Evaluation Criteria
- Annex 3 – Technical Report on PoC programme realization
- Annex 4 – Financial Report on PoC programme realization
- Annex 5 – Model of Contract for PoC Programme
- Annex 6 – Contact persons for PoC Programme



1. Proof of Concept (PoC) Background and Objectives

Proof of Concept (PoC) is a procedure to realize an idea, technology or a method by testing and demonstrating its feasibility and practical potential. Realization of PoC provides an opportunity for researchers to identify potential technical and logistical issues of technology/product/service in order to reduce risks for its development and commercialization.

The main **objective** of the PoC programme is to facilitate the transition from publically funded high-impact research to market-wise viable innovations by providing the set of instructions and guidelines for researchers on how to validate their laboratory prototypes and make them more marketable. This will practically lead to the increased capacity of a university to engage more in contracted research with industrial partners.

Additionally, the Programme will contribute to the raise of Technology Readiness Level (TRL) and improve the ability of the research institution to understand the technology status as an important tool for determining the further activities and possible commercialization strategy.

Depending on the technology development stage, there are nine TRL levels defined:

- TRL 1 – basic principles observed
- TRL 2 – technology concept formulated
- TRL 3 – experimental proof of concept
- TRL 4 – technology validated in lab
- TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)
- TRL 7 – system prototype demonstration in operational environment
- TRL 8 – system complete and qualified
- TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

Source: https://ec.europa.eu/research/participants/data/ref/h2020/wp/2014_2015/annexes/h2020-wp1415-annex-g-trl_en.pdf

The PoC Programme will provide the support to university research teams in the phase of pre-commercialization of technologies (development projects, feasibility studies, working prototypes, etc.) that have high innovation potential and that are in the range from TRL 3 to TRL 7.

Proof-of-Concept Programme covers following support activities:

- **Market Research** – assessment of the technology in terms of commercial value, intellectual property exploitation, competitive position and definition of commercialization requirements such as costs, time framework, scope of funding, etc.



- **Business model development** – validation of idea or research results using CANVAS method;
- **Commercialization strategy** – definition of the strategy and recommendations of the necessary steps in order to introduce a new product or production method on the market based on the scientific and research results
- **IP evaluation** and protection – identification of the potential for IP protection and most feasible exploitation model (sell, license, develop with partnership, establish spin-off or start-up), taking into account all legal, economic and financial aspects of the IP asset in question.
- **Technology/concept validation** – confirmation that the technology meets the expected requirements and produces expected results under realistic operating environment, i.e. to demonstrate that the technology works as intended.
- **Development of prototype** – supporting the projects in their pre-production phase in terms of development of prototypes, product design, testing the technology/product, in order to make it ready for acquiring the initial funding for its development or ready for commercialization depending on the type and stage of the project.
- **Technical feasibility study** – defining the strengths and weaknesses of proposed research results, opportunities and threats, as well as resources required to develop the product, process or service (human, financial, material, etc.).
- **Fundraising or crowdfunding support** – searching for and collecting the necessary financial resources to support the realization of research using various mechanisms such as EU grants, national grants, crowdfunding, etc.



2. Framework of the PoC Programme

Objectives

PoC Programme's main objective is to provide the support to **university research teams to validate their research results, technologies, laboratory prototypes**, etc. (hereinafter Technology) in order to facilitate the process of their commercialization.

The Programme is designed to address the lack of support to the development of research concept into applicable and commercial products and services.

More specifically, it strives to:

- Improve the commercialization capacity of Serbian higher education institutions
- Build and upgrade capacities of Serbian researchers for applied research and development of commercialization strategies
- Encourage and support the process of generating, valuation and protecting of intellectual property resulting from research work
- Encourage researchers to engage in entrepreneurial ventures
- Support the commercialization of research results of high economic and social impact
- Strengthen the cooperation between the academic and business sector

Benefits

Besides the obvious financial and economic impact of the implementation of PoC Programme for the HEIs themselves and society at large, the main benefit is the raise of Technology Readiness Level (TRL) through:

- Consultations with EU and Serbian experts
- Assessment of the value of research results
- Market analysis and development of market strategies
- Support for IP management
- Building capacities for management of research projects
- Building research competences
- Mitigating the risks of failure



Duration and Funding

The duration of PoC Programme is **up to 6 months**.

