

## Commercialisation Fund Programme 2012 Guidelines for Completing the Standard Application Form

### INTRODUCTION

In 2012, the programme will fund the development of innovative technologies **at all stages** of the commercial pipeline from **early stage research** through **technology development** to the point where the technology **can be commercialised** as new products, services and companies. Projects submitted to the programme should address a gap or need in the market by developing, innovative technology that will ideally be ready for licensing to Irish industry or may form the basis of a new start up company in 2-5 years. It is recognised however that some technologies may need a longer time to get to market than others.

Proposals from all disciplines in the fields of Science and Engineering with costs ranging from €80,000 to €350,000 will be accepted with larger projects funded on a case by case basis.

As part of the Commercialisation Fund Programme, **a Principal Investigator in partnership with their Technology Transfer or equivalent office** can also apply **for Commercial Case Feasibility Support** of up to €15,000 to support the development of the commercial case for the technology where this is justified in advance of submitting a standard application to the Commercialisation Fund Programme. To download the application and guidelines for this support please go to [www.enterprise-ireland.com/commercialisation](http://www.enterprise-ireland.com/commercialisation).

### GENERAL ADVICE

In advance of submitting an application to the Commercialisation Fund Programme, you are advised to read the Commercialisation Fund Programme 2012 Reference Document which details the Programme Objectives, Funding supports, Timetable, Administration, Evaluation and Approval Processes and Conditions of Funding. A "Frequently asked questions" document is also available on the website ([www.enterprise-ireland.com/commercialisation](http://www.enterprise-ireland.com/commercialisation)) which may also be helpful.

You are advised to **contact your Technology Transfer Office and Enterprise Ireland** through the contacts listed below at **least 1 month** before you commence preparation of your proposal. They can provide advice on which funding support is most appropriate for your project.

For submission of an application for Commercial Case Feasibility Support you can download the application form and guidelines from [www.enterprise-ireland.com/commercialisation](http://www.enterprise-ireland.com/commercialisation).

For submission of a standard Commercialisation Fund application, you must complete the standard application form. Applications will only be accepted on the Commercialisation Fund 2012 Standard Application Form ([www.enterprise-ireland.com/commercialisation](http://www.enterprise-ireland.com/commercialisation)). **You are strongly advised to read ALL sections of this GUIDELINE DOCUMENT before preparing your application.**

<b>Enterprise Ireland Contacts:</b>		
Life-Sciences & Food	Ruth McMahon	Tel: 01 7272671 ruth.mcmahon@enterprise-ireland.com
Information & Communication Technologies	John Fagan	Tel: 01 7272784 john.fagan@enterprise-ireland.com
Industrial Technologies	Ann Dooley	Tel: 01 7272680 ann.dooley@enterprise-ireland.com
Commercialisation Fund Manager	Majella Maher	Tel: 091 735927 majella.maher@enterprise-ireland.com

## PROJECT INFORMATION

Proposals to the programme must structure project workplans in stages comprising 1-3 sequential stages depending on where the technology is in the commercial pipeline and the amount of commercial and technical work required to develop a licensable technology.

Each project stage will typically last 12-18 months and typically cost <€100K and it is expected that the commercialisation of the technology will run in parallel with its development.

Proposals can include:

- Early development of a scientific concept submitted as a single-stage project with costing <€100K.
- Early stage development performed in stage 1 of a multi-stage project where a timeframe of up to 36 months is required for development of a technology.
- For a technology that is close to market a project will typically consist of 1 stage only with the expectation of licensing within 2 years.

It is envisaged that staging will occur as follows:

**Example 1:** An applicant has a research concept for a technology that has commercial potential and it requires 12 months work to perform early stage development or develop a prototype or investigate the commercial viability of the concept. The Applicant submits a project consisting of a single-stage of 12 months work. If approved, EI will issue a contract to the College for a duration of 12 months. The applicant will need to reapply for funding to develop the technology further.

**Example 2:** A technology under development requires 36 months work to be license ready. The Applicant submits a project consisting of 3 sequential stages. At the end of each stage, there is go/no go deliverables. If approved, EI will issue a contract to the College for the first stage of the project. If the first stage is successful and the go/no go deliverables are achieved, EI will issue a second contract for the duration of the 2<sup>nd</sup> stage. If the stage 2 outputs are successful then EI will issue the 3<sup>rd</sup> and final contract.

