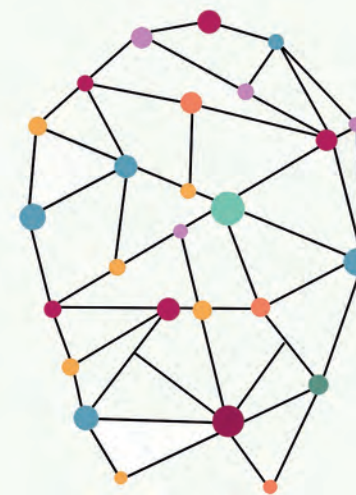


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FUNDRAISING

These guides have been developed during the execution of the EU Project IMBRAIN (FP7-REGPOT-2012-2013-316137). They are part of the tasks included in the action plan designed to improve the capacity of the University of La Laguna and their biomedical groups for effective translation of their research and management of intellectual property rights.

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What does your KTTO offer researchers ?

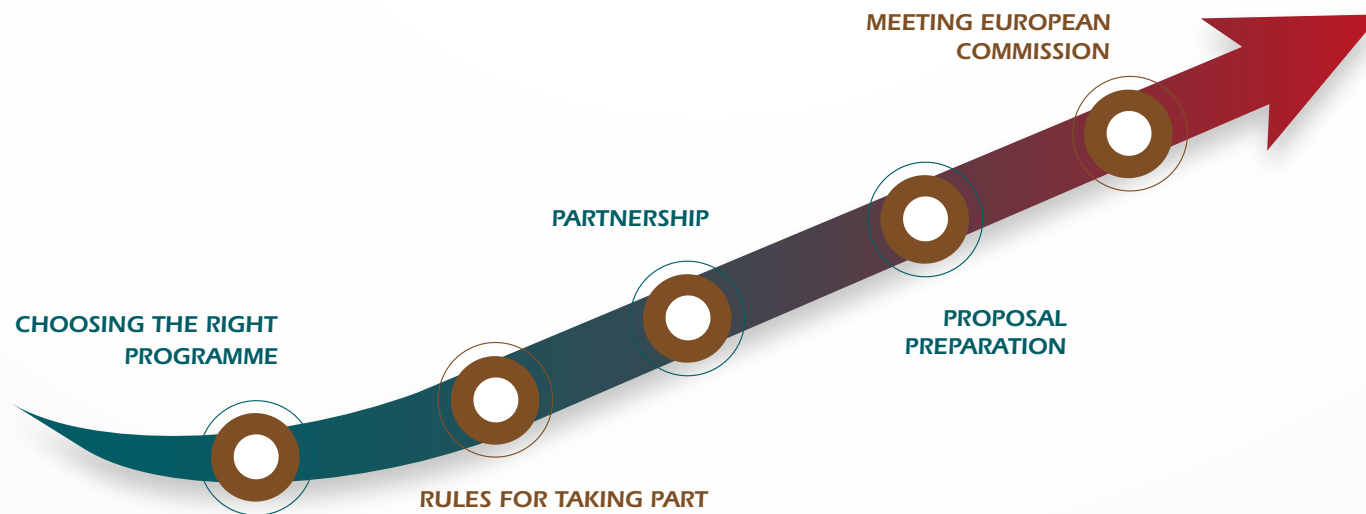
Our office helps you prepare your project proposal in order to improve your options and save you valuable time. To secure funding, a project needs to fulfil the expectations of the funding agencies completely and only the best proposals are funded. Hence, choosing the right programme is vital and the number one key to success.

We

- evaluate your project idea: How is it positioned in relation to the current state-of-the-art? How innovative is it?
- steer you towards the funding scheme that best suits your project idea
- explain the specific features of each programme: timetable, funding available, assessment criteria, evaluation process, etc.
- work together until your proposal is ready to submit

You

- strengthen your know-how
- achieve financial and recognition reward
- engage in partnership with other research centres
- generate lab/departmental funding
- attract research sponsors
- make a positive impact on society
- create educational opportunities for students
- link students to future job opportunities





Why should I joint R&D collaborative projects ?

The reasons are unique to each researcher and may include:

- Strengthen your know-how
- Access to new knowledge
- Access to unique infrastructure
- Access to valuable materials or databases
- Achieve critical mass; work faster, disseminate wider, increase visibility, etc
- Work with the major players in your research area or industrial sector
- Lower the risks and create leverage for new projects, etc.



What funding sources are available for research ?

The main research funding besides the Spanish National Research Program are:

- Horizon 2020 framework and other European programmes
- Non-European programs: NIH, NSF, IBEROEKA, etc.
- Private funding from crowdfunding, private companies (e.g. open innovation programs) non-profit foundations, professional organizations (e.g. charities, patient interest groups)



What is the Horizon 2020 Programme?

Horizon 2020 (H2020) is the financial instrument implementing the Innovation Union, a Europe 2020 flagship initiative aimed at securing Europe's global competitiveness, covering provided through the Framework Programme the Competitiveness and Innovation Framework Programme (CIP) and the European Institute of Innovation and Technology (EIT).



What are the main priorities of H2020 ?

EU funding for research and innovation are focused on three main priorities:

- Excellent science
- Competitiveness of european industries
- Societal challenges

The primary aim of Horizon 2020 is to strengthen the EU's position as a world leader in science, to help make Europe a more attractive location to invest in research and innovation and to bring excellent research results to market which will deliver direct benefits to citizens, such as affordable health-care, protection against cyber crime, and the transition to a resource-efficient, low-carbon economy.



Which activities are addressed into the Societal Challenges ?

Horizon 2020 reflects the policy priorities of the Europe 2020 strategy and addresses major concerns shared by citizens in Europe and elsewhere. A challenge-based approach will bring together resources and knowledge across different fields, technologies and disciplines, including social sciences and the humanities. This will cover activities from research to market with a new focus on innovation-related activities, such as piloting, demonstration, test-beds, and support for public procurement and market uptake. The Societal Challenges will support the research & innovation in the following areas:

- **Health, demographic change and well-being;**
- Food security, sustainable agriculture and forestry, marine and maritime and inland water research & the bio-economy;
- Secure, clean and efficient energy;
- Smart, green and integrated transport;
- Climate action, environment, resource efficiency and raw materials;
- Europe in a changing world – Inclusive, innovative and reflective society;
- Secure society - protecting freedom and security of Europe and its citizens.



Is a good idea enough ?

To be eligible to receive funding from the EU, there should be:

- an appropriate H2020 Work Programme with topics that fit your field;
- a suitable Call for Proposals addressing these topics, and a suitable instrument (type of project) corresponding to the needs of the project.

The Calls of the Work Programmes indicate the topics that need to be addressed by the projects, the deadlines for submission of proposals and the type of projects that can be funded and the total budget available. Each published Call is accompanied by several important reference documents, such as proposal templates, evaluation forms, rules for submission and evaluation etc.

The planned timing of the Calls depends on the type of programme. For ERC (European Research Council) and MSCA (Marie Skłodowska-Curie Actions) the Calls for Proposals are repetitive: basically one Call per type of project per year. For most other programmes, topics appear only once in 2 years and may not be repeated.



What are the evaluation criteria ?

The proposals submitted shall be evaluated on the basis of the following award criteria:

- excellence;
- impact;
- quality and efficiency of the implementation.

The evaluation shall be carried out by independent experts. Proposals shall be ranked according to the evaluation results. The selection shall be made on the basis of that ranking.

Note the award criteria will depend of the type of actions, for instance in case of Innovation Actions the following issues are considered:





What is the eligibility criteria ?

Any legal entity may participate in the Horizon 2020 Programme, provided that the following conditions are met:

- At least 3 legal entities established in 3 different Member states or associated countries shall participate in action;
- The 3 legal entities shall be independent of each other;
- By way of derogation, the minimum condition shall be the participation of one legal entity established in a Member state or associated country, in the case of European Research Council (ERC) frontier research actions, the SME instrument, programme co-fund actions and justified cases provided for in the work programme or work plan.

Participating legal entities from other countries may also be able to get EU funding in certain circumstances.



What is the funding rate in Horizon 2020 ?

There is single funding rate for all beneficiaries and all activities in the research grants. EU funding covers up to 100% of all eligible costs for all research and innovation actions. For innovation actions, funding generally covers 70% of eligible costs, but may increase to 100% for non-profit organisations. Indirect eligible costs (e.g. administration, communication and infrastructures costs, office supplies) are reimbursed with a 25% flat rate of the direct eligible costs.



What about the preparation ?

It is the responsibility of the Coordinator to take charge of the preparation and submission of the proposal. In most cases, and in particular for large Collaborative Projects, the preparation of the proposal is a difficult enterprise necessitating many months of dedicated work with input from the other participants. The project structure –e.g. work packages and WP leaders – is usually set up in advance, and the WP leaders provide essential input and feedback to the Project Coordinator, who has to assemble the different contributions in one coherent proposal. Proposals submitted to all H2020 programmes (except for ERC) consist of three main sections – **Excellence, Impact and Implementation**, and the evaluation criteria are based upon these sections.

The precise content of these sections, including some mandatory tables and useful instructions, are specified in the proposal templates on the call description page.



How to submit my proposal ?

The submission of all H2020 projects is done in electronic format via the Participant Portal (ECAS Account). Apart from the proposal document, referred to as “Part B” of the proposal (that needs to be uploaded on the Participant Portal), there is a set of forms (Part A) with legal, administrative and financial information about each participant, that need to be filled out directly on the Participant Portal. It is important that a copy of the administrative and budget forms is sent for verification to the KTTO prior to the submission, as well as a copy of the final version of the submitted proposal.



Do I need a Consortium Agreement ?

