MAIN PROPOSAL

Transfer campaign validation project

# Application for funding from the Initiative and Networking Fund as part of the "Transfer Campaign" funding measure

Helmholtz Association | 15.11 .2022

# **Application for funding from the Initiative and Networking Fund [[1]](#footnote-1)**

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| 1. General information |

1.1 Applicant and Helmholtz Center

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| Applicant: |  |
| Helmholtz Center: |  |
| Institute / Department: |  |
| Address: |  |
| Phone: |  |
| Email: |  |

1.2 Validation project

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| IVF Projekt-Nr. | **KA-TVP-00** |
| Validation Project Title: |  |
| Short Title: |  |

1.3 Contact person TT office

|  |  |
| --- | --- |
| Contact TT office: |  |
| Address: |  |
| Phone: |  |
| E-mail, website: |  |

1.4 Funding requested

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| --- | --- | --- |
| Project duration (max. 2 years) |  | |
| Project Cost (Total in €) |  | |
| Cost Split:   * Helmholtz validation fund * Helmholtz Center’s own contribution (excluding overheads) * Contribution by partners from industry / other third-party funds | |  |
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1.5 Information on existing funding programs

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| Funding from other programs:EXIST (BMBF) | planned applied rejected expired |
|  | planned applied rejected expired |

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| 2. Summary (max. 1 page) |

2.1 Brief description (1-2 sentence(s))

2.2 Commercialization potential of the product / service

2.3 Added value through validation

2.4 Implementation of the validation project / project management

*Important: In order to review the main application, information is required on all bullet points, but not on every question posed therein. The questions are intended to assist in fleshing out the bullet points; they and this preliminary note must be deleted. Incomplete applications may result in rejection of the main application for lack of information. Applications may be submitted in German or English.*

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| 3. Presentation of the project |

3.1 Description of the product or service offering incl. unique selling point

* What problem is solved or what need is satisfied by the product/service (meaningful description and, if possible, quantification)?
* What is the idea or technology behind the product or service?
* What are the unique selling points that set the product apart from the competition?

3.2 Description of the added value for target customers

* In which areas can the product or service offer be applied?
* Which customer groups are addressed? How are target and end customers differentiated? Who is the user and who is the payer/decider?
* What is the customer benefit, what is the purchasing power and the adaptation speed of the target groups?
* Are there already expressions of interest in the product/service offering or are there initial pilot customers?

3.3 Analysis of the relevant market

* How large is the targeted market (total addressable market and initial market shares in target market segments)? How is the market developing (e.g. growth, trends, financing activities)?
* What are the barriers to market entry and how must the planned product or service be positioned to enable commercialization? What are the resulting requirements for the development and validation of the product or service offering?
* Which analyses still need to be deepened - internally or externally - during the project period?

3.4 Competitive situation

* Which direct and indirect competitors exist? What market shares, relevant products and business models do they have (competition matrix or similar)?
* Which technologies are used by competitors?
* What is the development advantage of your own project over the competition?
* Is a competitive response to be expected when recovery begins?

3.5 Implementation risks

* What technical risks exist on the way to market? Which technologies still need to be developed? Which established technology standards play a role with target/end customers?
* What necessary approvals or certifications or studies need to be conducted to achieve commercialization?
* What is the environmental, ethical and regulatory environment of the technology and target market?
* Are there dependencies on suppliers/services of third parties (delivery deadlines, order volume, etc.) and what effects can this have?
* What other risks exist and how are they monitored and minimized?

3.6 Concept for the protection and execution of the idea[[2]](#footnote-2)

* Which property rights exist on the part of the applicants, the applying center and the possible industrial partner? Who are the owners, what is the scope of the patents and what is their term?
* What is the patent strategy in terms of IP protection and market entry?
* Are there any third-party intellectual property rights that could prevent the product or service to be validated or the technology from being marketed in the targeted market segment? If so, can these property rights be circumvented?
* Are there any exploitation agreements with third parties? What upfront and royalty payments are planned?
* Is there IP that cannot be protected? Can know-how, supplier and distribution relationships or brand building be used to protect the business?
* Are there norms and standards that must be met?
* Are there access points to experts and opinion leaders that can be used?
* What infrastructure is available for the implementation of the project?

3.7 Commercialization opportunity and exploitation strategy

* At what stage of development is the product/service after the validation project (validation target)?
* What further steps are necessary after successful completion of the validation project until commercialization?
* Which exploitation channels are possible and targeted?
* What are the planned exploitation goals (licensing, start-up, sales, etc.)?
* What contacts exist with cooperation partners, exploitation partners or potential customers for the product/service? Can these be won as pilot customers?
* What preliminary contracts, letters of intent or funding commitments exist?

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| 4. Added value through validation |

4.1 Description of the validation gap up to commercialization

* How advanced is the project so far? What preliminary work has been done?
* At what stage of development can a market launch be estimated?
* What are the steps in validation support?
* Why is a grant from the HVF funds necessary? What is the need for support?
* Is there already proof of function (proof-of-concept)? What further functional evidence, e.g. laboratory samples, toxicological tests, prototypes, pilot series, is necessary for validation?
* What proofs of the value proposition are planned with users? How are users and/or customers involved in the development?

4.2 Value enhancement through validation

* What internal value is generated by achieving the validation goal (3.7)? (User feedback, market authorization, evidence, proof of economic viability, proof of function and performance, etc.).
* To what extent is it planned to award contracts to third parties?
* What is the attractiveness of the validated product or service after implementation of the project? Which points must be demonstrated so that an industrial partner would be interested in commercialization?