**Example 3:** A technology under development requires 12 months work to be license ready. The Applicant submits a project consisting of a single-stage of 12 months work. If approved, EI will issue a contract to the College for a duration of 12 months.

## **GUIDELINES FOR COMPLETING THE STANDARD COMMERCIALISATION FUND APPLICATION**

**The application is structured in 5 sections:**

**Section 1:** Applicant Details

**Section 2:** Commercial Potential and Technology Development

**Section 3:** Project Team Information

**Section 4:** Project Management - Workplan and Costs

**Section 5:** Signatures and Verification

**Evaluators are not obliged to read beyond the set word/page limits.**

10pt font is the smallest font size that is acceptable. Please choose a font "type" or "style" that can be easily read at 10pt size. You are recommended to use "Verdana" or "Times New Roman" at 10pt.

The following sections provide advice for completing each question/section of the standard application form.

### **Section 1: Applicant Details**

#### **Principal Investigator**

The Commercialisation Fund is fully open on an equal basis to all researchers employed in the third-level sector, non-profit research agencies and organisations in the republic of Ireland. Staff on contract are eligible to apply. A Principal Investigator who does not have a permanent contract needs the signature page of the application form co-signed by a relevant permanent member of staff of the institution department or research centre where the PI works. The Principal Investigator will be responsible for the timely production of financial and technical reports covering the stage(s) of the project.

#### **Collaborators**

**For collaborative projects, there must be ONE Principal Investigator who will have overall responsibility for the project.**

Collaboration may be supported where the experience and expertise of two researchers or institutions would bring significant added value to the achievement of a project output that would not otherwise be possible. The overall project costs should be clearly and appropriately apportioned between the collaborating partners. Details of formal (those receiving funding from the project) and informal collaborators (those not receiving funding from the project) must be included in this section of the application form.

#### **Progenitor Projects**

Commercialisation Fund projects should be based on technologies that are sound which have a reasonable prospect of serving a unique and/or sizeable market opportunity. It is therefore important to refer to the original source of funding on which this proposal is based. If you have received funding for a relevant Commercialisation Fund Feasibility Project include the reference number for the project here.

### **Project Details**

Projects can be comprised of 1 or more stages. Provide summary details on the number of stages in the proposed project, the cost per stage, duration of each stage, total project cost and total project timeframe. You are also asked for details on the submission of your project to other funding programmes, if applicable.

### **Assessment Panel**

You must indicate which technology area you consider most relevant to your proposal. Enterprise Ireland will use this to select the most appropriate evaluation panel for your proposal. **PLEASE SELECT ONLY ONE AREA:**

- Life Sciences & Food
- Information & Communication Technology
- Industrial Technologies

### **Ethical Approval**

Ethical approval is required for all work involving animals or humans and applicants must indicate whether or not they require ethical approval to complete the work as outlined in the proposal. Where ethical approval is required please indicate the anticipated approval date.

### **Resubmission**

Applicants who are resubmitting proposals are required to respond to panel comments and recommendations. Applicants should address these in an appendix, entitled "Response to Panel Comments and Recommendations", which should be included in the proposal after the signature page.

### **Submission:**

For proposals being submitted to a published call, you are asked to provide the name/s of Enterprise Ireland Commercialisation Specialists with whom you discussed your application.

For invited proposals you are asked to provide the name/s of the Technology Transfer or equivalent office Case Manager who supported you in preparing your proposal and the Enterprise Ireland Commercialisation Specialist who invited you to apply.

### **Sabbatical**

Any planned sabbatical during the project must be indicated in section 1 and detailed in the "Commitments" Table in section 3.

## **Section 2: Commercial Potential and Technology Development**

### **Introduction**

This section examines the project objectives and the opportunity the project offers to deliver innovative technology to address a commercial problem. While demonstrating the full potential of the technology, **the project should focus on a specific application or solution the technology can provide.**

### **2.1 Objectives (Maximum 200 words)**

State the objective(s) of the project (to a maximum of four). Clearly articulate the explicit technical and commercial outcomes to be achieved at the end of the project.

