Applied Research Technological Innovation and Entrepreneurship (ARTIE) Fellowship Program

ARTIE-POC Guide for Applicants

This guide is part of ARTIE-POC Call for Proof of Concept Grant Proposals Information Package, published by the Romanian-American Foundation on April 25th, 2013.

Information about registering for this call and guidance to applicants on how to submit projects is available at http://artie.rafonline.org

Purpose of the Guide

This guide provides practical information to potential applicants in preparing and submitting an application for the ARTIE Proof of Concept (ARTIE-POC) Grant. In addition, it provides a general overview of the evaluation process and presents the main features of the RAF grant agreement and the management of RAF grants.

The Guide for Applicants includes the following sections:

1. Description of the ARTIE Fellowship Program
2. Applying for an ARTIE–POC Grant
3. Guide to completing the ARTIE-POC Expression of Interest Form
4. Guide to completing the ARTIE-POC Full Application Form
5. Eligibility and Evaluation
6. Intellectual Property Rights Agreement

Note: This guide will be updated with instructions for applicants whose Expression of Interest form is successful and who will be invited to submit further documents.

1.1. ARTIE Fellowship Program Overview

The focus of the ARTIE Fellowship Program is on investing in Romanian talent in areas where there is demonstrated international performance, connecting people to the newest trends in technology, and addressing the needs of the society.

In offering these grants, RAF aims to build a community of applied researchers and innovative entrepreneurs and to connect them with the newest trends in technology. ARTIE fellows will benefit from not only from grant funding, but also from connections with professors and institutions within Romania and abroad, and will have the opportunity to experience new models for commercializing their innovation.
There are two pillars that form the foundation of the ARTIE Fellowship Program: Community Building and Technological Innovation. Investment in Technological Innovation is divided between two areas: Applied Research Grants and Entrepreneurship Grants. This Call for Proposals refers to Applied Research Grants.

At the end of the term of the Applied Research fellowship, those fellows who have successfully developed their Proof of Concept may be invited by RAF to apply for Entrepreneurship Grants.

Areas of research that are of particular interest include, but are not limited to, the Internet of Things and the Internet of Services.

ARTIE is about smart people innovating smarter objects and value-added services for building a sustainable, inclusive society in Romania.

Grants are awarded and managed according to simple procedures that maintain the focus on output, outcome, and impact, and are designed to encourage creativity and combine flexibility with accountability. The ARTIE Fellowship Program strategy and criteria for success have been validated by an international Scientific Board.

1.2. ARTIE Scientific Board

The following professors and successful entrepreneurs comprise the Scientific Board:

<table>
<thead>
<tr>
<th>Name</th>
<th>Position and Institution</th>
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</thead>
<tbody>
<tr>
<td>Avner Friedman</td>
<td>Distinguished Professor of Mathematics and Physical Sciences at Ohio State University</td>
</tr>
<tr>
<td>Virgil Gligor</td>
<td>Co-Director of CyLab and Professor of Electrical and Computer Engineering at Carnegie Mellon University</td>
</tr>
<tr>
<td>Mihai Huzmezan</td>
<td>P&amp;C Engineering Director at AMETEK Power Instruments</td>
</tr>
<tr>
<td>Gheorghe Nenciu</td>
<td>Senior Scientific Researcher at the Simion Stoilow Institute of Mathematics of the Romanian Academy, Bucharest</td>
</tr>
<tr>
<td>Radu Popescu-Zeletin</td>
<td>Professor at the Technical University of Berlin; Director of the Fraunhofer Institute, Berlin</td>
</tr>
<tr>
<td>Florin Udrea</td>
<td>Professor of Semiconductor Engineering at Cambridge University; non-executive director of Cambridge Enterprise; founder of two start-ups</td>
</tr>
<tr>
<td>Bogdan Vernescu</td>
<td>Professor and Head of the Department of Mathematical Sciences at Worcester Polytechnic Institute</td>
</tr>
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1.3. ARTIE Objective

With the ARTIE Fellowship Program, RAF aims to build a community of innovative researchers and entrepreneurs and enable them to develop next-generation technologies, marketable applications, and new businesses with transformational social and economic impact.