There will be **one annual call** for applying to PoC programme. The call will be open until all financial resources allocated to the particular call are exploited. The costs that can be covered by the Programme can be:

- Consultancy services
- Training, coaching and mentoring costs
- Consumables for experiments, tests, etc.
- Subcontracting (development of prototypes, feasibility study, etc.)
- Travel costs (trainings, capacity building, etc.)
- etc.

The PoC Programme will be piloted on seven Serbian HEIs (see the Section 3.1) within the IF4TM project during 2018. Within pilot phase of PoC Programme, 10 research teams will be selected. Based on proposed support services presented in their applications, some of following consultancy and other services can be provided to research teams in order to improve TRL level:

- Mentoring and consultancy services (experts and EU project partners)
- Support to IP valuation (Serbian Intellectual Property Office, EU partners)
- Elaboration of commercialization strategy (experts and EU partners)
- Production of rapid prototypes (Serbian HEIs)
- Access to the modern equipment for development / validation of technology/product
- Information on funding opportunities through national and EU funding schemes
- Support in writing winning project proposals from the side of experts in IF4TM Consortium
- Study visits to EU partner institutions within IF4TM project



3. Eligibility criteria for applying to PoC Programme

3.1 Institutions

Research teams from accredited higher education institutions and institutes in Serbia are eligible for participating in the PoC Programme.

During piloting phase, research teams from seven higher education institutions (HEIs) in the Republic of Serbia are eligible to apply for PoC programme:

- University of Kragujevac
- University of Belgrade
- University of Novi Sad
- University of Nis
- State University Novi Pazar
- Belgrade Metropolitan University
- Technical College of Applied Sciences Zrenjanin

Research teams from faculties, institutes and/or departments within these higher education institutions are also eligible.

3.2 Research teams

Research teams from any Serbian HEIs (seven abovementioned Serbian HEIs for pilot phase) are eligible for application to PoC Programme.

Teams made of researchers from different institutions can also apply in which case the team leader needs to be appointed and their home institutions have to provide their approval.

In such a case of multi-institutional research teams, aspects of intellectual property need to be regulated for both background (knowledge/IP supplied by the partners at the start of the project) and foreground IP (knowledge/IP produced within the project). These regulations need to be in line with the legal frameworks for IP management at those institutions.

3.3 Eligible fields

The researchers and research teams from any field of science is eligible to apply for receiving the support within the PoC programme.

3.4 Exclusion criteria

The research team will not be taken into account during the application procedure in following cases:

- If research team has already received support for similar Proof-of-Concept activities from any other source for the technology that is subject of the application.
- If technology (that is subject of the Application) has already been commercialized.



- If any member of research team is under any kind of contractual obligation outside the PoC programme that involves the commercialisation of proposed technology.
- If proposed activities in PoC Programme are not in compliance with provisions of Bylaws on the IP management at the home institution or provisions of applicable laws.

The research teams need to state within the Application Form that none of the above exclusion criteria can be applied to the proposed PoC project.



4. Application Procedures

In order to collect the research projects that will be supported through the PoC Programme, an open call will be announced at the websites of organizers. During the pilot phase of PoC implementation, the Call be announced at partner HEIs' websites. The call will contain:

- Short description of PoC Programme
- Who can apply? (eligibility of institutions and researchers/teams)
- What proposals are eligible? (eligible research projects, exclusion criteria)
- Type of support provided (financial, and non-financial for pilot period)
- How to apply? (deadline, application forms, application address)
- Deadline for application (until the funds are spent, or by the deadline for pilot phase)
- Evaluation criteria
- Terms and conditions (Manual for PoC Programme)
- Reporting obligations (deadlines, reporting forms, etc.)