### **2.2 Project Summary (Maximum 1 page)**

Provide a short summary of the project including a brief statement of the commercial opportunity for the technology and the specific application for the technology this project will focus on.

### **2.3 Commercial Opportunity**

**What gap, need or problem in the market does the technology address? (Maximum 1 page)**

For a technology to have commercial potential, someone in the marketplace must have an existing problem that the technology can solve. The word "problem" should be interpreted as the "need" or "issue" the technology addresses for the user. The problem should be described and an explanation included as to why the problem matters. Potential users/customers/industry for the technology should be interviewed to understand how they describe their "need" or "problem".

**What are the current approaches to address the problem and why is the proposed technology better than these? (Maximum 1 page)**

Clearly articulate the unique attributes or competitive advantage of the technology compared to the existing approaches. Begin by identifying the alternative approaches/solutions and then describe what is unique about the technology. You can present this information in a table format. Outline the relevant emerging technologies in your technology area.

**Describe the markets and customers where you think the technology will have the strongest commercial potential? (Maximum 1 page)**

Outline the applications and markets in Ireland, within Europe and globally, where you think the proposed technology will deliver valuable solutions to customers. Provide detail on the specific market for the technology including market size and trends for the application of the technology that is the focus of this project. Highlight potential barriers to realising market acceptance of this technology e.g. this solution will open a new market opportunity, this is a disruptive technology, highly regulated environment. Consider who will pay for the technology.

**Note:** The following websites may be helpful:

R&D Market Research Guide <http://www.enterprise-ireland.com/InfoCentreClientGuides/R+and+D+Market+Research/>  
General Business Information Resource Guide <http://www.enterprise-ireland.com/InfoCentreGuides/Business+Information+Resources+Guide/>

IDC [www.idc.com](http://www.idc.com) (market research and surveys on IT),

Research Recap [www.researchrecap.com](http://www.researchrecap.com)

(industry, economic, academic, market, investment and credit research reports).

Market Research Portal [www.marketresearchworld.net](http://www.marketresearchworld.net) (industry information including research findings, articles written by industry professionals such as market research in general, qualitative research, quantitative research, survey methods and statistics)

**Note:** Enterprise Ireland provides Principal Investigators with access to market research resources to investigate the market potential for their R&D projects. The PI **must request access to** these through the TTO or equivalent office or the Commercialisation Specialist assigned to the institution or sector.

## 2.4 Economic Impact in Ireland

**Describe the potential of the project output(s) to have an economic impact for Ireland? (Maximum 2 pages)**

The applicant is strongly advised to **work closely with the TTO** in completing this section of the application.

Describe the proposed route to exploitation for the technology.

***In the case of a proposed licence to industry:*** List the companies in Ireland for whom this technology is relevant? Detail what, if any, engagement (including names and addresses of contacts) you have had with these companies and what interest they have expressed in your technology. How will the proposed technology add value to their current market offer?

***In the case of a proposed new commercial enterprise (technology-based start-up) in Ireland:*** Outline why you think this technology is suitable for a start-up company?

Relationships forged with industry are essential to commercial success. These relationships can assist with market information, funding, technical input, introductions to licensees, etc.

Detail any relevant engagements with industry/customers/others not already detailed in the proposal.

Discuss the different industry/customers/others you plan to interact with throughout the life of this project and the value they can offer to your project.

## 2.5 Technology Innovation

**Describe the proposed technology development? (Maximum 4 pages)**

Provide a summary of the development work to date on the technology. Describe clearly the rationale for and the research work to be carried out to develop the technology to address the specific need or problem described in 2.3. Detail the specific results/improvements expected, performance characteristics, etc and what the final product or process will do. The description should be suitable for review by evaluators with a business background who will wish to know what the product or process does rather than how it works. Describe the project team and their capabilities to undertake the proposed project.

**Describe the status of the technology in terms of intellectual property rights? (Maximum 1 page)**

What is the plan to protect any IP produced in this project? This should be discussed with your TTO. Has the TTO taken any steps to protect this intellectual property? If yes, indicate status. Based on literature/patent searches, are there any obstacles to patenting? Do any third parties have ownership rights which may inhibit commercialisation? Is the product or process being developed standalone or does it require access to background IP for commercialisation?