As part of the idea-to-product transformation cycle, RAF aims to provide support to applicants who are at the point of developing a Proof of Concept. This is a pre-demonstration phase in which commercial potential
has been identified but has not yet been realized. Developing the Proof of Concept is the first step in taking an idea from the research setting to commercialization.

Applicants should describe their plans for moving their ideas from the research laboratory onto the local/global marketplace. By the end of the term of the grant, a successful grantee will be able to give a viable pitch to investors.

1.4. Guiding principles for ARTIE Fellowship Grants

- Projects have a clear defined outcome.
- Projects will be funded in the areas of Applied Sciences and Mathematics, Engineering, and Information Technology. This includes, but is not limited to, research projects focused on the Internet of Things and Internet of Services.
- Project teams will consist of a minimum of two and a maximum of four researchers, including a Team Lead.
- The Host Organizations will guarantee the researchers’ independence and will provide the necessary research environment to carry out the project.
- Grants of up to 80.000 USD will be provided for developing a Proof of Concept over a period of eight (8) months.

PRIVACY NOTICE

By entering this Call for Proof of Concept procedure organized in connection with the Applied Research, Technological Innovation and Entrepreneurship - Proof of Concept - “ARTIE-POC” Program (“Program”), the applicants give permission to RAF for their entry application (including any images of the researchers) to be reproduced online and in print media.

The applicants who are selected to participate in the Program may be requested to take part in promotional activities organized by RAF. RAF reserves the right to use the names and addresses of the applicants selected to participate in the Program, as well as their photographs and audio and/or visual recordings of them in any RAF materials developed for publicity purposes.

2. Applying for the ARTIE Call for Proof of Concept (ARTIE-POC) Grant

2.1 Who can apply for ARTIE-POC

- Applicants for an ARTIE-POC Grant should be active and innovative professionals, who will use their skills and training to develop a proposal for innovations in applied research and technology. No specific eligibility criteria with respect to their academic requirements are foreseen.

- Applicants who are invited to submit a full application must also submit the provided Letter of Recognition proving that they are qualified for research activities.

- The ARTIE–POC call is open to technology innovators, including undergraduate and doctoral students, post-doctoral graduates, researchers, tech entrepreneur, and tech freelancers of any age or nationality residing in Romania at the time of their application.

- Applicants must conduct their research activity in Romania

2.2 What are the characteristics of a competitive candidate for an ARTIE-POC Grant?

Teams applying for the ARTIE Fellowship Grant must be made up of a minimum of two and a maximum of four researchers.

All applicants for the ARTIE-POC Grant are expected to be active technology innovators and must present achievement track-records appropriate to their career stages. An application that does not contain such a record is unlikely to succeed.

It is expected in most cases that teams applying for the ARTIE Fellowship Program will be interdisciplinary, and will take advantage of multidisciplinary research approaches. The team’s research plan will be evaluated by the Scientific Board. It is not necessary for applicants to be based at the same Host Organization; however, it is expected that all members of the applicant team will be physically located in Romania.

The composition of the individual research teams is flexible and may involve, for instance, undergraduate and graduate students, postdoctoral graduates, researchers, scientists, doctors, or tech freelancers. All team members must present proof that they are qualified for research activities using the Letter of Recognition form provided. Depending on the nature of a project, the members of the team may be from the same research group and/or from the same institution, or may be from multiple research institutions in Romania. Teams are advised to collaborate with Romanian researchers working abroad.

Team members operate under the leadership of the Team Lead. Each of the researchers must be strongly committed to the project and should devote at least 30% of their total working time to the RAF-funded project. In addition to the 30% working requirement, the Team Lead, with the support of the host institution(s), is expected to be fully engaged in the management of the RAF grant.

