

## Information and Guidelines for Applicants

### **EXPLORATORY PRE-SEED GRANT**

This document contains important information related to this program and guidelines for completing the application correctly. It is strongly recommended that the applicant reads these carefully and has a printout to refer to while completing the online application.

This document contains:

- 1) Information about funding for **The exploratory pre-seed grant program**.
- 2) Essential grant information.
- 3) Information about the Novo Nordisk Foundation (NNF) internet-based application system.
- 4) Guidelines for completing the application.

Important information for the exploratory pre-seed grant program and the online application process

### **1) The exploratory pre-seed grant program**

The exploratory pre-seed grant program will have two application and granting rounds per year. The calls for applications contain the application dates and timeline for the current grant round.

#### **Objectives**

The exploratory pre-seed program is a stimulus fund established to accelerate commercialization of biomedical research findings and development of novel technologies within the life sciences. The goal of an exploratory pre-seed grant is to stimulate entrepreneurship and to explore the potential of research findings at a very early stage (pre-seed), and to prepare the project for a full pre-seed grant at a later stage.

#### **Areas of support**

An exploratory pre-seed grant is given to explore the potential and sustainability of the research finding and idea and aims to prepare the project for a full pre-seed grant at a later stage. The goal of the exploratory pre-seed grants is to test new ideas that may lead to development of new medical treatments, disease prevention, devices and diagnostic methods as well as new industrial biotechnology in the life science area.

#### **Eligibility**

The applicants can be faculty members, researchers and students based at universities, hospitals and other knowledge institutions in the Nordic countries. Projects from incubator and greenhouse development programs are also eligible.

#### **Awards**

Grants can support activities costing from DKK 100,000 to DKK 500,000 during a grant period of 4-12 months. Exceptionally additional DKK 200,000 may be allocated for specific commercialization related activities. Projects aspiring for the additional budget should present supplementary motivation.

Exploratory pre-seed grants may fund research and personnel, as well as commercialization-related costs. Funding cannot be used for salary for the applicant. Funding is not available for conferences, travel expenses or overhead expenses.

### **Selection**

The evaluation of the exploratory pre-seed grant applications is performed by an independent committee and includes:

- Significance and originality of the research aimed for commercialization
- Stage of research finding(s)/idea
- Clear description of the commercial idea
- Approach to next step in the commercialization process
- Patent situation and/or patent strategy
- Achievable milestones
- Applicant's qualifications
- The proposed approach and availability of the needed resources

### **Additional information**

- Only a single exploratory pre-seed grant is permitted for activities related to the same project. Projects receiving exploratory pre-seed grants will at a later stage be eligible for NNF pre-seed grants (administered by Novo Seeds). However, projects that first receive pre-seed grants are not later eligible for exploratory pre-seed grants.
- Simultaneous submission of application for both exploratory pre-seed program and pre-seed program is not permitted
- Novo Seeds will allocate an advisor to provide commercialization-related advice to funded exploratory pre-seed grants to help development of the projects to a stage where they may be suitable to apply for additional funding, for example the Novo Seeds pre-seed grant program.

### **Terms and conditions of the grant**

- The utilisation of funds granted must comply with all applicable laws, rules and standards for studies involving animals and trials involving humans, as well as for the handling of sensitive data. Furthermore, it is a requirement that you read and follow the Novo Nordisk Foundation's standards for good research practice.
- The Novo Nordisk Foundation or Novo Seeds (Novo A/S) claim no ownership of, or rights to, exploratory pre-seed projects, either during or following the grant period.
- The Novo Nordisk Foundation or Novo Seeds (Novo A/S) will not be a part of the exploratory pre-seed project's management and is not responsible for grant activities or outcomes.
- Any grant is awarded for the purpose stated in the notice of funding, and unless otherwise stated, the amount of the grant is determined on the basis of the budget stated on the grant application.
- If the grant holder wishes to change the purpose of the study or wishes to use the funding in a way that differs significantly from the purpose stated in the budget, it is necessary to obtain prior approval from the Novo Nordisk Foundation.

