

**INNOVATION
EXCHANGE
AMSTERDAM**



Grants for public-private partnerships (TKI-grant) 2022-2023



Amsterdam UMC grants for public-private partnerships (Amsterdam UMC TKI-grant) sponsored by the dutch government (Ministry of Economic Affairs) through the Rijksdienst voor Ondernemend Nederland (RVO) and Topsector Life Sciences & Health (LSH).

Amsterdam UMC TKI-grant

Goal of the Amsterdam UMC TKI-grant

With this grant Amsterdam UMC wishes to stimulate its researchers to perform research projects together with companies in Public-Private Partnerships (PPP). The funding is provided by the Dutch government (Ministry of Economic Affairs) through the Rijksdienst voor Ondernemend Nederland (RVO) and the Topconsortium voor Kennis en Innovatie Life Sciences & Health (TKI-LSH, a.k.a. Health-Holland).

Target group

The Amsterdam UMC TKI grants for PPP projects are available to all Amsterdam UMC researchers who wish to perform a research project in collaboration with an industrial party.

Subsidy amount

From € 300,000 to € 750,000 subsidy per PPP-project (i.e. exclusive of the matching contributions, see Table 1). Projects applying for less than € 300,000 or more than € 750,000 subsidy will not be considered. Similar to last year's round AMC's and VUmc's TKI grant amounts will be combined, resulting in a total budget available for Amsterdam UMC applications in the order of € 9 million.

Deadline

Friday November 18th 2022, 14.00 h

This is a compulsory deadline to register for the internal call using the template in Annex A. An Amsterdam UMC TKI grant jury will review the grant pre-application forms, which should be fully completed and sent by email before the deadline to: tki@ixa.nl.

General conditions and eligibility criteria

- ▶ The topic of the application must fit at least one of the missions described in the Health~Holland Knowledge and Innovation Agenda 2020-2023. See pages 18-36 of this document (<https://www.health-holland.com/sites/default/files/downloads/kennis-en-innovatieagenda-2020-2023-gezondheid-en-zorg.pdf>)
- ▶ The collaborative project involves at least one industrial partner; it is to be realized at joint cost and risk and all consortium partners make a substantive contribution to the project, not only in cash or materially, but also in kind. In other words, the project is a true collaborative effort.
- ▶ Industrial party/ies involved in the PPP are to contribute in cash and in kind to guarantee the active involvement of the company/ies. SMEs may, but are not obliged to contribute in cash, thus they may contribute in kind only, like the academic partner(s) (see Table 1 for details). Whether an industrial party qualifies as an SME can be checked at <https://www.rvo.nl/subsidies-regelingen/subsidiespelregels/subsidiespelregels-ministerie-ministerie-van-economische-zaken-en-klimaat/aanvraag-indienen/mkb-toets>. Please note that if during an audit of the project by RVO, a company partner turns out not to qualify as an SME while it has been only contributing in kind, this is a violation of the subsidy rules and may result in having to retribute some or all of the subsidy received. It is your responsibility as applicant to make sure your SME partners qualify as an SME, so be sure to ask them to provide proof of their SME status using the “mkb-toets”.
- ▶ The percentage of the project costs which can be financed from the grant depends on the type of research performed as follows:
 - o Fundamental research up to 75%
 - o Industrial research up to 50%
 - o Experimental development up to 25%

See Table 1. These categories roughly correspond to the technology readiness level of the proposal (1-3, 4-6, and 7-9) as used for EU projects (see Pre-application Form, Annex A for definitions). Please note that separate work packages can be classified in different categories or even consist of parts that fall into different categories.

Table 1: Subsidy and matching percentages for fundamental research, industrial research and experimental development projects

Type of research	Fundamental (TRL 1-3)	Industrial (TRL 4-6)	Experimental development (TRL 7)
Maximum % PPP-allowance to be deployed	75%	50%	25%
Research organisation*	min. 10%	min 15%	min. 20%
For-Profit enterprise**	min 15%; min 10% in cash***	min. 35%; min 20% in cash***	min. 55%; min 30% in cash***

* in cash or in kind

** in cash AND in kind. The in kind contribution of personnel hours should reflect that the project is a true collaborative project;

*** SMEs may contribute in kind only, but please note that cash contributions contribute to your overall score (see section on criteria for ranking)!