2.3 ARTIE Fellowship Program grant application procedure

- Applications should be submitted by the Team Lead in conjunction with a Host Organization. (Written agreement from the Host Organization is required for an application to be successful).
- The application procedure consists of two submission stages:
  - STAGE 1: Expression of Interest
    - This call is open to all qualified researchers.
    - The Team Lead registers as an applicant at http://artie.rafonline.org
    - Team Lead completes and submits the Expression of Interest form
    - The deadline for submission of the Expression of Interest form is May 25, 2013

SELECTION NOTE:
RAF reserves the right to select the applicants for STAGE 2. Applications will be appraised by independent technical expert evaluators. The grants are awarded at RAF’s sole decision, based exclusively on the due and satisfactory fulfillment by the applicants of the relevant conditions described in the Eligibility and Evaluations chapter and the recommendation of the said evaluators. RAF’s decision is final and applicants who are not selected for STAGE 2 may not challenge this decision. No feedback will be provided by RAF, for any reason and at any stage, to applicants that were not selected to participate in STAGE 2 in the Program.
Submission of all the documents is accepted only via the web-based procedure available at [http://artie.rafonline.org](http://artie.rafonline.org).

- **STAGE 2: Full Application**
  - The full application is accepted by invitation only, and should be completed and submitted by the Team Lead.
  - RAF publishes the projects that qualify for Stage 2 and sends invitations to the Team Lead of each winning project: June 28, 2013
  - Deadline for submission of the Full Application Form: September 2, 2013
  - Grantees are publicly announced: September 24, 2013
  - Grantees are invited to sign the contracts: September 30, 2013

RAF reserves the right to select applicants based on the evaluation of the Scientific Board and to consider the selection final.

- Following the completion of the POC grant, RAF will invite successful Applied Research Grantees to apply for Entrepreneurship Grants.

3. **Expression of Interest form**

Please read the instructions for each section carefully and complete each section with appropriate information.

4. **Full Application Form**

Please read the instructions for each section carefully and complete each section with appropriate information.

5. **Eligibility and Evaluation**

**ETHICAL PRINCIPLES**

RAF requires that any research activities performed under the Program observe fundamental ethical principles. The ethical principles include the need to ensure the freedom of research and the need to protect the physical and moral integrity of individuals and the welfare of animals. The recipients of the grants (RAF Fellows) shall not, directly or indirectly, engage in, support or promote projects or activities that are likely to result in significant adverse environmental impact. For this reason RAF will carry out an ethical review of the Fellows’ works when deemed appropriate. The Fellows will be bound to fully and duly observe the provisions of Law no. 206/2004 regarding the proper conduct during scientific research, technological progress and innovation, as further amended and supplemented.
5.1. **Eligibility**

The ARTIE–POC call is open to all technology innovators who can prove they are qualified for applied research activity. A model of the required Letter of Recognition is included in the package of information. ARTIE/RAF personnel and their immediate families are not eligible for fellowships. The same exclusion rule applies to immediate families of the Scientific Board and Board of Trustees members.

5.2. **Evaluation**

The following outline describes the evaluation process for each stage:

**STAGE 1: Expression of Interest**
The Scientific Board will evaluate the Expression of Interest based on the following criteria:

<table>
<thead>
<tr>
<th>Project Description (text boxes 4; 10;11;12)</th>
<th>Maximum Points: 5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Team Lead and team members (text box 9)</td>
<td>Maximum Points: 5</td>
</tr>
</tbody>
</table>

**STAGE 2: Full Application**
The Scientific Board will evaluate the Full Application based on the following criteria:

| Criterion #1: ‘Innovation potential’ | Maximum points: 25 |
| Criterion #2: ‘Quality of the Proof of Concept plan’ | Maximum points: 25 |
| Criterion #3: ‘Quality of the team work’ | Maximum points: 25 |
| Criterion #4: ‘Vision for the future’ | Maximum points: 25 |

Grantees who develop a successful Proof of Concept will be invited to apply for STAGE 3: Entrepreneurship Grants, which are not part of this call.

6. **Intellectual Property Rights Agreement**

The Intellectual Property Rights that result from the research activities financed under the Fellowship Agreement are owned by Fellows. The Fellows are responsible for negotiating an agreement amongst themselves to provide the terms and conditions for the allocation of the Intellectual Property Rights that from or in relation to the activities financed under the Program.