The research teams will apply for the support of PoC programme by submitting the **Application Form** and **Proposed Budget Table** (see Annex 1) as electronic version to the contact person at their home university. List of contact persons with their email addresses is provided in the Annex 6.

Applications can be submitted at any time of the year when the PoC Programme is open.

The **deadline for submission** of applications in pilot period is **31st January 2018**.

All applications are to be electronically submitted by sending the Application Form to Contact person for PoC programme at each institution, defined in Annex 6.

The language of the application is English, due to the fact that one member of Selection Committee will be expert from EU partner institution, as well as the experts for some of the activities covered by the Programme.

5. Evaluation Procedure

At the level of PoC Programme, the Evaluation Committee will be formed, consisting of five members who will be responsible for the whole evaluation process. Evaluation Committee will assign three independent reviewers (two from the Serbian HEIs and one from the EU HEIs) to each application that meets the following requirements:

- submitted in a timely manner respecting the set deadline,
- dully filled and completed, and
- submitted in English language.

The reviewers will evaluate the applications based on the set of predefined evaluation criteria (Annex 2) that include questions for evaluation, scores and weight factors for each criterion.



The general aspects that will be assessed in evaluation criteria accompanied by the weight factors are as follows:

- Technology (30%) – Applications need to clearly describe the technology in question and to demonstrate its innovativeness. Opportunity to protect intellectual property related to the technology will also be assessed. Additionally, the impact on raising Technology Readiness Level will be taken into account when assessing the technology.
- Application (25%) – Potential for industrial application of technology including the definition of target groups' problems, proposed solution, technical feasibility as well as regulatory and other barriers.
- Market (20%) – Market potential will be assessed in terms of competitive advantage, sales potential and market size.
- Team competences (25%) – Competences and skills of researcher/s to carry out and manage the research project such as research competences, capacities to market, project management skill and available resources).

Based on the results of reviewers' evaluation, the Committee will make decisions on co-financing through PoC Programme on quarterly basis and kind of support that will be provided to applicants taking into consideration specificities of technology and its validation, i.e. raising TRL level.

During the pilot phase, the Evaluation Committee will select 10 best ranked applications and define the scope of support for selected research teams (both financial and non-financial).

The applicants will be informed on the results of the evaluation and selection.



6. Progress Report and Follow-up

During the realization of the PoC Programme, each research team that received the support is obligated to provide the short report on the activities.

The reporting includes both reports on technical and financial implementation.

Technical Report is a narrative report on the progress of activities within the PoC Programme. It needs to provide the following information:

- Short description of PoC project and its implementation
- Activities conducted during the PoC programme
- Results of PoC Programme (commercialization strategy, IP valuation, etc.)

The template for the Report is given in the Annex 3 of this Manual.

Financial report is a statement on funds received and costs incurred for the implementation of the PoC Programme for proposed research project (with exception of pilot PoC projects which will be financially supported directly by IF4TM project partners).

In order to be eligible for funding, the costs need to satisfy the following criteria:

- To be directly connected to the implementation of PoC Programme
- To be incurred during the PoC implementation
- To be supported by the relevant documentation (proof of payment, etc.)



ANNEXES

Annex 1 – Application Package (Application Form and Proposed Budget Table)

Proof of Concept Programme 2017 Application Form

Note to the Applicant

This application should be completed in line with the provisions and explanations described. All information included is strictly confidential and will not be revealed without prior authorization of applicant/s.