4.3 Use of system solution expertise and networking between centers

* Is cooperation between Helmholtz centers planned? If so, what synergy, complementarity or support will result?

4.4 Increasing the visibility of the Helmholtz Association through the project

* What is the significance of the product/service offering for society or for Germany as a business location?

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| 5. Implementation of the validation project / project management |

5.1 Project planning and definition of milestones[[3]](#footnote-3)

* Into which sequential work packages should the project be divided? How should the validation be carried out and its results be shown?
* Complete, precise and comprehensible description of
* Targets
* Resource requirements
* Timetable as well as milestones as criteria for monitoring success and disbursing further tranches
* Brief outline of necessary work packages and milestones to commercialization goal, organized on timeline.

5.2 Milestone-based financial planning3

* What is the total project cost from milestone to milestone?
* How high are the costs for personnel, materials, orders to third parties, etc. (explanations for the Excel table *Projektinformationen Hauptantrag Validierungsprojekte.xlsx*)?
* What are the financial requirements after successful completion of the validation project until commercialization?

5.3 Project manager and management experience

* Which project managers are available to the team and what management experience do they have so that they can lead the project to success? (Short CV, third-party funded projects, references, etc.)
* What qualifications and capacities identify the project manager?

5.4 Project team and distribution of tasks

* Which necessary attitudes, competencies and qualifications are covered by the individual team members?
* What is the division of tasks in the team (organizational chart)?
* Which competencies are missing? How will these be brought into the project (e.g. hiring new staff or consultants)?

5.5 Proposals for internal and external sponsors

* Who can be considered for the tasks of an internal sponsor from the Helmholtz Center, e.g. from TT-Stelle?
* Who could accompany the validation project as an external sponsor (short CV, references)?

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| 6. Explanations, signature and appendix |

6.1 Explanations

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| Have applications for funding from other funding sources been submitted for the project? | no yes, namely: |
| Was there already public funding in the context of the project? | no yes, namely: |
| Do you have your own patents or patent applications that are relevant to the project? | no  yes, namely (information on filing date, number, owner, inventor, scope of protection, coverage and availability): |
| Are third-party patents relevant to the project known? | no  yes, namely: |
| Are you aware of any conflicting rights of third parties? | no  yes, namely: |
| Is it likely that owners of relevant industrial property rights will not support the project? | no  yes, namely: |
| Do contractual agreements exist that could affect the implementation of validation (cooperation agreements with industry, license agreements, etc.)? | no  yes, namely: |
| Is non-patented know-how relevant in connection with validation? | no  yes, namely: |
| Has the project already been discussed with potential investors or industry partners? | no  yes, namely: |
| Are there letters of intent from investors? | no  yes, namely: |
| Have there already been rejections from investors or industry partners? | no  yes, namely: |
| Is there entrepreneurial experience on the team? | no  yes, namely: |
| Is there evidence of project management and team leadership competencies? | no  yes, namely (references): |
| Is the confirmation of the Helmholtz Center's board of directors regarding the guarantee of the own contribution available? | no  yes |

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| Signatures |

**Signature of a representative of the center's technology transfer office**

This is to confirm that the Technology Transfer Office supports the project described herein and is available to provide a more detailed assessment to the Validation Fund Management.

Place, date Signature

**Signature of the applicant**

I hereby apply for funding from the Helmholtz Initiative and Networking Fund.  
I declare that the requested validation project is not funded in whole or in part by other funding sources.

I am aware that external third parties will be commissioned to assess the application. I agree to the forwarding of the application. The Helmholtz Association will oblige the reviewers to maintain confidentiality.

Place, date Signature

**Signature of the responsible board member of the center**

Hereby, a 25 percent matching funding from the Center's resources and/or payment commitments from external business partners is confirmed.

Place, date Signature

**Appendix with additional information (max. 20 pages)**

* Implementation of the recommendations from the pre-proposal review:

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| --- | --- | --- |
| **Recommendation** | **Implementation in the main proposal** | **Chapter** |
| *Ex.:  Appointment of sponsors* | *Maxi Mustermann (Transfer AG) was recruited as an external sponsor.* | *5.5* |
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* Implementation of the required budget reduction for the main proposal:

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| **Budget reduction** | **in €** |
| Impact on the validation approach? | no  yes, namely: |
| Work packages dropped? | no  yes, namely: |
| Work packages are reduced? | no  yes, namely: |
| Work packages/ mile-stones time modified? | no  yes, namely: |
| Activities dropped? | no  yes, namely: |
| Activities will be reduced? | no  yes, namely: |
| Activities are time modified | no  yes, namely: |
| Compensation by internal resources | no  yes, namely…(Size of budget/staff Capacity and its use): |
| Compensation by external resources | no  yes, namely…(Size of budget/staff Capacity and its use): |

* Informal confirmation and explanation by the responsible executive board of the Helmholtz Center and/or external business partners, if applicable, regarding the support and guarantee of counter-financing of the project.
* Own prepared, applied for or granted project-relevant patent specifications
* Own publications on the validation project
* Market research
* Freedom-to-Operate Analyses
* Third party expertise
* References
* Other further information

1. Please note: The length of chapters 3-5 of the application should not exceed 20 A4 pages (Arial 11 font). A maximum of 20 additional pages are provided for the appendix. [↑](#footnote-ref-1)
2. In addition, item 6.1. must be completed. [↑](#footnote-ref-2)
3. In addition, the file *Projektinformationen Hauptantrag Validierungsprojekte.xlsx* must be completed. [↑](#footnote-ref-3)