The following web sites offer free patent search services:

- EPO Patent search: <http://ec.espacenet.com>
- USPTO patent search: [www.uspto.gov/web/menu/search.html](http://www.uspto.gov/web/menu/search.html)
- Software Patent Institute: [www.spi.org](http://www.spi.org)

- German PO Patent Search: [www.depatistnet.de](http://www.depatistnet.de)
- Patent Abstracts Japan: [www.ipdl.jpo.go.jp/homepg\\_e.ipdl](http://www.ipdl.jpo.go.jp/homepg_e.ipdl)

**Note:** A declaration, on behalf of the Designated Institution, pertaining to ownership of Foreground IP, must be signed if the proposal is successful and a contract is awarded.

**Letters of Support:**

Letters of support which clearly indicate the value of the proposed technology to an end-user/industry can be included in the application. These should be included in the body of the application after the signature page.

These should preferably be provided by commercial parties/individuals who have relevant commercial/technical insights and were/are acknowledged participants in the target marketplace value chain for the proposed technology offering. Ideally, the letters of support would reflect some or all of the following:

- meaningful discussions /meetings between the letter writer and the PI that establish awareness and acceptance of the validity of the commercial/technical assumptions outlined in the project proposal.
- the commercial parties willingness to engage in (itemised) support activities that will meaningfully progress the commercialisation of the technology; where this is the case then the commitments made in the letter of support should be reflected in the relevant work package of the project plan.
- the potential for the letter writer to be a potential trial partner for further validation of the technology; where this is the case then the commitments made in the letter of support should be reflected in the relevant work package of the project plan.

For the avoidance of doubt, documentation should be put in place before the project commences so that none of the above activities result in any pre-emptive rights being granted to the commercial party concerned.

## Section 3: Project Team Information

This section examines the team involved in the proposed work in relation to their ability to successfully complete the project.

### **Team Member Skill Sets**

List the project team members. Provide a description of the relevant skills and experience of the Principal Investigator and each team member including formal and informal collaborators in 3<sup>rd</sup> level institutions and research performing organisations.

Highlight skills that have direct value to the project including relevant industrial experience as well as publications and patents. You must include a 1 page CV for each team member in the application after the signature page.

Informal collaborators not based in 3<sup>rd</sup> level institutions or research performing organisations should include a letter (within the body of the application form, after the signature page) indicating their role in and support for the project.

### **Researcher Commitments**

Indicate the time commitment (as a percentage of a full time resource) of the Principal Investigator and each team member to the project. Provide this information for all concurrent projects each team member will be engaged with, including the grant reference number. These will be used to assess if there is adequate resource availability for the project. Informal collaborators not based in 3<sup>rd</sup> level institutions do not need to complete the commitments table but should include a letter in the body of the application after the signature page indicating their role in and support for the project.

### **Track Record of Enterprise Ireland funding**

Where the Principal Investigator has previously received funding from Enterprise Ireland, in particular funding through Commercialisation Fund or ATRP/PRP Programmes, please detail how the outputs from these projects were commercialised or are being commercialised and their economic impact for Ireland.

**Note:** First time applicants who have not previously had enterprise Ireland funding will not be disadvantaged.

## Section 4: Project Management - Workplan and Costs

### 4.1 Project Workplan

A project may be comprised of 1-3 sequential stages depending on the amount of technical and commercial work required to deliver a licensable technology.

A detailed workplan is required for stage 1 of the project and an outline workplan is required for any subsequent project stages for multi-stage projects. For each stage, the workpackages, timing and deliverables will be summarised in the form of a GANTT chart. A Project Overview/Summary table must also be completed.

#### Stage 1 workplan:

Describe the work to be performed in Stage 1 in detail using the template and instructions provided in the standard application form. Organise the work to be performed in Stage 1 into one or more technical and commercial workpackages. Technology development and commercialisation are expected to run in parallel.

Include:

- Aim of each workpackage in Stage 1
- Duration of each workpackage in Stage 1
- Detail the Activities/Tasks of each workpackage in Stage 1
- Milestones and deliverables for each workpackage in Stage 1
- Go/No Go technical and/or commercial deliverables (**Multi-stage projects only**)
- Technical and Commercial risks for Stage 1

**For multi-stage projects you must provide Go/No Go deliverables for Stage 1** set to be delivered **2-3 months** before the end of stage 1.