For most Horizon 2020 projects, the consortium will be required to prepare and sign a Consortium Agreement. The Consortium Agreement deals with the rights and obligations between the beneficiaries themselves with regard to the execution of the project. The Consortium Agreement should define in particular:

- the project management structure and decision making process, which must be appropriate for the size of the consortium and the nature of the project;
- the budget distribution among the beneficiaries, and the procedure for the implementation of the EU payments;
- the mutual liability of the parties;
- mechanisms for conflict resolution, including the handling of defaulting partners, and in case of very severe problems for excluding them from the project;
- the procedure for accepting new participants;
- all provisions concerning access to, and exploitation of, Intellectual Property Rights in order to implement and supplement the provisions of the Grant Agreement.



The KTO should be informed about ongoing proposals at the earliest possible moment, and if the project is approved, it should be then kept informed of the further developments



What is the Grant Agreement ?

If the proposal has been selected for funding, the Project Coordinator will receive the Evaluation Summary Report and will be invited to prepare the Grant Agreement (GA). The Grant Agreement is signed between the Coordinator and the EC and is deemed to enter into force on the day of the last signature. The other project participants sign Accession Forms to accede to the Grant Agreement. All this is done electronically via the Participant Portal. The Coordinator will have the task to transform the project proposal into a new document, called a Description of Action (DoA), which will become the technical annex of the Grant Agreement. The structure and content of the DoA does not differ significantly from the proposal and it is organized in 2 parts:

- Part A with the workplan tables (e.g. WP descriptions, deliverables, milestones).
- Part B derived from Part B of the proposal.



How important are the intellectual property rights in Horizon 2020 ?

The Grant Agreement sets out the general rules regarding IPR, their use and dissemination and distinguishes between:

- background - any data, know-how or information, whatever their form or nature as well as any rights such as IPR, that exist before the GA is signed and are needed to implement the action or exploit the results.
- results - any data, know-how or information, whatever their form or nature, which are generated by the project, as well as any attached rights, including IPR.

For many EU projects it is required that a Consortium Agreement is signed between the participants. One of the main purposes of this Consortium Agreement is to settle all IPR issues, including access to background. Even for projects for which the Consortium Agreement is not necessary, it is advisable to have one as it will be very useful in case any problems or issues (not only linked to IPR) arise during the execution of the project.



Do I need to protect my results ?

As far as the protection and exploitation of the knowledge generated by EU projects is concerned, all beneficiaries (contractors) have an obligation:

- **to protect the results** if they are capable of industrial or commercial exploitation.
- **to use/exploit the results** they generate, either for further research, commercial purposes or by establishing licensing deals/partnerships to allow exploitation by other entities.
- **to disseminate the results** they own as soon as possible and by appropriate means. In H2020, emphasis is put on open access to all peer-reviewed scientific publications relating to results. However, for other results, including research data, open access will be mandatory only if it is specifically stated in the GA.



The KTO should be consulted during the preparation of the Grant and Consortium Agreement in order to determine whether access to any specific CIBICAN IPR should be made subject to conditions and whether the IPR conditions defined by other partners are acceptable for CIBICAN



Are there other European Programmes ?

Beyond the Horizon 2020, there are other European programmes of potential interest to CIBICAN researchers:

COST

European Cooperation in Science and Technology (COST) is an intergovernmental framework funding networking activities such as meetings, conferences, workshops, short-term scientific exchanges and dissemination activities. It does not fund the research itself.

ERA-NETs

The objective of the European Research Area Network (ERA-Nets) is to develop and strengthen the coordination of national and regional research programmes. The countries/regions that are involved in ERA-Nets are launching joint calls for proposals covering diverse range of scientific and technological fields. The partners of selected projects receive a regional funding. The projects are collaborative, market-oriented and carried out to at least 50% by a SME.



European Science Foundation

Each year, the European Science Foundation (ESF) announces a series of calls for proposals which will give the opportunity to propose collaborative research projects and networking activities with a European dimension. The calls span all fields of science through four main funding instruments, covering all types of scientific activities, from basic research and frontier science to networking and dissemination.

IMI2

The Innovative Medicines Initiative (IMI2) is a public-private partnership run jointly by the European Union and the pharmaceutical industry association, EFPIA. The goal of IMI 2 programme is to develop next generation vaccines, medicines and treatments, such as new antibiotics. It brings together companies, universities, public laboratories, innovative small and medium-sized enterprises (SMEs), patient groups and regulators in collaborative projects that will pave the way for breakthrough vaccines, medicines and treatments to tackle Europe's growing health challenges, and secure the future international competitiveness of Europe's pharmaceutical industry.

DGSANCO

The Third health programme 'Health for Growth' is the main instrument the European Commission uses to implement the EU health strategy. It aims to support and complement the work of European Member States to achieve the following four objectives: developing innovative and sustainable health systems; increasing access to better and safer healthcare for EU citizens; to prevent diseases and promote good health; and protecting citizens from cross-border health threats. The Commission implements the Programme by establishing annual work programmes on the basis of which calls for proposals and call for tenders are organised every year.

EDCTP

The European and developing Countries Clinical Trials Partnership (EDCTP) aims to accelerate the development of new or improved drugs, vaccines, microbicides and diagnostics against HIV/AIDS, tuberculosis and malaria, with focus on phase II and III clinical trials in sub-Saharan Africa.



And non-European public funds ?

The following list provides an overview about the relevant agencies offering public funds, – neither final nor exhaustive:

AAL

The Active and Assisted Living Joint Programme (AAL JP) supports applied research on innovative ICT-enhanced services for ageing well, with a time to market of 1 to 3 years. The AAL JP 2013-2020 is driven by Member States and supported by the European Commission, to enhance EU competitiveness and tackle the ageing challenge.

EIP AHA

The European Innovation Partnership on Active and Healthy Ageing (EIP AHA) is a European initiative which brings together a range of stakeholders interested in prevention and health promotion, care and cure, and active and independent living of elderly people. Ultimately it aims to increase the average healthy lifespan by two years by 2020.

NIH

The National Institutes of Health (NIH) is the largest source of funding for medical research in the world, creating hundreds of thousands of high-quality jobs by funding thousands of scientists in universities and research institutions in every state across America and around the globe. NIH supports many innovative training programs and funding mechanisms that foster scientific creativity and exploration. The goal is to strengthen research capacity, broaden the research base, and inspire a passion for science in current and future generations of researchers.

IBEROEKA

IBEROEKA is an initiative that emerged in 1991 as part of the Ibero-American Science and Technology for Development - CYTED. Its objectives are: to increase productivity and competitiveness, strengthen collaboration between companies and research centres, develop projects based on new technologies, help companies acquire a solid technology base and encourage technology exchange.



What are the main Foundations ?

Private Foundations have been long term supporters of research funding around the world. The following list provides an overview about the relevant foundations – neither final nor exhaustive:

Alzheimer's Drug Discovery Foundation

ADDF funds four different categories of research; drug discovery and preclinical development, early detection, clinical trials and prevention.

Friends For An Earlier Breast Cancer Test

Investigator-initiated research into new methods to improve early detection of breast cancer, particularly in the areas of biological or immunologic detection.

Gateway for Cancer Research

Investigator-initiated, innovative, integrative, and complementary phase I and phase II cancer clinical studies.

Grand Challenges in Global Health

Investigator-initiated health research projects to encourage scientific and technological innovation to solve key health problems in the developing world, sponsored by the Bill and Melinda Gates Foundation.

Human Frontier Science Program

Investigator-initiated life sciences research with innovative, interdisciplinary approaches.

Juvenile Diabetes Research Foundation

Research into a cure for type 1 diabetes and diabetes-related complications.

Leukemia & Lymphoma Society

LLS's academic grants support and encourage basic and translational leukemia, lymphoma and myeloma research.

Medecines for Malaria Venture

MMV welcomes proposals in the following four areas: Compounds addressing the key priorities of the malaria eradication agenda, assays addressing liver stage vivax, asexual liver and blood stages, resistant strains.

Michael J. Fox Foundation

The Foundation works tirelessly to accelerate promising research toward clinical testing and breakthroughs for Parkinson's patients.

Parkinson's Disease Foundation

Research on Parkinson's Disease.

National Organization for Rare Diseases

NORD's Research Grant Program provides seed money in small grants to academic scientists studying new treatments or diagnostics for rare diseases.



What is “Open Innovation” ?

Open Innovation is focused on uncovering new ideas, reducing risk, increasing speed and leveraging scarce resources. With a better understanding of “what is out there”, a company is able to lower risk by combining external capabilities with internal innovation resources. Open Innovation enables a company to connect with someone who has already developed the technology in need or who is further along the development path. There is an ample spectrum of pharmaceutical companies with different types of open innovation partnerships spanning all stages of development. The following list provides an overview about the relevant open innovation programmes – neither final nor exhaustive:

Lilly

Endocrine/cardiovascular, oncology, neuroscience, autoimmune, tuberculosis.

Merck Serono

Oncology, neurodegenerative diseases and rheumatology.

AstraZeneca

Cardiovascular and metabolic diseases, oncology, respiratory, inflammation and autoimmunity, neuroscience, infection.

Bayer

Oncology, gynecology, cardiology and hematology.

Johnson & Johnson

Neuroscience, infectious diseases and vaccines, oncology, immunology, cardiovascular and metabolism.

Pfizer

Immunology & inflammation, metabolic diseases, oncology, vaccines, neurosciences & pain, rare diseases.