NB the percentages for in kind and in cash contributions used in this Amsterdam UMC call are slightly stricter than those in the Health-Holland Match Call

- ▶ Correct classification of the project according to the type of research is very important and might be subject to additional checks if deemed necessary. Incorrect classification might lead to disqualification of the project. Please follow the advice of your business developer (BD) at IXA.
- ▶ Budgeted costs should be directly related to the R&D activities, and do not include for example: bench fee costs, travel within the Netherlands, supporting/project management tasks that are not directly related to the project’s R&D activities.
- ▶ As the grant is meant to support research activities at research institutes, the private partners cannot have their activities sponsored by the grant.
- ▶ In exchange for their contribution, the private partners co-devise the project, and obtain first access to the results. They also obtain an exclusive option to negotiate a license to use the results and inventions coming forth from the PPP project, and if they decide to exercise their option their contribution will be taken into account during the negotiations.
- ▶ Part of the subsidy may be allocated to external academic partners, provided that at least 75% of the subsidy will be spent by Amsterdam UMC research groups.
- ▶ In case of projects in which both AMC and VUmc participate, the main applicant will be the researcher from the location with the highest share in the budget.

- ▶ The pre- and final application should contain a description of the objectives, subject, key challenges, approach, and how the project contributes to the goals of TKI-LSH/Kennis en Innovatie Agenda. Each part of the project classification must be well described. The degree of cooperation must be clearly stated as well as why the consortium is particularly capable of achieving the objectives.
- ▶ A detailed budget, describing the contribution of each partner (in cash and in kind) and the allocation of the budget must be provided. If the in kind contribution is made as personnel costs, the role and activities of the personnel should be clearly described. TKI-LSH requires the use of a specific Excel template for project budgets. It is mandatory to contact your AMR project controller (PC) or VUmc financial advisor (FA) for help to ensure that the budget meets all requirements and for approval of the budget. Applications without an approved budget will be disqualified.
- ▶ The duration of the project is limited to four (4) years. Deadline for finalizing the project is in Q4 2027, i.e. 4-year projects should start before Q4 2023.
- ▶ The intellectual property (IP) generated in the collaborative project should remain the property of AMC, VUmc and/or other academic partners. An option to negotiate a market-conform license agreement to use the intellectual property of the academic partners (incl. AMC and VUmc) is part of the standard consortium agreement.
- ▶ A consortium agreement between all partners, should be signed within six weeks of allowance of the grant.
- ▶ The project is not funded otherwise.

Special Amsterdam UMC eligibility criteria

- ▶ Proposals aiming at the further development of an Amsterdam UMC patent application or other exploitable technology (e.g. software) described in an IXA invention disclosure form, whether already licensed to an Amsterdam UMC spin-off company or not (“Preferred Projects”) are granted bonus points for their ranking.

Criteria for ranking the proposals by the jury are:

- ▶ Scientific quality (max 3 pts).
- ▶ Feasibility (max 3 pts).
- ▶ Potential relevance to society (impact/utilization) (max 3 pts).

NB The average jury scores for scientific quality, feasibility and impact should each be rated >3 on a scale of 1-5 (a score of 15 translates into the max. of 3 pts).

- ▶ Preferred Projects are granted bonus points (0.5 pts).
- ▶ Number of industrial partners (0.05 pts per partner, with max 0.15 pts for 3 or more partners).
- ▶ Amount of in cash contribution by industrial partner(s) (0.05 pts for every 10K cash contribution up to a max of 1.0 pts for a 200K or larger contribution). Please realize that a cash contribution can significantly increase the chance of your proposal being awarded.