1. Title of the project or technology

Max 20 words

2. Acronym

Max 5 words

3. Field of science (please choose the relevant fields, multiple choices possible) where technology belongs

National Sciences

- Mathematics
- Computer and information sciences
- Physical sciences
- Chemical sciences
- Earth and related environmental sciences
- Biological sciences
- Other natural sciences

Medical and health sciences

- Basic medicine
- Clinical medicine
- Health sciences
- Health biotechnology
- Other medical sciences

Engineering and technology

- Civil engineering
- Electrical engineering, electronic engineering, information engineering
- Mechanical engineering
- Chemical engineering
- Materials engineering
- Medical engineering
- Environmental engineering
- Environmental biotechnology
- Industrial Biotechnology
- Nano-technology
- Other engineering and technologies



Agricultural sciences

- Agriculture, forestry, and fisheries
- Animal and dairy science
- Veterinary science
- Agricultural biotechnology
- Other agricultural sciences

Humanities

- History and archaeology
- Languages and literature
- Philosophy, ethics and religion
- Art (arts, history of arts, performing arts, music)
- Other humanities

Social sciences

- Psychology
- Economics and business
- Educational sciences
- Sociology
- Law
- Political Science
- Social and economic geography
- Media and communications
- Other social sciences

4. Research team members

Researcher 1 (team leader where applicable)

Name	
Position in the organization	
Institution	
Email	
Phone	
Background (max. 250 characters)	

Researcher 2

Name	
Position in the organization	
Institution	
Email	
Phone	
Background (max. 250 characters)	



Researcher 3

Name	
Position in the organization	
Institution	
Email	
Phone	
Background (max. 250 characters)	

Researcher 4

Name	
Position in the organization	
Institution	
Email	
Phone	
Background (max. 250 characters)	



5. Description of PoC project

*All fields are mandatory

5.1. Description of the technology/project

	<i>(Max 2000 characters)</i>
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5.2. Please check the technology readiness level of proposed technology

<input type="checkbox"/>	TRL 1 – basic principles observed
<input type="checkbox"/>	TRL 2 – technology concept formulated
<input type="checkbox"/>	TRL 3 – experimental proof of concept
<input type="checkbox"/>	TRL 4 – technology validated in lab
<input type="checkbox"/>	TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)
<input type="checkbox"/>	TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)
<input type="checkbox"/>	TRL 7 – system prototype demonstration in operational environment
<input type="checkbox"/>	TRL 8 – system complete and qualified
<input type="checkbox"/>	TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

5.3. Please, describe what the proposed technology enables

	<i>(Max 1000 characters)</i>
--	------------------------------

5.4. Please, describe shortly comparable or alternative technologies

	<i>(Max 1000 characters)</i>
--	------------------------------

5.5. How innovative is your technology?

	<i>(Max 1000 characters)</i>
--	------------------------------



5.6. Is the ownership of Intellectual Property (IP) regulated?

(Is the ownership of intellectual property regulated? Has IP regarding the research already been protected? If yes, how? Have you already conducted research to avoid infringing anybody else's IP?)

(Max 1000 characters)

5.7. Provide here the public information on the technology (papers, patents, etc.)

(Max 500 characters)

5.8. State your partners involved in the development of the technology and their role

(Max 500 characters)

5.9. What kind of support do you find most beneficial for your PoC project and raising the TRL level?

- Market Research
- Business model development
- Commercialization strategy
- IP evaluation
- IP protection
- Technology/concept validation
- Development of prototype
- Technical feasibility study
- Fundraising or crowd-funding support

Please, elaborate selected.

(Max 500 characters)



5.10. How do you anticipate further development of the technology in the next twelve months?

(Max 700 characters words)

5.11. Please check the technology readiness level you expect your technology will reach after the PoC Programme

<input type="checkbox"/>	TRL 1 – basic principles observed
<input type="checkbox"/>	TRL 2 – technology concept formulated
<input type="checkbox"/>	TRL 3 – experimental proof of concept
<input type="checkbox"/>	TRL 4 – technology validated in lab
<input type="checkbox"/>	TRL 5 – technology validated in relevant environment (industrially relevant environment in the case of key enabling technologies)
<input type="checkbox"/>	TRL 6 – technology demonstrated in relevant environment (industrially relevant environment in the case of key enabling technologies)
<input type="checkbox"/>	TRL 7 – system prototype demonstration in operational environment
<input type="checkbox"/>	TRL 8 – system complete and qualified
<input type="checkbox"/>	TRL 9 – actual system proven in operational environment (competitive manufacturing in the case of key enabling technologies; or in space)

5.12. Have you received any other support (financial and non-financial) for development the technology? If yes, please state the type of support you received.