Roche

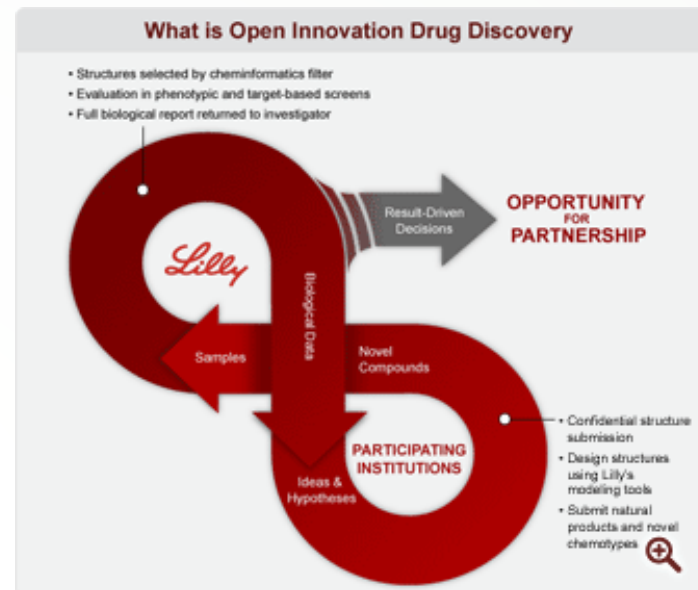
Oncology and immuno-oncology, ophthalmology, infectious diseases and neurosciences.



What about crowdfunding ?

Crowdfunding is by definition, “the practice of funding a project or venture by raising many small amounts of money from a large number of people, typically via the Internet.” Instead of traditional investors, crowdfunding campaigns are funded by the general public. There are numerous crowdfunding platforms where people can safely ask for or donate money. While each site offers their unique spin, the general concept is the same across the board. Project creators can create a profile typically containing a short video, an introduction to their project, a list of rewards per donation, and some images to elaborate. The idea is to create a compelling message that readers will be drawn towards.

The following list provides an overview about the relevant crowdfunding platforms for scientific research – neither final nor exhaustive:



Experiment.com

bills itself as a platform for enabling new scientific discoveries. Experiment.com has backed projects in economics, physics, biology, medicine and more.

Petridish.org

is a crowdfunding site for scientific research aimed at supporting projects that might not successfully raise money from the government or other scientific backers.

Precipita.es

is a showcase of science in which anyone can participate supported by FECYT. Precipita.es is as a meeting point between researchers and those interested in science. The strength of many will make it possible, that is the basis of microsponsorship.

You can find more information in...

Horizon 2020

Horizon 2020 is the financial instrument implementing the Innovation Union, a Europe 2020 flagship initiative aimed at securing Europe's global competitiveness.

H2020 Calls

Open calls for H2020 proposals.

ECAS Account

Participant Portal for H2020.

H2020 Participant's Guide (CDTI)

User's guide with wide information about the programme.

H2020 Participant Portal

On this site you can find and secure funding for projects under the following EU programmes: 2014-2020 Horizon 2020 - research and innovation framework programme.

COST

COST is the longest-running European framework supporting trans-national cooperation among researchers, engineers and scholars across Europe.

ESF

European Science Foundation announces a series of calls for collaborative research projects and networking activities with a European dimension.

IMI

The Innovative Medicines Initiative is Europe's largest public-private initiative aiming to speed up the development of better and safer medicines for patients.

NIH

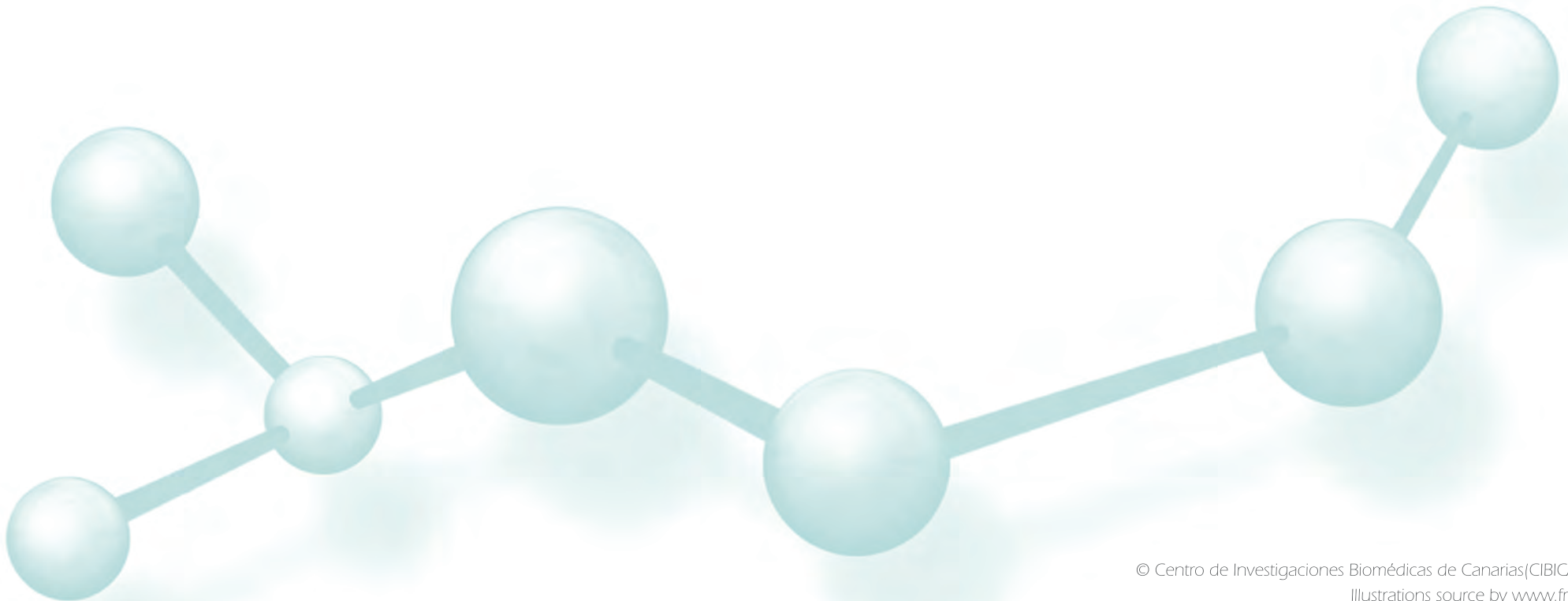
The National Institutes of Health provides financial support in the form of grants, cooperative agreements, and contracts.

NIH Tips

This general outline prepared by NIH may assist you in developing a strong application that allows reviewers to better evaluate the science and merit of your application.

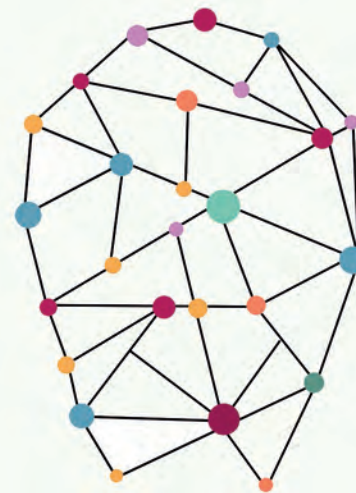
IPR-Helpdesk

The European IPR Helpdesk offers, first-line support on IP and IPR matters to beneficiaries of EU funded research projects and EU SMEs involved in transnational partnership agreements, especially within the Enterprise Europe Network (EEN).



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INVENTIONS FOR
INNOVATION

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What does your KTTO offer inventors ?

Our office helps you to transform your inventions into a new product and services that improve our quality of life.

We

- evaluate promising technologies generated by our scientists
- promote them into industrial sector
- negotiate license agreements with the interested companies
- maintain long-term relationships with the companies developing products based on the licensed technology

You

- achieve financial and recognition reward
- generate additional lab/departmental funding
- attract research sponsors
- make a positive impact on society
- create educational opportunities for students
- link students to future job opportunities



What may be patented?

An invention can be patented if it:

- a) is novel
- b) involves an inventive step
- c) is industrially applicable.

Novelty

In patent law, an invention is considered to be new if it does not form part of the 'state of the art'. 'State of the art' includes everything that has been publicly disclosed, no matter how or in what form: whether in journal articles, blogs and data bases, or at conferences in the form of presentations, posters or discussions, etc. In Europe, and now also in the USA, the deadline for establishing novelty is the day on which the patent application was filed, known as the 'priority date'.

Inventive step

The second criterion, the inventive step, takes into account the intellectual achievement behind the invention. This is judged compared to what could reasonably be achieved by a specialist of average talent who has access to all published material without being a leading authority. If the specialist could be expected to come up with the same solution as the inventor, then the inventive step is too insignificant for the invention to be patented.

Industrial applicability

In general, the only inventions that fall at this hurdle are those that may not be used commercially under law. This applies, for example, to certain surgical or therapeutic procedures in human and veterinary medicine.



Invention or discovery?

An invention that fulfils all three of the above criteria is patentable. A discovery, on the other hand, is not patentable. A discovery is a naturally occurring substance or physical law that has been detected or recognized for the first time. An invention refers to the solution of a particular problem by technical means.

There are however borderline cases: for example, if a particularly creative approach was required in order to isolate a naturally occurring substance and make it accessible, this can be regarded as an invention.



Can someone patent a naturally occurring substance?

Not in its natural state. A natural substance that has never before been isolated or known may be patentable in some instances, but only in its isolated form (since the isolated form had never been known before). A variation of a naturally occurring substance may be patentable if an inventor is able to demonstrate substantial advantages of using the variant.



What is an invention disclosure?