Process

First inform your IXA BD and PC/FA person of your intention to submit a pre-application. They are available for support during the preparation of the proposal. Upon receipt of the pre-applications, IXA BDs will first check whether they are eligible. Then the jury will review and rank them*. Applicants will be informed whether their pre-application qualifies for a possible financial contribution from the TKI grant fund, after which those that qualify are invited to submit a full proposal using a template made available by IXA.

The jury will then review and rank the full proposals and decide which projects will be awarded a TKI grant. Finally IXA will check, with the aid of TKI-LSH, the proposed development stage of the project (fundamental/industrial/experimental development) to exclude having to pay back any subsidy received due to a too opportunistic classification.

* to limit the effort for applicants and jury, the number of projects going through to the final round will be limited, based on the total subsidy amount requested. This amount shall be 1.5x the total amount available, i.e. approximately 13-14 million euros. Assuming an average request for subsidy of 500K, some 27 projects will be invited to write a full proposal. Thus the pre-application round is very important! Please note that the maximum number of words available for questions 6 & 7 of the pre-application form (see Annex A) is **NOT to be exceeded**.

Obligations for applicants

▶ Contact your business developer at IXA:

Amsterdam UMC researchers aiming at obtaining a TKI grant are required to involve their IXA BD in the writing and submission of the grant pre- and final proposals. If you do not know your IXA BD, please contact Nanny Appel at 020-5665056 and/or tki@ixa.nl or one of the BDs, whose contact details can be found at the IXA website: www.ixa.nl/about/teams (choose your own location).

▶ Involve the financial department:

AMC applicants must involve the AMR project controller (PC) of their department in the preparation of the detailed budget plan to both the pre- and final application. VUmc applicants need to involve their financial advisor (“financieel adviseur overige geldzaken”; FA). We urge you to do this at an early stage. Please note that the final budget sheet of both the pre- and final application requires a signature of your PC/FA. Please note that the total PPP-allowance of the final application may not differ by more than 10% from the PPP-allowance requested in the pre-application. Funded applicants shall be expected to follow the budget as originally approved in the detailed budget plan. Deviations from the budget shall require written approval from the IXA organizing committee (through your IXA BD).

▶ Obtain approval from the director of your alliance institute:

Each Amsterdam UMC alliance institute will prescreen the pre-proposals to be submitted by its applicants for alignment with the institute’s strategic plans. Thus, the pre-proposal form contains an obligatory checkbox for the alliance institute director’s approval and must be confirmed by e-mail by one of Alliance Institute’s directors to the applicant (with cc to or to be forwarded by the applicant to tki@ixa.nl).

▶ Secure the letter of intent / commitment from the private partners:

The pre-application must be accompanied by a Letter of Intent from and signed by each private partner. At the final proposal stage, Letters of Commitment from all partners (except AMC/VUmc) will be required. Please note that the content of these Letters cannot be changed.

Jury

Each proposal will be judged by four jury members, consisting of two scientists selected from the eight Amsterdam UMC alliance institutes, an IXA BD and an outside expert on impact (e.g. a life sciences venture capitalist or entrepreneur). Distribution of the proposals over the scientific, BDs and outside experts will be at random. Conflict of interest situations will be avoided, e.g. scientists cannot evaluate proposals from applicants of their own alliance institute and IXA BDs cannot judge proposals from researchers within their own portfolio. This year the pre- and final applications of a particular applicant will be judged by the same (four) jury members. They will be asked to provide limited feedback on the three selection criteria (scientific quality, feasibility and impact). Following the ranking of the final applications, there will be a consensus meeting with the jury to address possible major differences in the four jury scores of each proposal. The decisions of the jury are final and binding, i.e. there will be no appeal procedure.

