

National Technology Transfer Initiative in Portugal (PTTI)

GUIDELINES

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I. Introduction

This document defines the general guidelines ruling the partnership between Instituto Pedro Nunes (IPN) and the European Space Agency (ESA), with the support of the Space Office of Fundação para a Ciência e Tecnologia (FCT), in the scope of the “National Technology Transfer Initiative in Portugal” (PTTI).

ESA is an international organization with currently 19 member states and several cooperating states. ESA’s major tasks are the implementation of the European Space program and coordination of the financial and intellectual resources of its members. The main mission of ESA’s Technology Transfer Programme (TTP) is to facilitate the use of space technology and space systems for non-space applications and to demonstrate the benefit of the European Space Programme to European citizens. ESA’s support to the technology transfer process is performed namely by funding National Technology Transfer Initiatives (NTTI), such as the “National Technology Transfer Initiative in Portugal” (PTTI).

The main mission of the FCT Space Office is to fully explore the benefits of the Portuguese participation in European space programs, particularly in ESA space programs. Namely, in order to fulfill its mission, the FCT Space Office is set to monitor the participation of Portuguese academia and industry in European and international space programs while providing recommendations relevant to the implementation of national scientific and technological initiatives and programs, and to promote the visibility and competitiveness of the Portuguese space sector alongside the main European and international partners.

Instituto Pedro Nunes – Association for Innovation and R&D in Science and Technology (IPN) is a private non-profit organization, a leading incubator and technology transfer institute in the Portuguese innovation ecosystem. IPN's work also encompasses R&TD in partnership with companies, specialized training, dissemination of scientific and technological knowledge and support to start-up and spin-off companies, as well as advanced services on Intellectual Property. Under this specific Initiative, IPN is in charge of the implementation of the PTTI, namely launching and managing open competitive calls encouraging entities working and developing technologies in the area of space to submit proposals for Feasibility Studies and Demonstrators.

II. Objectives

The general goal of the initiative is to strengthen the competitiveness of the Portuguese space industry by supporting and facilitating the transfer of space technologies to non-space markets, namely by opening competitive calls for Feasibility Studies and Demonstrators.

III. Definitions

PTTI – “National Technology Transfer Initiative in Portugal” (PTTI), a partnership between Instituto Pedro Nunes (IPN) and the European Space Agency (ESA), with the support of the Space Office of Fundação para a Ciência e Tecnologia (FCT). Part of the ESA's Technology Transfer Programme (TTP), PTTI goal is to facilitate the transfer of space technologies and space systems to non-space markets and to demonstrate the benefit of the European Space Programme to European citizens, by granting funds to Portuguese beneficiaries.

Feasibility Study (FS) – Funded initiative under PTTI aiming at reporting on the technical and commercial application of a space technology in a non-space market.

Demonstrator (Dem) – Funded initiative under PTTI aiming at testing the technological feasibility of using a certain space technology in a specific non-space market application with proven market potential.

IV. Governance

Steering Committee

The Steering Committee (SC) is set up to ensure the long-term progress of the PTTI and is composed of 7 members. Besides FCT and ESA, 5 other distinguished members, representative of space and non-space sectors, as well as *academia*, will constitute the SC. The SC chair will be an FCT representative. IPN will assume the role as SC secretary.

The SC is responsible for the following tasks:

- i) To provide strategic orientations for the entire initiative;
- ii) To participate in the evaluation and selection of winning proposals.

It is anticipated that the SC meets at least three times during the PTTI. Due to the confidential nature of the proposals, a written Non-Disclosure Agreement will bind all SC members.

Evaluation Board

The Evaluation Board (EB) is responsible for the technical evaluation of proposals, based on the evaluation criteria defined for the Feasibility Studies and for the Demonstrators. The EB is composed of the Steering Committee members and, if the case may be, of other evaluators appointed by the SC. Due to the confidential nature of the proposals, a written Non-Disclosure Agreement will bind all EB members.

V. Calls publication

Applicants are invited to submit their proposals after the calls publication and until the initiative budget is consumed, considering the evaluation dates announced in the calls. Both call publication and notice of closure will be announced by IPN in the initiative website (www.ptti.ipn.pt).