An invention disclosure is a written description of your invention. The disclosure lists all sources of support and includes information necessary to begin pursuing protection and commercialization activities. If available, copies of the prior art (e.g., publications and prior patents) should be provided. The inventor should describe in detail the differences between the invention and the prior art as well as the advantages of the new development as technical or economic benefits or solutions to meaningful, previously unsolved problems.



When should I complete an invention disclosure?

You should complete an invention disclosure whenever you feel you have discovered something unique with possible commercial value or when the terms of your sponsored research require disclosure of inventions. If you are in doubt, do not hesitate to contact KTTO to discuss your invention. We can also advise on alternatives to patenting and licensing.



Should I disclose research tools?

Typically, research tools are materials such as antibodies, vectors, plasmids, cell lines, animal models, and other materials used as “tools” in the research process. Research tools do not necessarily need to be protected by patents in order to be licensed to commercial third parties and generate revenue for your laboratory. If you have research tools that you believe to be valuable, or wish to provide to others, KTTO will work with you to develop the appropriate protection, licensing and distribution strategy.



How do I submit an invention disclosure?

To initiate the process, please email the invention disclosure to the KTTO which will be treated as confidential. You will usually be contacted shortly after your submission to discuss the invention and its potential commercial applications. You can download the invention disclosure form and simple instructions from the CIBICAN's website.

Please inform well before of any planned publications. Note once publicly disclosed (i.e., published or presented in some form), an invention may have restricted or minimal potential for patent protection.



Who owns that I create?

Ownership depends upon the employment status of the inventor and their use of CIBICAN facilities. As a general rule, CIBICAN owns inventions made by its employees while working under a grant or contract to CIBICAN or using CIBICAN resources. When in doubt, it is best to contact the KTTO for further advice.



What is the definition of an inventor?

An inventor is that person who conceives of an essential element of the invention as described in the patent claims of a patentable invention. The inventorship of a patent application may change as the patent claims are changed during prosecution of the application. An employer or person who furnishes money to build or practice an invention is not generally an inventor. A person who contributed only labor and/or the supervision of routine techniques or does all the experiments with direction from another person, but who did not contribute to the concept of one of the embodiments of the claimed invention is not considered an inventor.





Who owns rights to discoveries made while I am consulting?

The ownership of inventions made while consulting for an outside company depends on the terms of your consulting contract which should indicate that inventions typically are owned by your primary employer. It is important to clearly define the scope of work within consulting contracts to minimize any issues with inventions from CIBICAN research.



How does KTTO assess invention and technology disclosures?

The KTTO examines each invention disclosure to analyse the licensability of an invention. Factors in the evaluation include: the patentability of the invention; protectability and marketability of potential products or services; relationship to related intellectual property which may affect freedom to operate; size and growth potential of the relevant market; amount of time and money required for further development; pre-existing rights (also known as “background rights”) associated with the intellectual property; and potential competition from other products/technologies. We typically will consult with the inventors, Business Board, and industry contacts as part of this process. This assessment may also include consideration of whether the intellectual property can be the basis for a new company.



Is an invention ever reassigned to an inventor?

If the KTTO decides that it does not wish, and has no legal obligation, to participate in the patenting or licensing of an invention, CIBICAN may release its interest in the invention to the inventor(s) in exchange for a share of any future income and the right to practice the invention for CIBICAN’s research and educational purposes. Such a release will require the agreement of all inventors.



Who is responsible for patenting?

The KTTO contacts with outside patent counsel for IP protection, thus assuring access to patent specialists in diverse technology areas. Inventors work with the patent counsel in drafting the patent applications and responses to worldwide patent offices. The KTTO will help with the selection and oversight of the outside patent counsel.



Why does CIBICAN protect some intellectual property through patenting?

Patent protection is often a requirement of a potential commercialization partner (licensee) because it can protect the often sizable investment required to bring the technology to market. Due to their expense, patent applications are not possible for all intellectual property of the institution. We carefully review the commercial potential for an invention before investing in the patent process. However, because the need for commencing a patent filing sometimes precedes finding a licensee, we look for creative and cost-effective ways to seek early protections for as many promising inventions as possible.



Who decides what gets protected?

The KTO and the inventor(s) consider relevant factors in making recommendations about filing patent applications. Ultimately, the KTO makes the final decision as to whether to file a patent application or seek another form of protection.

The critical parameters determining whether or not to file a patent application to protect a new scientific discovery or technology can be summarised as follows:

- is the invention exploitable
- if yes, is patent protection necessary for exploitation of the invention
- if yes, is the invention patentable (novel, inventive, industrially applicable)
- if yes, is there sufficient enablement at the time of disclosure to CIBICAN or does the invention require further exemplification prior to filing.



What if I created the invention with someone from another institution or company?

If you created the invention under a contract or consulting agreement with a company, the KTTO licensing manager will need to review that contract to determine ownership and other rights associated with the contract, and to determine the appropriate next steps.

Should the technology be jointly owned, KTTO will work with other organizations under “inter-institutional” agreements that provide for one of the institutions to take the lead in protecting and licensing the invention, sharing of expenses associated with the patenting process, and allocating any licensing revenues.



What is the timeline of the patenting process and resulting protection?

Once a patent is issued, it is enforceable for 20 years from the initial filing of the application that resulted in the patent, assuming that mandated maintenance fees are paid.



How does the KTTO market my inventions?

We are committed to finding the best licensee for the technology – a company that will dedicate resources (time, money, and people) to developing the technology.

The KTTO will prepare a professional brochure to promote the technology. It is a short one page color brochure that briefly describes your invention and the benefits of your invention.

The KTTO uses many sources and strategies to identify potential licensees and market inventions. Sometimes existing relationships of the inventors, the KTTO staff, Business Board, and other researchers are useful in marketing an invention. In addition, we also examine other complementary technologies and agreements to assist our efforts. We use various websites to reference inventions, leverage conferences and industry events, and make direct contacts. Faculty publications and presentations are often excellent marketing tools as well.



How long does it take to find a potential licensee?

It can take months and sometimes years to locate a potential licensee, depending on the attractiveness of the invention, its stage of development, and the size and intensity of the market. Most inventions tend to be in the early stage in the development cycle and thus require substantial commercialization investment, making it more difficult to attract a licensee. The KTTO will follow the contacts and negotiations with the industry in order to decide the maintaining of the patent invention.



How can I assist in marketing my invention?

Studies have shown that 70% of licensees were known to the inventors. So, your active involvement can dramatically improve the chances of matching an invention to an outside company. Your research and consulting relationships are often helpful in both identifying potential licensees and technology champions within companies. The most successful tech transfer results are obtained when the inventor and the licensing professional work together as a team to market and sell the technology.



Can there be more than one license?

Yes, an invention can be licensed to multiple licensees, either non-exclusively to several companies or exclusively to several companies, each only for a unique field-of-use (application) or geography.





What is a license?

A license is permission granted by the owner of intellectual property that allows another party to act under all or some of the owner's rights, usually under a written license agreement. It is important to understand that KTO license the "patent rights" and not the invention. In other words, you must have a patent or any company is going to seriously consider licensing your idea without a patent.



What can I expect to gain if my IP is licensed?

A set share of any net financial return from a license is provided to the inventor(s). In addition, inventors enjoy the satisfaction of knowing their inventions are being deployed for the benefit of the general public. New and enhanced relationships with businesses are another outcome that can augment one's teaching, research and consulting.



What are the benefits and risk of licensing?

When negotiating a license agreement, it is important to understand why companies license their intellectual property or wish to become a licensee, as well as the potential risks of entering in such deal. This will not only help you to grasp the motivations behind the demands of the other party, but also enable you to mitigate risks when drafting the license agreement and very importantly, reach a "win-win" agreement.



What is the relationship between inventor and a licensee?

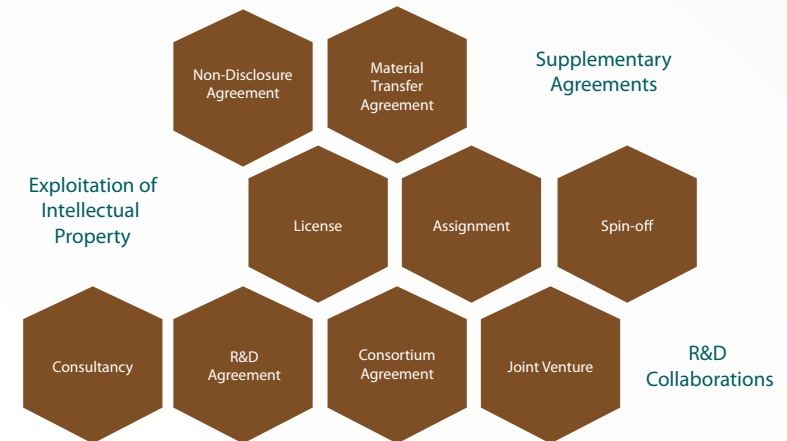
Most licensees require the active assistance of the inventor to facilitate their commercialization efforts. This can range from infrequent, informal contacts to a more formal consulting relationship. Working with a new business spin-off can require substantially more time, depending on your role in or with the company and your continuing role within CIBICAN.



Research Collaborations

Knowledge transfer is a term used to describe the process by which knowledge, commonly resulting from scientific research, is transferred to another party. Knowledge can be transferred through many mechanisms, such as through the publication of scientific articles, participation in conferences or the publication of patent applications. However, knowledge is often exchanged through contractual mechanisms. The most usual mechanism is a license agreement, but many others are used to transfer knowledge and in particular technology, as you can see below. Understanding these different agreements is therefore important to help you in your own knowledge transfer activities.