CHECKLIST Pre-application

- IXA BD involved
- AMR PC/VUmc FA involved
- Approval of Alliance Institute obtained
- Consortium consists of at least one research organisation and one for-profit enterprise
- Main applicant is from the Amsterdam UMC
- Project duration does not exceed 48 months
- Effective collaboration takes place. This means, for example, that the project is realised at joint cost and risk
- All consortium partners are making an *in kind* contribution. This means, for example, that all consortium partners should at least incur payroll costs
- At least 2/3rd of the required minimum contribution of a large enterprise consists of a cash contribution
- The research organisation contributes at least 10% of the total project costs
- The budgeted costs are directly related to the R&D activities, and do not include for example: bench fee costs, travel within the Netherlands, supporting/project management tasks that are not directly related to the project's R&D activities
- The budget form has been signed by AMR-PC/VUmc FA
- The SME check ("mkb-toets") is done, if applicable
- The pre-application is accompanied by a Letter of Intent from and signed by each private partner. NB the content of the LOI cannot be changed
- The pre-application form has been fully filled-in and signed

Calendar

<p>Monday September 12, 2022</p>	<p>Registration open.</p> <p>Announcement of the TKI grant and by direct mailing to all AMC and VUmc PI's and the Amsterdam UMC Research Board (ARB).</p> <p>News item on call available on Amsterdam UMC intranet and IXA website (www.ixa.nl).</p>
<p>Friday September 23, 2022, from 12.00-13.00</p>	<p>Presentation at location AMC for all Amsterdam UMC PI's interested in applying for a TKI grant. All PI's will receive an invitation by e-mail.</p>
<p>Monday September 26, 2022, from 12.00-13.00</p>	<p>Presentation at location VUmc for all Amsterdam UMC PI's interested in applying for a TKI grant. All PI's will receive an invitation by e-mail.</p>
<p>Tuesday November 15, 2022, 17.00</p>	<p>Deadline for completing the budget sheet with your project controller/financial advisor.</p>
<p>Friday November 18, 2022, 14.00</p>	<p>Deadline for submission of the pre-application. Completed pre-application, with a systematic outline of the project and the plan for the use of the TKI grant, signed budget sheet and Letter(s) of Intent, are to be sent to: tki@ixa.nl</p>
<p>Friday January 6, 2023</p>	<p>The jury has decided on the ranking of the pre-proposals and its decision is communicated to the applicants by IXA.</p>
<p>Tuesday March 7, 2023, 17.00</p>	<p>Deadline for completing the final budget sheet with your project controller/financial advisor.</p>

Sunday March 12, 2023 14.00	Deadline for full proposals , to be submitted to tki@ixa.nl. It is the responsibility of the main applicant to make clear to all consortium partners that deviating from the conditions of the template consortium agreement as provided by IXA is not possible, and that all external partners are to acknowledge this in their Letter of Commitment.
Friday April 28, 2023	Final decision by the jury on the ranking of the full proposals. Proposals meeting the requirements and that are of sufficient quality will be granted.
Friday June 16, 2023	Deadline for finalizing and signing the consortium agreement.
November, 2027	Ultimate end date for all projects from this TKI grant round (exact date still to be announced by RVO).

Where does the money for the TKI grant fund come from?

The Ministry of Economic Affairs wishes to stimulate PPPs by allowing a 25% subsidy on private contributions to PPPs. This subsidy is managed by the Topconsortia for Knowledge and Innovation (TKIs), among which TKI-LSH. Since 2016 IXA Offices AMC and VUmc are administrating all private contributions to AMC or VUmc PPP's in the previous year, including those of charity foundations (except the 21 largest Dutch foundations united in the Stichting Gezondheids Fondsen (SGF), such as KWF and the Hartstichting) by retrieving the underlying contracts and invoices from our databases, listing them in an Excel file, and submitting this to TKI-LSH to determine the total amount of "grondslag" raised by AMC and VUmc. RVO (the "Rijksdienst voor Ondernemend Nederland") checks the information delivered to it by TKI-LSH and informs the Ministry of EZ how much subsidy is to be provided.

We look forward to spending another 9 million on your great projects, which will require quite some lobbying from you with potentially interested private partners (companies).

We wish you good luck attracting the necessary industrial funding!



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