**A milestone** is used as a project checkpoint to validate how the project is progressing and can signify some other work that has to be completed.

**A deliverable** is any measurable, tangible, verifiable outcome, result, or item that must be produced to complete a project or part (stage) of a project.

**Go/No Go Deliverable** defines a critical point in the project which determines the technical and/or commercial feasibility of the project.

List the workpackage tasks, milestones and deliverables including details of timing in the form of a **Gantt chart**.

#### Multi-Stage Project Workplan:

**For multi-stage projects** you are asked to provide an outline of the **subsequent sequential project stages**, including an outline description of the technical and commercial workpackages for each stage, the milestones, deliverables and go/no go deliverables for each stage using the template and instructions provided in the standard application form. It is expected that each project stage will have a balance of technical and commercial workpackages. List the workpackages, milestones and deliverables including details of timing for each subsequent stage in the form of a **Gantt chart**.

#### Project Summary/Overview

Complete the project summary overview table using the template and instructions provided in the standard application form by listing each project stage, timeframe and workpackage list. Also list the deliverables and for multi-stage projects, the go/no go deliverables for each stage along with the costs per stage.

## 4.2 Project Costs

All reasonable direct costs involved in the execution of the Project are eligible for funding. You must detail the costs requested independently for each project stage and provide a full and clear justification for each category of costs requested for each project stage. Costs may be deemed ineligible for funding where a lack of detail or insufficient justification is provided.

Where more than one institute is collaborating on a project for 1 or more stages, the relevant costs must be detailed independently for each institute for each stage they are contributing to. If the collaborating institute is not to receive grant monies for this project stage, this should be clearly stated.

**Pay** - All of the staff involved in each project stage should be listed. The salary costs of personnel including part-time staff may vary according to the discipline involved, but it should be noted that scales must reflect experience and qualification of the potential candidates. Staff can be supported only for the purpose of the project. Where an institution is eligible to charge for pension costs, these costs must also be requested here-**YOU MUST CHECK WITH YOUR RESEARCH OFFICE/FINANCE OFFICE TO DETERMINE IF PENSION COSTS SHOULD BE REQUESTED.**

**Note:** Due to the staged nature of Commercialisation Fund projects they are not considered suitable for researchers completing PhDs or Masters qualifications. Please note that fees are not an eligible expenditure.

**Materials** - Details of consumables/materials exclusively required for the successful completion of each project stage should be listed. Under normal circumstances the cost of consumables will not exceed 25% of the total cost.

**Travel** - Details of relevant **domestic** travel, including the person travelling and the costs associated with attendance at named and appropriate tradeshows/companies/conferences should be included.

**International travel** will only be allowed in circumstances where it is critical for the project deliverables and requires prior agreement from Enterprise Ireland.

Travel and subsistence costs that relate to the use of facilities that exist abroad and which are essential to the project may be included. These costs must be detailed in the application form along with a detailed justification for same.

**Travel outside the EU** must be agreed 2 months prior of the intended travel date by completion of the relevant section of the "Project Alteration Form" that can be downloaded from <http://www.enterprise-ireland.com/en/Process/Higher-Education-Institutes/>

**Subcontract** - For sub-contract project activities, national and EU procurement procedures where applicable must be adhered to. Suppliers/Consultants should not be named until College Procurement is complete. Consult your Research/Finance office to get their advice on these costs.

In cases where subcontracting is necessary, details of subcontracting costs including the use of a consultant should be clearly outlined and justified. In the case of consultancy work, for marketing or business purposes, the PI must agree with their Technology Transfer Office or equivalent the most appropriate consultant and seek EI approval prior to engagement. A business consultant's output must be shared with Enterprise Ireland as part of the project stage review. Where technical work for the project needs to be sub-contracted e.g. clinical trials, safety and efficacy testing, Enterprise Ireland must approve the provider. Where possible, every effort must be made to outsource work in Ireland.