Contractual mechanisms of knowledge transfer



CONFIDENTIALITY OR NON-DISCLOSURE AGREEMENTS

A confidentiality agreement is also known as a confidential disclosure agreement (CDA) or non-disclosure agreement (NDA). Confidentiality agreements are commonly entered into by parties considering doing business or committing to a form of collaboration with each other. This restricts the way in which the information shared is used, prevents dissemination, and maintains the option to protect it in the future.

MATERIAL TRANSFER AGREEMENTS OR MATERIAL USE LICENSES

MTA define rights and obligations when materials are transferred from one organisation to another. Frequently transferred materials between organisations in the biotechnology area include biological materials such as cell lines, plasmids, vectors, proteins, antibodies and microbiological agents etc. The materials will usually be used by the recipient organisation for research purposes only. For owners of materials MTA are of critical importance to control use of the transferred materials and set out the rights and obligations in relation to ownership of research results, confidentiality, publication and liability of the parties. Thus, these types must be carefully checked to make sure that they will not adversely impact your and CIBICAN's ability to carry on with research, publish, and ultimately improve human health. If another academic lab wants access to your materials, they must sign an MTA before you send the materials out.

WHAT IS A LICENSE AGREEMENT?

A license agreement is a contract under which the holder of intellectual property (licensor) grants permission for the use of its intellectual property to another person (licensee), within the limits set by the provisions of the contract. Without such an agreement, the use of the intellectual property would be an infringement. License agreements usually stipulate that the licensee should diligently act to bring the intellectual property into commercial use for the public good and provide a reasonable economical return.

COLLABORATIVE AGREEMENTS

The three most common types of agreements governing research collaborations between industry and public research centres are:

- Consultancy agreements
- R&D agreements, and
- Consortium agreements.

Consultancy agreement

Consultancy agreements tend to apply to short-term and small-scale partnerships. These contracts are often established between organisations willing to provide advice to companies on specific matters, in return for payment of a fee. Companies engage in these partnerships for different objectives, such as to get assistance to overcome a technical problem, to analyse a concrete technical matter or data.

R&D agreement

This type of agreements are research which is financially funded and directed by an organisation in order to achieve a specific objective of the organisation. It is probably the most frequent form of industry-research institution collaboration. The research is generally aimed at solving a particular problem or fulfilling a particular need identified by the organisation. Research sponsorships are usually formalised in a written agreement specifying the organisation's requirements. Sponsored research agreements will commonly have a detailed project plan setting out the goals and expected deliverables for each project attached.

Consortium agreement

Consortium agreements are commonly used where a number of organisations participate in and contribute their resources towards a set of shared research goals (e.g. H2020 research projects). A written agreement for this type of collaborative project can be fairly complex as it will need to take into account all the requirements and objectives of each party. The agreement will also need to deal with the ownership and management of any newly generated IP and the parties' rights to access and exploit it. Typically, all consortium members will have a nonexclusive license for internal use and commercial exploitation of all IP generated in the course of the project.



When is the IP ready for commercialization?

Ideally, technological and commercial merits of an organisation's IP are assessed at an early stage during the development of IP. However, not all IP created will be ready for commercialisation immediately and some IP may be created for use internally on an operational basis, which may not be suitable for commercialisation. There are a range of issues that need to be considered before commercialising an IP asset as: ownership and nature of IP, stage of development and potential infringement.



What activities occur during commercialization?

The signing of a License Agreement is usually the beginning of a long term relationship. Most licensees continue to develop an invention to enhance the technology, reduce risk, prove reliability, and satisfy the market requirements for adoption by customers. This can involve additional testing, prototyping for manufacturability, durability and integrity, and further development to improve performance and other characteristics. Documentation for training, installation, and marketing is often created during this phase. Benchmarking tests are often required to demonstrate the product/service advantages and to position the product in the market. The licensee's performance is monitored by the licensing specialist for the duration of the license. Most License Agreements require periodic financial or development reports from the licensees.



What will happen to my invention if the spin-off company or licensee is unsuccessful? Can the invention be licensed to another entity?

Licenses typically include performance milestones that, if unmet, can result in termination. This allows for subsequent licensing to another business. However, time delays and other considerations can hinder this effort.



And last, what is my role?

- Contact the KTTO when you believe you have a scientific result with potential commercial or research value.
- Complete and submit the Invention Disclosure before publicly disclosing your technology or submitting a manuscript for publication.
- To avoid risking your patent rights and possibly hindering the opportunity to market your invention, contact KTTO before holding any discussions with people outside the CIBICAN community.
- On the Invention Disclosure Form, include companies and contacts you believe might be interested in your intellectual property or who may have already contacted you about your invention.
- Respond to KTTO and outside patent counsel requests. While some aspects of the patent and licensing process will require significant participation on your part, we will strive to make efficient use of your valuable time.
- Keep KTTO informed of upcoming publications or interactions with companies related to your invention as well as about significant technology developments.

You can find more information in...

ENTENTE

The Entente project aims at strengthening knowledge transfer offices in universities, public research organisations, hospitals and at promoting transnational collaboration between industry and academia in the health sector, through networking activities among all the key stakeholders within knowledge transfer in the health sector in Europe.

IPR-Helpdesk

The European IPR Helpdesk offers, first-line support on IP and IPR matters to beneficiaries of EU funded research projects and EU SMEs involved in transnational partnership agreements, especially within the Enterprise Europe Network (EEN). Regular publications such as an e-Mail Newsletter and the Bulletin keep you updated on the latest developments in the field of IP and IPR.

PRAXISUNICO

PraxisUnico is an educational not-for-profit organisation set up to support innovation and commercialisation of public sector and charity research for social and economic impact.

PraxisUnico provides a range of practical tools and resources for those working within the commercialisation profession. As the UK's leading organisation for commercialisation professionals we play a key role in supporting, training, developing and representing our profession.

GOOGLE PATENTS

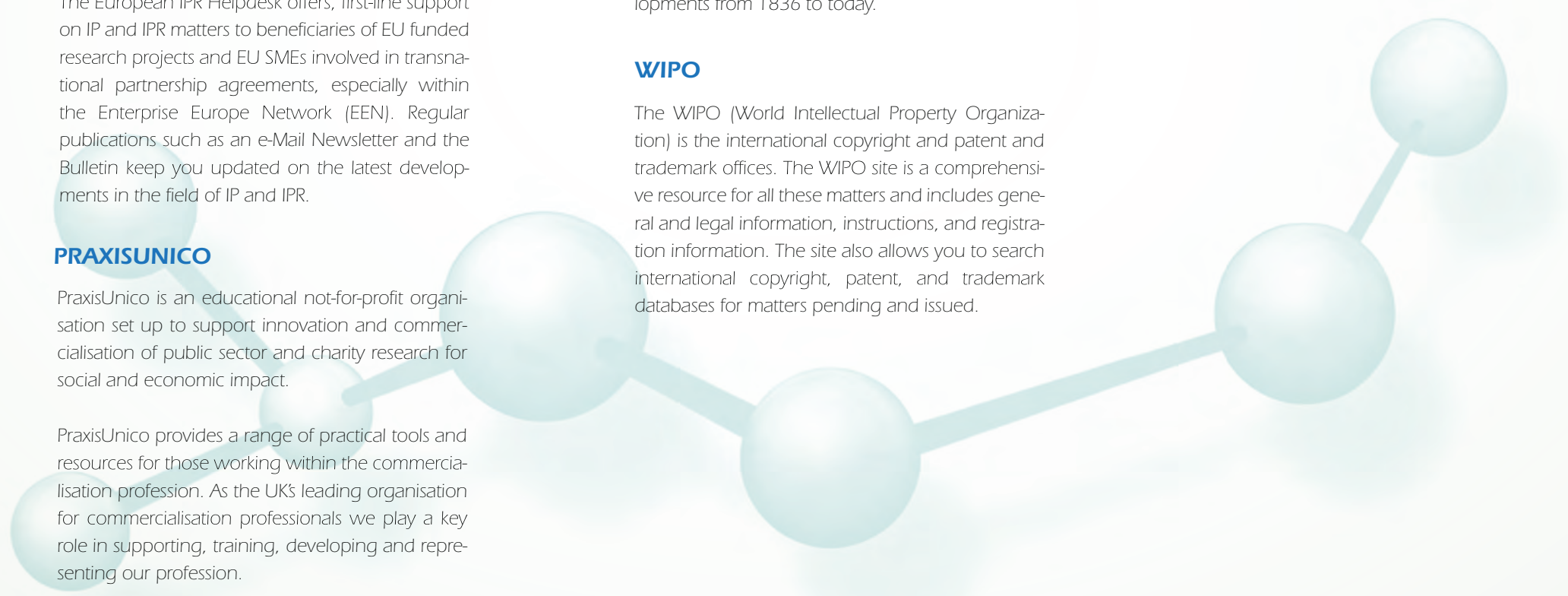
In addition to having a familiar flavor, Google Patents is somewhat easier to use than the USPTO search engine and displays patent documents and images using standard web applications.

ESPACENET

Espacenet offers free access to more than 80 million patent documents worldwide, containing information about inventions and technical developments from 1836 to today.

WIPO

The WIPO (World Intellectual Property Organization) is the international copyright and patent and trademark offices. The WIPO site is a comprehensive resource for all these matters and includes general and legal information, instructions, and registration information. The site also allows you to search international copyright, patent, and trademark databases for matters pending and issued.