All information regarding proposals content and supporting documents will be provided in the Application Instructions, made available with each Call.

All proposal documents shall be submitted to IPN in .pdf format only and in a single e-mail, to the address ptti@ipn.pt.

VI. Eligibility Requirements

Domain of activity

In order to be eligible, applicants must fulfil **at least one** of the following requirements:

- a) Entities having participated in past ESA projects or companies listed in the 2011 Space Catalogue of the FCT Space Office;
- b) Entities developing technologies in the area of space;
- c) Entities interested in developing non-space applications based on ESA's space technology and on ESA's data collection.

Legal requirements and compliance

In order to be eligible, applicants must fulfil **all** the requirements below:

- a) To be a legal entity (private law company, association or foundation) registered under the laws of Portugal;
- b) To be headquartered in Portugal;
- c) To be fully compliant with Portuguese tax and social security obligations;
- d) To observe the remaining requirements of these Guidelines;
- e) When acting in collaboration with other national or foreign entities, the applicant is the sole contractor and will be fully responsible for managing the grant.

Entities with previous winning proposals

During the whole PTTI initiative, funding is limited to one winning Feasibility Study and one winning Demonstrator per entity. In case an entity submits more than one Feasibility Study

proposal or more than one Demonstrator proposal to be evaluated in the same evaluation date, only the latter proposal submitted shall be evaluated, unless clear notification by the entity. Exceptionally, following a notification in the initiative website, entities with previous winning proposals may submit their new proposals for the third evaluation date.

Eligible costs

In order to be eligible, besides observing the dispositions in Annex A - Cost eligibility limits and conditions, all project costs must be:

- Necessary to the execution of the Feasibility Study/Demonstrator;
- Incurred by the beneficiary and recorded in its accounts;
- Incurred during the contract term;
- Indicated in the cost schedule in the proposal;
- Without VAT, interest owned, or duties.

Under the PTTI, expenses incurred by the applicant in any stage of the application procedure are not eligible.

VII. Evaluation process

Screening

Upon receipt of each proposal, IPN will

- i) assign a unique code to the proposal;
- ii) send an e-mail acknowledging the receipt;
- iii) assess the proposal admissibility for evaluation.

A proposal is only admitted for evaluation if all eligibility requirements are met. At this moment applicants become PTTI bidders. When eligibility requirements are not met, the proposal shall be rejected. The outcome of this initial assessment shall be communicated to the applicant in written form, preferably by e-mail.

Evaluation

Each proposal will be considered for the evaluation date following its submission, provided it is submitted at least 15 consecutive days before that date. The evaluation and submission dates are set in the Feasibility Studies/Demonstrator calls.

For the evaluation, the EB may request PTTI bidders to provide answers to any further questions regarding the content of the proposal. Each proposal will be classified using the evaluation criteria.

The proposal content evaluation shall be based on the way the criteria below have been addressed, without prejudice of other criteria approved by the SC:

- a) The current development status of the space technology and the applicant competencies associated to that technology;

- b) The Intellectual Property Rights (IPR) status of the space technology/competencies;
- c) The novelty technology/competencies and competitive advantage against comparable IPR on the market;
- d) The identification and attractiveness of the non-space market(s);
- e) The potential benefits of the novelty technology/competencies for the identified non-space market(s);
- f) The capacity of the applicant entity and staff involved to develop the Feasibility Study/Demonstrator;
- g) The project cost effectiveness;
- h) The overall feasibility of the technology/competencies transfer.

Selection

IPN will notify the PTTI bidder of the SC final decision by e-mail within 30 consecutive days after the applicable evaluation date. In the event of an unsuccessful outcome of the evaluation, the PTTI bidder may submit a new application.

The winning proposals should receive funding to carry out the proposed Feasibility Studies or Demonstrators, as detailed in “IX. Budget and Grant”. Upon receiving notice that the application has been successful, the PTTI bidder is contacted to sign the PTTI Feasibility Study or Demonstrator Contract with IPN.

VIII. Contract Management

The period between the proposal approval and the contract placement is in principle no longer than 30 consecutive days.