**Any sub-contracting should be specifically referenced in the relevant workpackages of the project workplan.**

**Other** - Details of additional relevant costs not covered in the other cost categories should be clearly outlined and justified.

**Capital** - Details of all items of equipment valued over €5,000 including a commercial quotation should be included in the relevant project stage. Under normal circumstances the cost of equipment will not exceed 25% of the total cost. Funding of laptops or general computer equipment will only be considered in exceptional circumstances where appropriately justified.

**Please note:** The applicant is expected to have access to the normal laboratory and other technical infrastructure required to perform the work. Therefore, standard items of equipment that one would expect to be in a laboratory competent to submit the proposal are not allowable. Only additional capital that are essential and specific to the project are allowable.

**Total costs summary table** - You must complete the total costs table with the details of the different costs requested for each project stage.

## Section 5: Signatures and Verification

The following original signatures are required on the same signature page of the application form:

1. **The Principal Investigator in the host institute:** If the project is collaborative then it needs to be signed by the collaborators in the host/collaborating institute/institutes. If the Principal Investigator in the host institute and/or collaborators in host/collaborating institute do not have a permanent contract/s then the application must be signed by a relevant permanent member of staff—usually the head of department or research centre/institute where the PI and collaborator are based.
2. **Informal collaborators** (those not being paid on the project) in 3<sup>rd</sup> level institutions and research performing organisations should sign the application.  
**Note: Informal collaborators** (those not being paid on the project) not based in 3<sup>rd</sup> level institutions and research performing organisations do not need to sign the application but should include a letter (embedded in the application after the signature page) stating their role in and support for the project.
3. **The authorised officer in the host and collaborating institutes:** This is the VP of Research or equivalent in the institute. Signatures are required for the host and collaborating institutes.
4. **The authorised Technology Transfer Officer in the host and collaborating institute:** As the primary intent of the Commercialisation Fund is to generate outputs for commercial exploitation, each application requires the signature of the Director of Technology Transfer or designated official from the institute's Technology Transfer Office (or equivalent). Signatures are required for the host and collaborating institutes. The TTO may include comments on the application form.

## Submitting Your Completed Application - Checklist

### Checklist:

- 1. Have you used the correct application form?**  
Applications will only be accepted on the "Commercialisation Fund 2012 Standard Application Form" ([www.enterprise-ireland.com/commercialisation](http://www.enterprise-ireland.com/commercialisation)).
- 2. Have you nominated a PI on your application?**  
Failure to have a single PI nominated in the application may deem the application ineligible.
- 3. Have you kept to the page limits and font type set out in the application form?** Evaluators are not obliged to read beyond the set word/page limits.
- 4. Have you completed all sections of the application form?** Incomplete applications will be deemed ineligible.
- 5. Have you compiled the application as a single MS WORD document with CVs, Letters of Support, appendix for resubmission etc. embedded in the application?**
- 6. Have you got all the original signatures you require on a single signature page on the application?**
- 7. Have you met all your institution requirements before submitting the proposal?**
- 8. Make sure that you post your application to arrive on time for the closing date of published calls.**
- 9. Remember to submit the e-copy of the application as a single MS word file only. For proposals submitted to a published call, the e-copy must be emailed on time on the closing date of published calls.** E-mail subject field should be completed as follows: "First letter of first Name, Surname of PI" – CF 2012- "Technology Area", e.g. MM – CF 2012 - Life Sciences  
File name should be completed as follows: "First letter of first name and full surname of PI".doc e.g. MMaher.doc  
Therefore: MM-CF 2012-LifesciencesMMaher.doc

**THE SIGNED ORIGINAL AND 1 COPY OF THE COMPLETED APPLICATION FORM AS WELL AS AN ELECTRONIC COPY COMPRISING A SINGLE MS WORD APPLICATION DOCUMENT SHOULD BE SENT AND EMAILED TO:**

CONTRACTS UNIT  
COMMERCIALISATION FUND PROGRAMME  
ENTERPRISE IRELAND  
EAST POINT BUSINESS PARK, THE PLAZA, DUBLIN 3.  
[COMMERCIALISATION.FUND@ENTERPRISE-IRELAND.COM](mailto:COMMERCIALISATION.FUND@ENTERPRISE-IRELAND.COM)