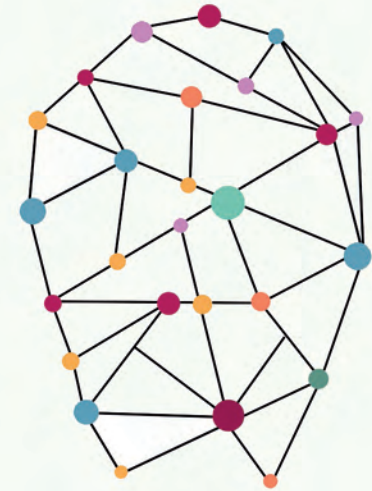




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SPIN - OFF

These guides have been developed during the execution of the EU Project IMBRAIN (FP7-REGPOT-2012-2013-316137). They are part of the tasks included in the action plan designed to improve the capacity of the University of La Laguna and their biomedical groups for effective translation of their research and management of intellectual property rights.

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Rafael Alonso Solís (Department of Basic Medical Sciences & Institute of Biomedical Technologies, ULL) has coordinated the team and has been responsible of the final output.



What does your KTTO offer inventors ?

Our office is available as a resource to all CIBICAN researchers who would like to discuss their inventions, their business ideas or any questions about the spin-off process. Our office can provide guidance and advice on:

- promising technologies generated by our scientists
- the potential viability of a business model
- potential investors, entrepreneurs
- analyse the potential market
- other sources of funding



What is a spin-off?

The creation of spin-off companies is one of the technology transfer mechanisms through which knowledge and/or intellectual property are transferred, by which research results are commercially exploited. This implies that the economic activity of a spin-off company is based on scientific knowledge or technological know-how developed within the research centre. The spin-off company translates these research results in commercial products and/or services.



Why choose to create one?

The interests in creating spin-offs may be several and with different scopes. Although the underlying reason is to commercially exploit intangible assets so as to create new economic value, spin-offs are also considered as a fundamental mediator between the research environment and industries as they are a powerful means of technology transfer between these two sectors. Beside these general scopes, creating spin-off companies allow to:

- Externalize the development process that might not fit with the CIBICAN's scientific objectives
- Obtain funding not available for purely research institutions to partially cover development cost
- Participate in a European research funded programme as an industrial partner
- Endow research staff with entrepreneurial skills.



What are the key factors when considering a spin-off

Once the spin-off company has been established, the organisation will license or assign the relevant IP asset to the spin-off company to enable it to commercialise the IP.

Undertaking commercialisation activities via a spin-off company will transfer the responsibilities and risks associated with the commercialisation out of the organisation and into the spin-off company. The organisation may also attract new sources of funding for further development of the IP asset by offering to issue shares to potential investors in the spin-off company.

A few key factors when considering a spin-off company are:

- Development risk - often large companies in established industries are unwilling to take the risk for unproven technology.
- Development costs versus investment return - because of the high risk of spin-off companies, investors will consider the potential to obtain many multiples of return before committing funds to a new company.
- Platform technology – few companies survive on one product alone; technologies that can be commercialized for multiple products or services are more likely to enable successful spin-off companies.
- Competitive advantage and target market – these must be sufficiently large for the start-up to succeed.
- Potential revenues – this must be sufficient to grow and sustain a company.



Who decides whether to form a spin-off?

The choice to establish a new company for commercializing intellectual property is a decision made by the inventors. If a new business spin-off is chosen as the preferred commercialization path, the KTTO can assist you and the other founders in meeting investors, consultants, and entrepreneurs and accessing other resources for advice at CIBICAN to help you in founding the company. Then, the KTTO will negotiate with a representative of the company, to grant a license to the new company.



What is the procedure to start a spin-off company?

The first step consists of an informal, exploratory contact with the KTTO. During this first contact, the researcher briefly presents the innovation that forms the basis for his/her company and describes what the company will be doing. During the following weeks and months KTTO guides the researcher(s) in writing a sound business plan. This is an iterative process where the researcher writes the business plan and KTTO gives feedback through a number of brainstorming sessions.



Why do I have to write a business plan?

In general, a business plan serves two major purposes. First, it serves as a communication tool to attract and convince investors required for setting up and successfully developing a business. Second, once the company is started, the business plan should be used as a monitoring tool and control mechanism for the entrepreneurs themselves, to see whether your business is developing the way as it was planned in the business plan.



What should a business plan look like?

The business plan should be a clearly written, well-structured document in which you:

- clearly state what need your business idea will satisfy, or what problem it will solve, in what form (product or service), and how this will be different from what your competitors offer;
- demonstrate the existence of a market for your product(s) or service(s), identify the target customer group(s) and specify how you will approach the market;
- explain why customers will prefer your technology or product over the existing one(s);
- specify the costs associated with your product(s) and service(s);
- make clear how money will be made, and how much - that is, describe the revenue mechanism and give an estimate of your expected revenue;
- specify how you will protect your intellectual property.

STEPS TO SPIN-OFF LAUNCH



1. TALK TO THE KTTO:

We encourage you to contact the KTTO early in the process to discuss your invention, how to protect the intellectual property, and your thoughts about a spin-off company.

2. PROTECT INTELLECTUAL PROPERTY:

In a spin-off, a major source of value, and thus a major tool for attracting investment, is intellectual property. Engage with the patent attorney contracted by the KTTO to get a patent application filed on your invention before you make any public disclosure or communication of it, since early disclosure may limit your ability to get a patent.

3. SEEK INPUT AND NETWORK:

The KTTO will provide information of all resources available for inventors looking for help starting a new company. Our office can shepherd CIBICAN inventors through all facets of the spin-off process—from writing a business plan, to meeting like-minded entrepreneurs and investors, to attracting board members, to securing funding to demonstrate an invention's commercial viability.

4. PLAN THE BUSINESS:

A formal business plan may or may not be part of this phase, but you'll need to develop an understanding of market potential, competition, funding needs, and how you plan to develop the product and attain the revenues sufficient to sustain and grow the company.

5. NEGOTIATE THE LICENSE OR OPTION AGREEMENT:

The KTTO will negotiate with a representative of the company to grant a license to the spin-off. In some cases, short-term option agreement may precede a license so your company can demonstrate to potential funders that it has secured the rights to negotiate for a license to the technology.

6. PURSUE FUNDING:

Commercializing technology is typically a capital-intensive process. You'll need to present your opportunity to people with the funds to help you make it happen: venture capitalists, angel investors and perhaps in the initial stages, friends and family.



What role does an inventor usually play in a company?

CIBICAN's researchers should serve as technology consultant, advisor or in some other technical developmental capacity. Some university faculty choose to play founding roles in the formation and financing of companies. As the company matures, and additional investment is required, the inventor's role may change. Student inventors and postdocs may choose to join the spin-off upon graduation but typically will partner with more experienced business executives to manage the new company.



How much of my time and effort will it take?

Starting a company requires a considerable amount of time and effort. Until the spin-off team is identified and engaged, the faculty member will need to champion the formation effort. After the team is in place, effort is required for investor discussions, formal responsibilities in or with the company, and CIBICAN processes such as conflict of interest reviews.



Where does the money needed for setting up a spin-off company come from?

Basically, the money needed for setting up a spin-off company can come from one or (usually) more of the following sources:

- the founders' personal financial resources
- equity financing (from angel and venture capital investors)
- bank financing (via loans, leases, lines-of-credit, etc.)
- European, national and regional funding sources (H2020, CDTI, SODECAN, etc.)



What type of infrastructure is available for a spin-off company?

In the start-up phase, when the spin-off company is still very small, an arrangement can be made where the company comes from, to rent a small amount of space and to get access to the necessary lab equipment and machines. Nevertheless the company is urged to move as quickly as possible to a more appropriate location.

Locating the company in one of the specialised incubators is, therefore, the next logical step. The Tenerife Science and Technology Park (PCTT) is a strategic facility for newly-created companies as well as enterprises that are entering a stage of growth. PCTT has become a key agent and point of reference for innovation on the island of Tenerife, helping to strengthen the island's economy and make it more competitive.



What is a conflict of interest?

A conflict of interest can occur when a CIBICAN employee, through a relationship with an outside organization, is in a position to: 1) influence CIBICAN's research that may lead to direct or indirect financial gain, 2) adversely impact or influence his or her research or teaching responsibilities, or 3) provide improper advantage to others, to the disadvantage CIBICAN.



What are examples of a conflict of commitment?

A conflict of commitment may exist if duties, assignments or responsibilities associated with a technology license or outside business arrangement have a negative impact on your ability to meet commitments associated with your CIBICAN employment or exceed the amount of time available to you for these activities. Examples include the appropriate and objective use of research, the treatment and roles of students, supervision of individuals working at both CIBICAN and a licensee company, and conflict of commitment.



Can my contract research and patenting activities hamper the establishment of a spin-off company?

Yes. When doing contract research for companies, the contract sometimes stipulates that all intellectual property that will be created during the research process is transferred in an exclusive way to the industrial partner. Similarly, when an exclusive license on university-owned intellectual property is given to an industrial partner, the licensee acquires the exclusive right to commercialise this intellectual property for some or all of its application domains. Hence, the same intellectual property cannot be exploited anymore in a later phase by setting up a spin-off company, since the aforementioned industrial partners have acquired the commercialisation rights for at least some of the relevant applications. Similarly, if some specific intellectual property is transferred to a spin-off company, the research group where the spin-off company originated from, can no longer engage in contracts where the same intellectual property is licensed



What is the relation between the spin-off company and CIBICAN after start-up?

A spin-off company is a separate legal entity. It operates independent from CIBICAN. It is however clear that in the initial phase the institution is important. On the one hand CIBICAN is a R&D partner for turning the research results into commercial products and/or services, and on the other hand it is a networking partner to bring the founders into contact with potential customers. This implies that for the success of the spin-off company, there has to be a clear difference in focus and activities compared to the originating research group(s). By means of a technology transfer agreement, it is clearly defined which research results are transferred to the spin-off company, and which research results remain in the research group(s). Very often the spin-off is also given a 'first right of refusal' on future results, within a certain time frame, to be obtained at market conditions. By means of a collaboration agreement, the commitment of the research group, both in terms of invested time and money, is determined.