(Max 250 characters)



6. Application

6.1. Description of the problem your technology addresses

(Max 1000 characters)

6.2. Description of proposed solution for solving the problem

(Max 1000 characters)

6.3. Market potential, target groups and competitive advantage

(Max 1000 characters)

6.4. Are there any regulatory issues or other barriers? Please describe, if any.

(Max 500 characters)



7. Capacity to implement the PoC Programme

7.1. Competences of the research team

(Please describe your research competences of the team? Please describe the “non-research” competences relevant for the implementation of PoC programme (entrepreneurship, IP management, commercialization, innovations, technology transfer, etc.))

(Max 2000 characters)

7.2. Capacity of the home institution

(Are there available resources (equipment, software, etc.) at your home institution to support any further activities of the proposed PoC project? What resources are missing?)

(Max 1000 characters)

8. Specific information

8.1. Team

The team has all of the required competencies to take the technology to market?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is the team willing to take the technology to the market?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Are all inventors or creators of the technology/idea included in the team?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
All team members are creators or inventors of the technology/idea?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
At least one of the team members has a PhD degree?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
At least one of the team members was involved in a startup?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>



8.2. Technology

Did your team disclose the solution, or part of it (paper, thesis, reports, proposal, talk, etc.)?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Did your team submit a patent or has other protection of IP for the proposed solution?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Can you identify variations of the proposed solution to achieve the same result?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is the technology an improvement over an existing one?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is the technology essential to life or to a business?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is the new solution an improvement of an existing product or service?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is it easy to design an alternative solution to the same problem?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Does the new solution require access to existing IP?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Can the solution be easily copied?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>

8.3. Application

Is the solution created based on the needs defined by the consumers or is it the result of technology development?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Does the solution address all aspects of the problem?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution provides long-term benefits?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution provides short-term benefits?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution provides short-term returns of investment (up to a year)?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution requires initial investment greater than 100.000 EUR?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>

8.4. Application barriers

The solution has regulatory issues?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution still has some technical issues?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution may have negative long-term impacts?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution is easy to implement?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution requires no change in current customer workflow?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The solution needs to be adapted to each customer's processes?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>



8.5. Sales Potential

Is it easy to sell?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is there a strong market need?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is it cheaper than existing solutions?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is it better than existing solutions?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Are there any existing solutions available?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
(if yes, elaborate)	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is there customer resistance expected?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
The time to first sale is less than 1 year?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is the global market (TAM) greater than \$1b?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Is the market very competitive?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>
Can the solution have a 20% share of the serviceable market (SAM) in 5 years?	<input type="radio"/> Yes	<input type="radio"/>	<input type="radio"/>

9. Exclusion criteria

9.1. Please confirm that none of the criteria stated below applies to you or the research result proposed within this Application Form.

Have you already received support for similar Proof-of-Concept activities from any other source for the technology that is subject of the application?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Has the technology has/have already been commercialized?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Are involved researchers under any kind of contractual obligation outside the PoC programme that involves the commercialization of technology?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
To the best of your knowledge, are any of the activities proposed in PoC Application in contrast to provisions of Bylaws on the IP management at the home institution or provisions of applicable laws?	<input type="checkbox"/> Yes	<input type="checkbox"/> No



10. Proposed Budget Table

Proposed Budget Table which is part of Application Form is provided as separate excel document.

Note

By submitting this Application Form, I am confirming that the information provided within are complete and accurate to the best of my knowledge.

