

# INNOVATION SPRINT



RWTH Aachen ZHV / RWTH Innovation

Guidelines Innovation Sprint

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Contact Innovation Sprint Team:

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## Prenotification

*The Innovation Sprint, developed as part of the "Excellence Start-up Center.NRW" (ESC), helps to raise the start-up and growth potential of RWTH Aachen University (RWTH for short), which is strong in research and transfer. With the financial funding, researchers with a start-up idea are offered the opportunity to validate the commercialisability of their research results.*

*With this document, we would like to provide you the background information and the rules for spending the funds. The aim is to use the Innovation Sprint funds in accordance with the ESC guidelines. Compliance with the spending guidelines and reporting requirements is mandatory for both internal monitoring and external reporting to the Project Management Organisation Jülich and the Ministry of Economic Affairs, Innovation, Digitalisation and Energy (MWIDE).*

### (1) Account set-up

The accounts are set up at the institute by the team of Department 4.2 "Land" - Third-Party Funding Management at RWTH Aachen University in consultation with the Innovation Sprint project management. The team members/project participants are informed by e-mail about the account set-up and the funding set up. A **notification of third-party funding** must be made by the chair/institute (contact: [Drittmittel\\_Land@zhv.rwth-aachen.de](mailto:Drittmittel_Land@zhv.rwth-aachen.de); contact Tasja Keil).

### (2) Project start

With the notification that the project account has been set up by the Third-Party Funding Management (4.2), the start of the implementation phase of the Innovation Sprint officially begins. Due to the limited time for spending the funds, we strongly recommend starting the procurement processes immediately, especially for procurements where long delivery times are foreseeable. The funds must be spent by **31.12.2021** at the latest.

### (3) Use of the project funds

The **approved funds** are only available for the purpose stated in the approval. The related expenditure covered have been requested with the specified cost and financing plan of the application.

Only services, objects and equipment that are explicitly named in the **financial plan** applied for may be procured. If, in justified cases, it becomes necessary to deviate from this, the Innovation Sprint project management must be contacted immediately so that the case can be reviewed. In this case, please send your request to [innovationsprint@rwth-innovation.de](mailto:innovationsprint@rwth-innovation.de).

#### **Examples of material expenditure can be financed (please consider the financial plan):**

- Investments, (e.g., PC, special equipment for the project)
- Special technical devices and equipment, e.g., measuring instruments, experimental equipment, components for the prototype or comparable elements
- Material costs: all consumables required for the realisation of the prototype construction
- Project-related contracts with external companies for prototype construction
- Consulting services related to prototype development or the start-up project that are not covered by the RWTH's range of services.

**Not eligible for funding:**

- Basic equipment of the university/research institution (e.g. rent, office equipment, standard software, telephones, etc.)
- Personnel funds for research assistants (Hiwis) Assistants (Hiwis)
- Services within the university/research institution (funding recipients)
- Direct start-up fees or expenses (business registration, lawyer's or notary's fees, preparation of shareholder agreement and general terms and conditions)
- Classic business expenses (e.g., CRM or accounting software), product or company advertising)
- entertainment costs
- Individual further training without reference to start-up
- Preparation of business plan by third parties
- Travel between home and project location as well as city trips at the project location
- Additional guarantees (e.g., Apple Care)
- Material expenses that will no longer be effective in the remaining term of the project
- Comfort equipment (e.g., oversized monitors and computers)
- Equipment or travel expenses for support staff or non-funded team members

**(4) Ineligible or non-reimbursable costs**

In the case of uncertainty as to whether a procurement directly related to the Innovation Sprint is eligible for funding, please consult the project management (innovationsprint@rwth-innovation.de) immediately. Ineligible costs or unrecognised costs that are objected to by the project management or higher-level auditing authorities must be covered by the chair/by the institute. The total value of the procurements may not exceed the total approval sum specified in the approval notification. If the budget specified in the letter of approval is exceeded, the chair/institute must pay from its own financial resources.

**(5) Procurements**

For awards of contracts for supplies and services below the EU threshold (221,000 euros net as of 2019), the Sub-Threshold Award Regulations (UVgO) in conjunction with the Award Guidelines for Universities pursuant to Section 8 of the Higher Education Management Regulations (HWFVO) apply. Procurement Guidelines for Universities pursuant to Section 8 of the Higher Education Management Ordinance (HWFVO) of the State of North Rhine-Westphalia. For procurements worth more than 221,000 euros net, an EU-wide invitation to tender is required.

Investments are inventoried via the chair/institute and are therefore initially the property of RWTH Aachen University or the chair/institute. These can be transferred via de minimis regulation after completion of the project and foundation.

**(6) Proof of use for the project period and lists of receipts.**

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### **(7) Storage of Documents**

All project-related documents associated with the Innovation Sprints must be kept at the chair/institute for 10 years.

### **(8) Account closure and remaining funds**

**The funding must be spent ("delivery made & invoice paid") by the end of the project at the latest (31.12.2024). Otherwise, the funds will be forfeited. The remaining funds will not be reallocated either. The chair/institute must apply for the account to be closed. To close the account, all income must have been received or all transfers must have been completed. You can require more information from Department 4.2 – Third-party funding management ([Drittmittel\\_Land@zhv.rwth-aachen.de](mailto:Drittmittel_Land@zhv.rwth-aachen.de)).**

### **(9) Use of budget**

**Due to the regulations of the project sponsor Jülich (to which we are bound due to our funding decision), we are obliged to spend the project funds from the Excellence Start-Up Center.NRW by the end of the year, otherwise interest will be incurred on funds not spent. Decisive for the Innovation Sprint Teams to spend the funds is December 31, 2024. Procurements that have not been completed by that date may not be initiated, even if this means that the budget cannot be fully utilized.**

### **(10) Reporting requirement**

Please submit a final report in digital form to [innovationsprint@rwth-innovation.de](mailto:innovationsprint@rwth-innovation.de) by **31.12.2024**

The final report should not exceed three pages and include the following points:

- *Knowledge gained from the Innovation Sprint*
- *Successful procurements and use in prototype construction*
- *Any problems encountered during the course of the project, deviations from the planned procedure*
- *Any changes in the team composition, possibly justification of the need for additional team members*
- *Future perspective (e.g., perspective of spin-off, application for further funding programmes)*

The Innovation Sprint Team reserves the right to request information for the preparation of these reports from the individual project leaders.