



science  
& technology

Department:  
Science and Technology  
REPUBLIC OF SOUTH AFRICA

**NIPMO**

NATIONAL INTELLECTUAL PROPERTY  
MANAGEMENT OFFICE  
*An initiative of the Department of Science and Technology*

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## OFFICE OF TECHNOLOGY TRANSFER SUPPORT FUND:

### GUIDING PRINCIPLES

#### OVERVIEW

The Intellectual Property Rights from Publicly Financed Research and Development Act (“IPR Act”) No. 51 of 2008 came into effect on 2 August 2010.

According to Section 6(4)(a) and (b) of the Intellectual Property Rights from Publicly Financed Research and Development Act, No.51 of 2008, “NIPMO may, on terms and conditions determined by it, provide assistance to institutions for the establishment of offices of technology transfer... (which assistance) may include – (i) financial assistance;....(iii) development of appropriately skilled personnel for the offices of technology transfer”.

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### List of acronyms used

<b>INSTITUTION</b>	Higher Education Institutions and Schedule 1 Institutions as per the IPR Act
<b>IP</b>	Intellectual Property (see IPR Act and Guideline 1 for the definition)
<b>IPR</b>	Intellectual Property Rights (see Guideline 1 for the definition)
<b>IPR Act</b>	Intellectual Property Rights from Publicly Financed Research and Development Act No 51 of 2008
<b>NIPMO</b>	National Intellectual Property Management Office
<b>R&amp;D</b>	Research and Development (see Guideline 1 for the definition)

## **1. APPLICATION TO THE OTT SUPPORT FUND**

The applicant must be the institution directly or through its Office of Technology Transfer Office (OTT), regional OTT or designated individual.

A completed application form (see attached template) must be submitted to NIPMO with the following details:

### **1.1 Details of Research Activities**

An overview of activities i.e. number of researchers, outputs, number of SARCHI Chairs if any, NRF rated researchers and a summary of ratings, summary of research income and breakdown thereof must be set out here

### **1.2 Presence and Status of institutional policies relevant to or impacting on technology transfer operations**

The kind of policies/strategies drafted and their status must be indicated in this section (e.g. IP Policy).

### **1.3 Status of OTT Operations**

In this section a detailed overview of the operations of the OTT should be provided including (a) Staffing (current and proposed) of OTT; (b) Key Performance Areas; (c) Summary of OTT Activities e.g. patent portfolio, disclosures, applications filed, granted, licenses and MTA (inbound and Outbound), spin out companies; revenues and income for commercialisation of IP; (d) Pre-Seed fund budget and activities (if any); (e) Institutional Financial Commitment to the OTT (current and planned); and (f) Duration of NIPMO Support and indication of institutional plan post the NIPMO support.

### **1.4 Job Description/profile of the proposed positions**

The following details must be provided for the positions for which funding is being requested:

- (a) Job title;

- (b) Purpose of the position;
- (c) Key performance areas; and
- (d) Key competency areas.

### **1.5 OTT Budget**

- (a) Details of current and projected budget (indicate institutional commitment and envisaged NIPMO support).
- (b) Indicate comprehensively the envisaged OTT budget for the period of the funding support including patent registration and maintenance cost etc.

### **1.6 Operational Plan**

- (a) Indicate the envisaged growth of the current summary of OTT outputs in the next three years (during the funding period).
- (b) Key deliverables, milestones and target dates (funding support period).

### **1.7 Special Projects**

Indicate whether funding is being requested for a special project such as the review of a particular IP portfolio.

## **2. ELIGIBLE COSTS**

The OTT Support Fund provides funding to publicly financed research and development institutions for:

- (a) Establishment of OTTs;
- (b) Capacity development within OTTs (looking at the whole value chain);
- (c) IP Analysis Tools;
- (d) Market/Commercial assessment tools;
- (e) Training and Development (namely NIPMO endorsed training);
- (f) Awareness; and
- (g) Special projects (such as the review of a particular IP portfolio).

### **3. NON-ELIGIBLE COSTS**

The OTT Support Fund does not provide support for the following costs:

- (a) Office infrastructure;
- (b) Business plans; and
- (c) Fees for training/development and the like not endorsed by NIPMO.

### **4. EVALUATION CRITERIA**

The OTT Support Fund Allocations Committee will give particular attention to the following criteria when evaluating and adjudicating on an application to the OTT Support Fund:

- (a) Previous NIPMO/DST OTT Support Fund Funding;
- (b) The amount and duration of the funding already received;
- (c) Whether the funds were used as per the original proposal;
- (d) Whether all legislative reporting requirements were/are and all contractual reporting were/ are being met by the institution;
- (e) Whether the operational plan objectives were/ are being met;
- (f) Current institutional funding commitment to the OTT; and
- (g) Post NIPMO funding institutional commitment.

Furthermore, the evaluation committee may consider the following sliding funding scale criteria when evaluating proposals from the previously funded institutions:

- 100% in Year 1 (Institutional contribution 0%);
- 75% in Year 2 (Institutional contribution 25%); and
- 50% in Year 3 (Institutional contribution 50%).

## 5. GENERAL OTT SUPPORT FUND GRANT CONDITIONS

- (a) Each Institution shall be required, at all times, to comply with the reporting requirements for the Intellectual Property Rights from Publicly Financed Research and Development Act (No.51 of 2008; IPR Act), in particular this includes all regulatory forms.
- (b) Only applications on the NIPMO approved proposal template (attached) will be accepted.
- (c) Grant funding is provided on a one to three year funding cycle, subject to revision, milestone performance and availability of funding.
- (d) A project funding agreement must be concluded with each institution approved for funding.
- (e) The institution shall use the OTT Support Fund funding only for purposes outlined in the application to NIPMO and set out in the concluded project funding agreement, and for no other purpose without the prior written consent by NIPMO.
- (f) NIPMO shall on reasonable notice to the institution be allowed to visit the institution for the purpose of updating itself on progress in relation to the project funding agreement signed.
- (g) NIPMO solely reserves the rights to determine whether proposed activities fall within the scope of the OTT Support Fund, in particular activities within the category of "Special Projects".

Please do not hesitate to contact NIPMO ([info@nipmo.org.za](mailto:info@nipmo.org.za); 012 844 0222) should you have any questions with regards to any matter in these guiding principles.



DR KERRY FAUL

HEAD: NIPMO

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