IPN will request the PTTI bidders the presentation of official written evidence of full compliance with Portuguese tax and social security obligations, prior to the signing of the contract.

The contract term is fixed to 6 months, period during which the Feasibility Study or the Demonstrator must be developed. This term defines a deadline for submitting all agreed deliverables.

IX. Budget and non-refundable grant

The total available budget for the implementation of Feasibility Studies and Demonstrators is set to 224.983,5 Euro. The ceiling price or the available grant per winning proposal is limited to a maximum of 30.000,00 Euro. Exceptionally, for Demonstrators proposals only, with the consensus of FCT and limited to two proposals, that ceiling price may be approved for an amount between 30.000,00 Euro and 50.000,00 Euro. All proposals should consider a co-funding basis of 50% of the total project cost. At all times, the SC has the prerogative to approve proposals considering a co-funding rate below 50%.

IPN is the sole responsible for the payment of grants to winning entities.

X. Milestones, deliverables and grant payment schedule

For Feasibility Studies:

	Months after contract signature	Deliverables	Entitlement to Grant Payment
M0	0		20% (advance payment)
M1	3	- Mid-term Report	20%
M2	6	- Final Report - Feasibility Study	60%

For Demonstrators:

	Months after contract signature	Deliverables	Entitlement to Grant Payment
M0	0		40% (advance payment)
M1	3	- Mid-term Report	30%
M2	6	- Final Report - Demonstrator	30%

Except for the advance payment, the payment planned for each milestone is due by IPN after the approval of the deliverables submitted to IPN by the winning entities, and shall be paid within no more than 30 consecutive days after the approval of those deliverables.

ESA, FCT and IPN reserve the right to visit the winning entities' premises, including the right to audit accounting documents supporting costs associated with the Feasibility Studies or the Demonstrators.

XI. Intellectual Property Rights

i) Entities Projects

PTTI bidders will hold full and unconditional Intellectual Property Rights on any proprietary technology to be submitted in any of the Calls (Feasibility Studies and/or Demonstrators). The proposal submission does not grant to IPN, ESA and/or FCT any Intellectual Property Right, license, or option on any technology contained in said proposal.

ii) ESA Proprietary Technologies – ESA Space Technologies and/or ESA Data Collection

In the event of any proposal intended to explore, perform, develop and/or by any means use ESA proprietary technologies – ESA Space Technologies and/or ESA Data Collection – in any of Calls (Feasibility Studies and/or Demonstrators), the entity is obliged to present with its proposal submission a formal written document (e.g. agreement, license, comfort letter) signed by an ESA legal representative expressly granting the right to explore, perform, develop and/or by any means use those technologies. The lack of that document leads to the rejection of the proposal.

ANNEX A – COST ELIGIBILITY LIMITS AND CONDITIONS

I. Direct Costs

The project may consider the following direct costs:

- a) Staff costs, calculated considering an hourly rate according to the following formula:

$$\text{Cost/ hour} = [(\text{Base Salary} \times 14 \text{ months}) / (11 \text{ months} \times 22 \text{ days} \times n \text{ hours})], \text{ where}$$

Base Salary: monthly salary (excluding paid holidays) and social security mandatory charges, when applicable;

n: number of working hours

- b) Subcontracting costs, considering a maximum cost of 95 Euros/hour per person;
- c) Access to data sources;
- d) Travelling, Subsistence and Accommodation costs

The following costs incurred are eligible:

- Train and plane costs in Economy Class, up to 500 Euros travelling in Europe and up to 1200 Euros travelling outside Europe;
- Car rental and/or car mileage;
- Accommodation up to 125 Euros per person per night;
- Subsistence costs up to 100 Euros per person per day.

All Travelling, Subsistence and Accommodation costs must be supported by a Travel Report containing information about the objectives of the occasion (event, meeting, etc.), contacts made and results (maximum of 2 pages).

- e) Equipment (applicable exclusively to Demonstrators).

II. Indirect Costs

Indirect costs are all those eligible costs which cannot be identified by the participant as being directly attributed to the project. They may not include any direct costs.

A specific flat rate of 10% of the staff costs is to be used to calculate the indirect costs.