WHY CANARY ISLANDS ?

The Canary Islands have historically enjoyed a different and stable economic and tax system, with a view to compensating the effect of being an island and far from mainland Europe. It has its own Economic and Tax System in accordance with Act 19/1994 governing the Economic and Tax System of the Canary Islands, subject to Spanish legislation and fully authorised by the EU.

This System encompasses a series of tax incentives for the creation and development of business activity, including:





The Canary Islands Special Economic Zone (ZEC), thanks to which companies pay 4% Corporate Tax (instead of 30% under the General System).

The Reserve for Investments in the Canary Islands (RIC) allows for a reduction of up to 90% of non-distributed profits in the taxable base for Corporate Tax.

Exemption from Transfer Tax on the Purchase of Property and Legal Documented Acts for the constitution, expansion and acquisition of investment property.

Advantages of the General Indirect Tax in the Canary Islands (IGIC) over VAT, with a general rate of 7%, zero application to certain products and services such as telecommunications or the acquisition of investment property, as well as limitations by operation volumes.

50% tax allowance on profits earned through the sale of tangible goods made in the Canary Islands

Major tax reductions for investments made in research and development as well as in innovation.



You can find more information in...

HEALTH2MARKET

Health-2-Market is a coordinating action funded by the European Commission that aims at developing the Health researchers' entrepreneurial skills and knowledge to support the market exploitation of their research results.

The SME Instrument

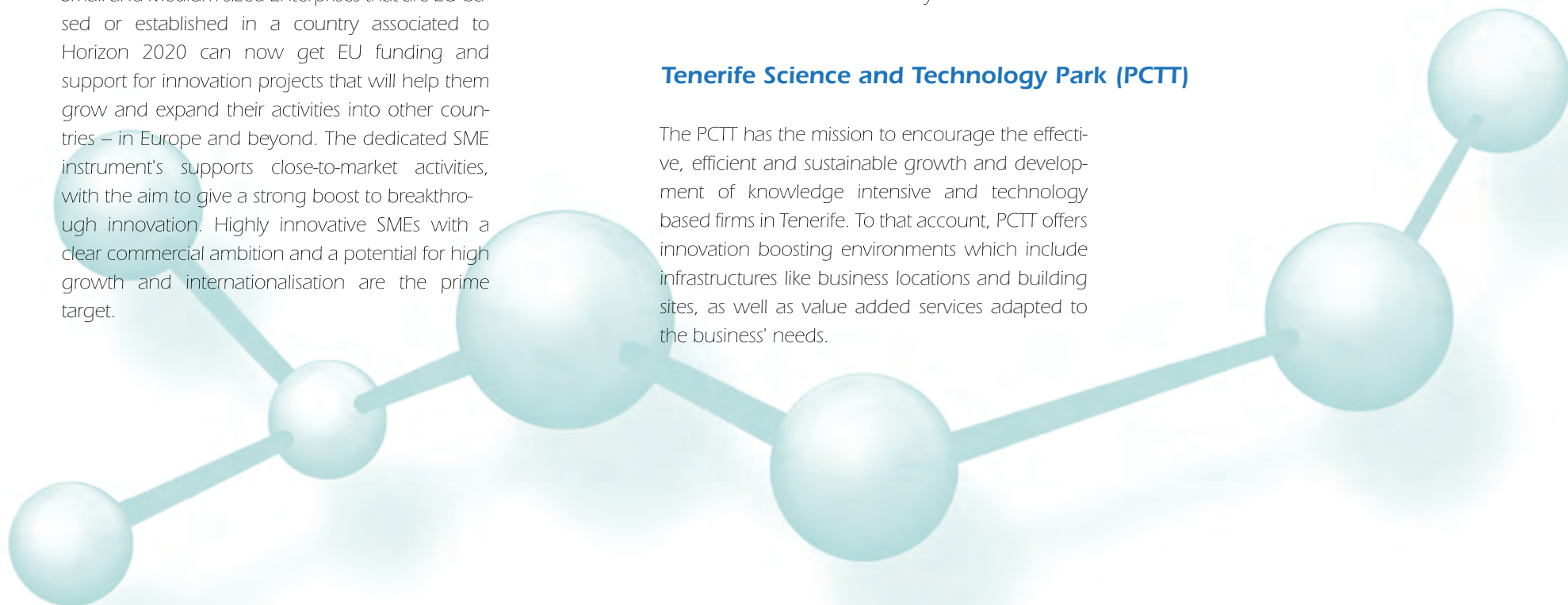
Small and Medium-sized Enterprises that are EU-based or established in a country associated to Horizon 2020 can now get EU funding and support for innovation projects that will help them grow and expand their activities into other countries – in Europe and beyond. The dedicated SME instrument's supports close-to-market activities, with the aim to give a strong boost to breakthrough innovation. Highly innovative SMEs with a clear commercial ambition and a potential for high growth and internationalisation are the prime target.

BioVaria

BioVaria brings together European research institutions across national borders in order to improve the transfer of their research results into application. In just one day, it presents an unmatched density of highly innovative technologies to potential investors, collaboration partners and licensees from the international biopharmaceutical industry. Originally launched in 2008, the event has received a strong and growing response from research as well as from industry

Tenerife Science and Technology Park (PCTT)

The PCTT has the mission to encourage the effective, efficient and sustainable growth and development of knowledge intensive and technology based firms in Tenerife. To that account, PCTT offers innovation boosting environments which include infrastructures like business locations and building sites, as well as value added services adapted to the business' needs.

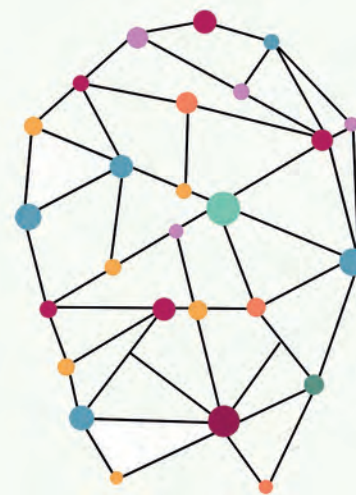




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SUMMARY

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KTTO Mission & Vision

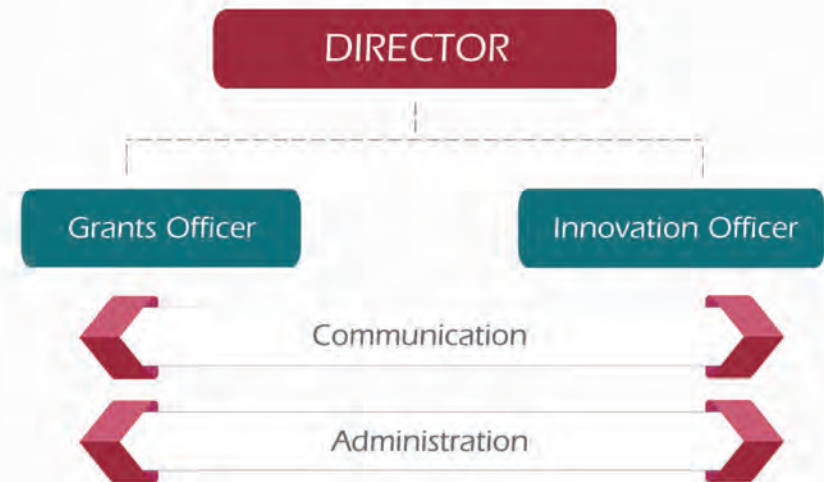
Our Mission

is to build innovation culture and to advance the biomedical research that provides benefits to society, patients and industry capturing the value of it.

Our Vision

is to build a powerful R&D&I model concentrated in certain topics involved in "exploitation" of results with international impact.