Signature of researcher/s****

Name and surname of leading researcher

Name and surname of researcher

Name and surname of researcher

Name and surname of researcher

****delete or add rows for signature if necessary



Annex 2 – Evaluation Criteria

Criteria	Relative weight factor	Score	Questions
Technology	30%		
Description of technology	10%		How clearly is the technology described?
Level of innovativeness	10%		What is the innovativeness level of technology?
IP protection	5%		Can the technology be protected in terms of IPR (5 – protected, 0 – not protectable)
TRL level	5%		What is the TRL level of the technology (refer to 1. Proof of Concept (PoC) Background and Objectives)
Application	25%		
Definition of the problem of target groups	5%		How well is the problem of target groups described?
Proposed solution	10%		How the proposed technology addresses the problem
Technical feasibility	5%		Is the technology technically feasible?
Regulatory issues and other barriers	5%		Are there any regulatory or other barrier for application of the technology?
Market	20%		
Competitive advantage	10%		Please describe what makes your technology better positioned on the market?
Sales potential	5%		What is the market share that a product can reasonably be expected to achieve within a given time frame?
Market size	5%		What is the size of the market, regarding the potential buyers and financial value
Team competences	25%		
Researchers competences	10%		Are the research competences of researchers satisfying?
Competences for marketing	5%		Do the researchers have other skills required for PoC (entrepreneurship, IP knowledge, commercialization knowledge, marketing skills, etc.)?
Project management	5%		Are the management skills of researchers a satisfying level?
Resources	5%		Are all necessary resources available (both human and material)



Annex 3 – Technical Report on PoC programme realization

Technical Report Proof of Concept Programme 2017

1. Title of the project or technology

2. Acronym

Max 20 words

3. Short description of PoC project

4. List the activities conducted during the PoC programme

- Market Research
- Business model development
- Commercialization strategy
- IP evaluation
- IP protection
- Technology/concept validation
- Development of prototype
- Technical feasibility study
- Fundraising or crowd-funding support



5. Please describe the results of activities realized within your project

Activity _____

Activity _____

Activity _____

6. Conclusions

(Please describe how the results of PoC programme contribute to the further development of research result / technology? In which way and how much is time-to-market reduced? In which way will the commercialization opportunities be exploited?)

Signature of researcher/s****

Name and surname of leading researcher

Name and surname of researcher

Name and surname of researcher

Name and surname of researcher

****delete or add rows for signature if necessary



Annex 4 – Financial Report on PoC programme realization

Financial Report Proof of Concept Programme 2017

(to be added as excel table)



Annex 5 – Model of Contract for PoC Programme

Suggested structure and contents

SECTION 1 – GENERAL TERMS AND CONDITIONS

Article 1 — Subject of the Contract

Article 2 — Programme to be implemented

Article 3 — Duration and starting date of the Programme

Article 4 — Estimated budget

SECTION 2 – SPECIFIC TERMS AND CONDITIONS

Article 5 — Type of support and financial aspects

Article 6 — Eligible and ineligible costs

Article 7 — General obligation to properly implement the Programme

Article 8 — Resources to implement the Programme

Article 9 — Reporting obligations

SECTION 3 – RIGHTS AND OBLIGATIONS RELATED TO BACKGROUND AND RESULTS

Article 10 — Management of intellectual property

Article 11 — Agreement on background

Article 12 — Access rights to background

Article 13 — Ownership of results

Article 14 — Protection of results

Article 15 — Exploitation of results

Article 16 — Dissemination of results

SECTION 4 – OTHER RIGHTS AND OBLIGATIONS

Article 35 — Conflict of interests

Article 36 — Confidentiality

Article 37 — Termination of the agreement

Article 38 — Communication between the parties

Article 39 — Amendments to the Contract

Article 40 — Applicable law and settlement of disputes



Annex 6 – Contact persons for PoC Programme

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