Our Team



Our Services

Secure funding

Prepare grant proposal

Preparing grant agreements

Asses commercial potential

Checking IP in contracts

Coaching spin-off

Identify Industrial Partners

Negotiate collaborations with Industry

Knowledge

Innovation

Identify and evaluate the funding scheme

Partnership

Identify inventions

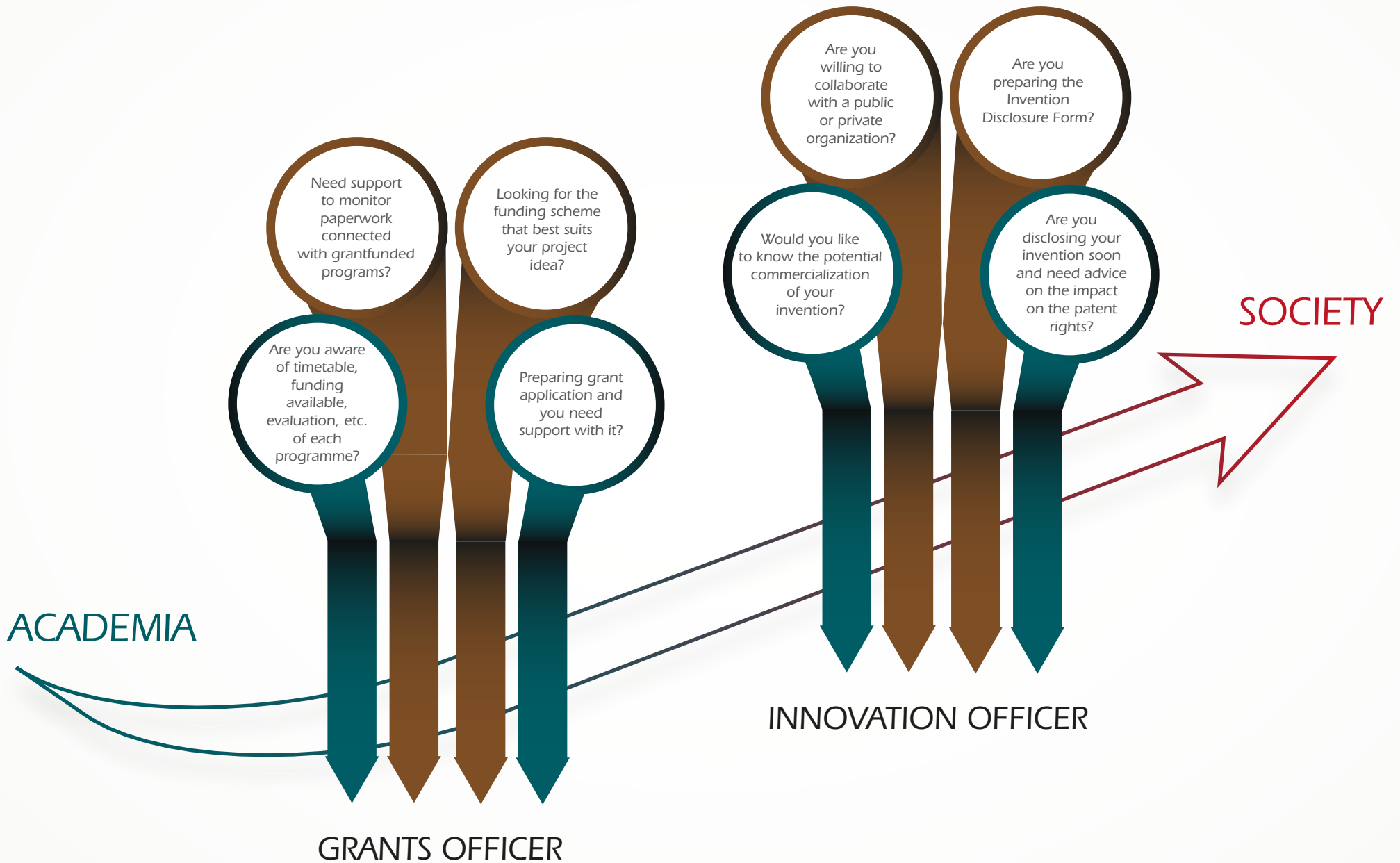
Support patenting process

Develop commercializing strategies

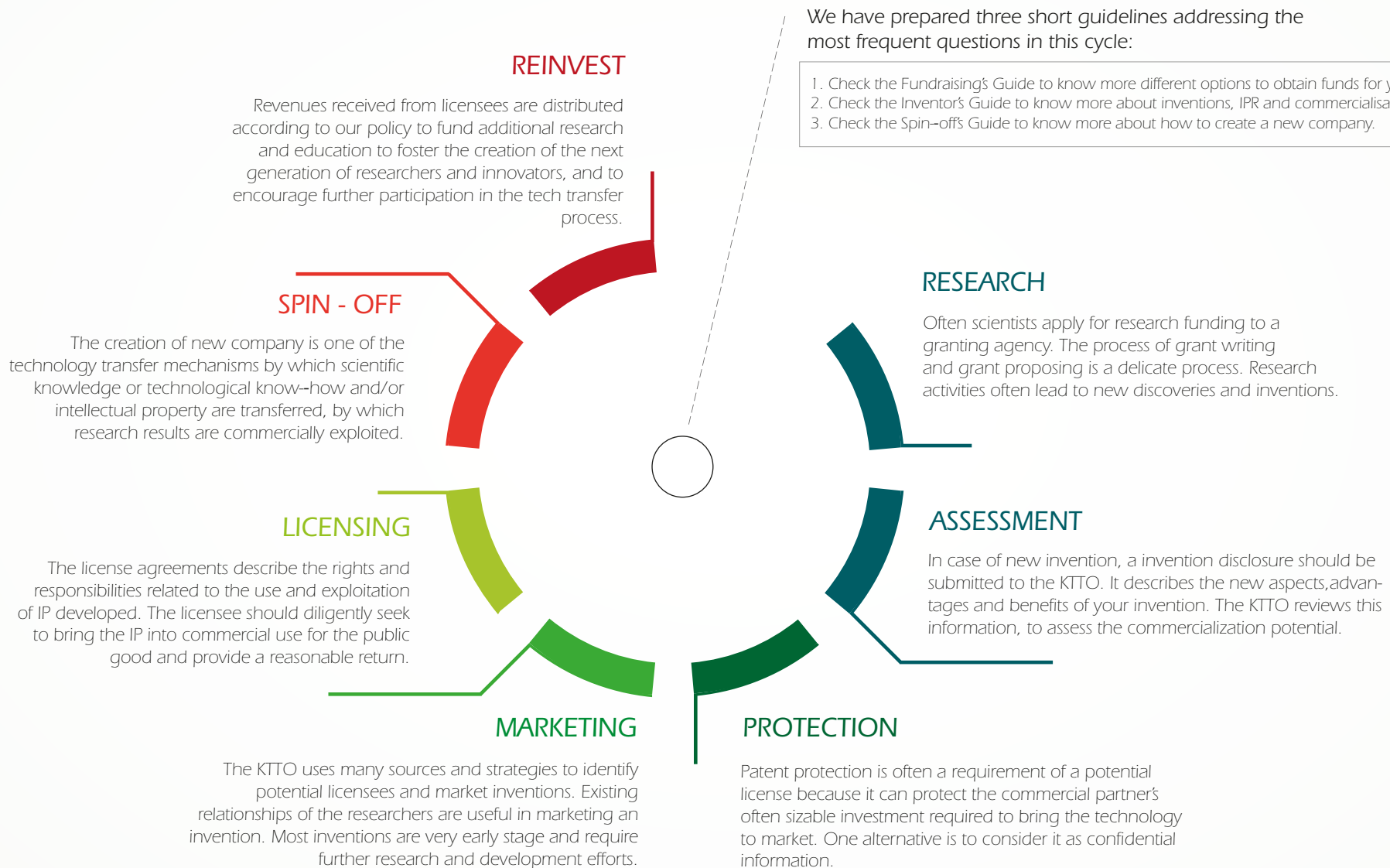
Preparing and negotiating the contracts

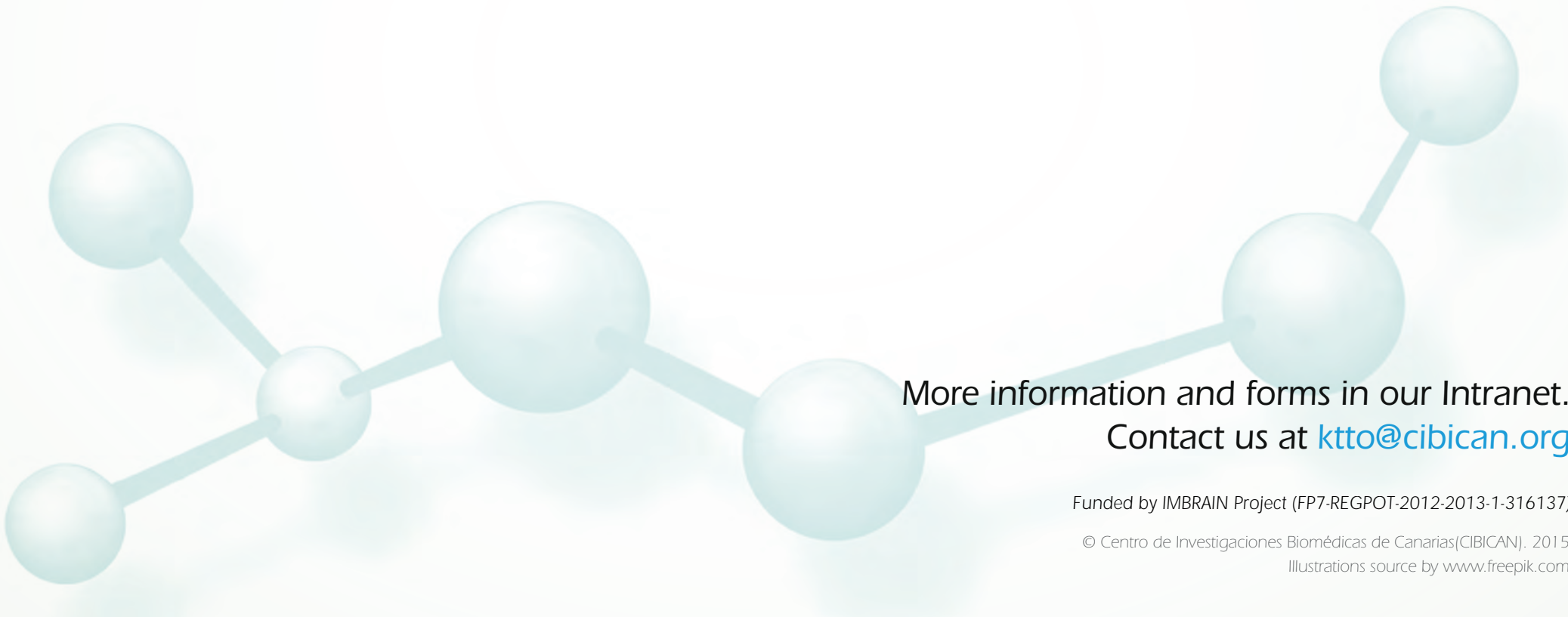
Negotiate license agreements

🔗 How can we foster your research?



The Cycle of Innovation





More information and forms in our Intranet.
Contact us at ktto@cibican.org

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