## **2) Essential grant information**

### **Accounts, publications and reporting**

- The grant holder will be required to declare that the funding granted will be used for the purpose and within the budget framework stated in the application.
- Unused funding must be returned to the foundation.
- Any publications funded wholly or partly by the foundation must state that funding was awarded by the NNF ("The Novo Nordisk Foundation" in English; "Novo Nordisk Fonden" in Danish).
- The activities and results from the funding must be reported to the NNF following the NNF's reporting procedures (as detailed in the grant letter or agreement).

### **Funding from other sources**

If you receive funding for the same purpose from other sources, you must immediately notify the NNF's secretariat of the size of the grant. If you have already received funding related to this project, please indicate this in your application.

### Terms and conditions of the grant

- The utilization of funds granted by the foundation must comply with all applicable laws, rules and standards. This includes, but is not limited to, studies involving animals and trials involving humans, as well as for the handling of sensitive data. It is required that the applicant accepts and follows the NNF's standards for good research practice.
- Any grant is awarded for the purpose stated in the notice of funding and unless otherwise stated, the amount of the grant is determined on the basis of the budget within the grant application. If the grant holder wishes to change the purpose of the study or wishes to use the funding in a manner that differs significantly from the purpose stated in the budget, it is necessary to obtain prior approval from the NNF.
- The NNF or members of the Novo Group companies claim no ownership of, or rights to, intellectual property arising from research funded by the NNF. Intellectual property arising from research supported by the NNF grants will be subject to the intellectual property policies of the institution at which the research was conducted.

The cornerstones of the NNF's grant activities can be found at <http://www.novonordiskfonden.dk/en/content/cornerstones>

### 3) The Novo Nordisk Foundation internet-based application system

#### **Important**

- *The Novo Nordisk Foundation application system does not support Google Chrome. Use of one of the following browsers is recommended:  
MS Internet Explorer – download: [www.microsoft.com](http://www.microsoft.com)  
Mozilla Firefox – download: [www.mozilla.com](http://www.mozilla.com)*
- *It is necessary to disable "pop-up" blocking and for Internet Explorer, to enable "compatibility view" for the application website.*

### General instructions

#### Filling in the fields

For all applications, the individual fields must be completed in accordance with these guidelines and the instructions supplied in the application. Abbreviations should be defined at the first use. The maximum character limit for each text field may not be exceeded. Character counts include spaces, but not line changes.

#### Submission

The application in its entirety must be submitted electronically via the NNF's application system. It is not possible to submit an application or any part of it by standard mail or e-mail.

The NNF asks that you do not send any reprints, abstracts, letters of reference, etc., outside of the application system. Any material submitted outside the application system will not be included in the evaluation and will not be returned. Applications cannot be modified after the submission deadline.

Once the application has been submitted, a confirmation of receipt will be sent to the applicant at the e-mail address provided by the applicant. If you (the applicant) do not receive a confirmation of receipt, you should contact the NNF as soon as possible by e-mail at: [nfond@novo.dk](mailto:nfond@novo.dk), or by telephone at: +45 3527 6600.

#### Confidentiality

All applicant and application information will be treated as confidential.

#### New User registration

The electronic application system can be accessed through links on the NNF website. The links lead to the login site, where the new user registration link is found beneath the login for existing users.

To apply for grants from the NNF you need to register as a user. Only one user, which must be the main applicant, can be assigned per application.

New users are created via the Login screen by clicking "[Ny bruger? / New user?](#)".

#### Notes for new user registration

- First name is your given name and Surname is your family name.
- Username must be written as birthdate followed by the 2 first letters of your first name and the first 2 letters of your surname (DDMMYY-xxxx), e.g. (050672-toha).
- Your e-mail address is required for routine communication.
- Users specify their application system language preference here.
- The selected password must consist of at least 8 characters, both letters and numbers.

After creating a password and clicking "[Fortsæt](#)", you will advance to a "Personal information" screen. Complete the fields as required (\*) and relevant before clicking "OK". The information entered here will be automatically transferred to the application when it is created. New users are asked to supply their basic personal and employment-related details, so that individuals can be uniquely and rapidly identified by the NNF. The NNF also requests these details so that applicants can be contacted with certainty in regards to an application if needed.

#### Notes for the Personal Information

- ORCID (Open Researcher and Contributor ID) is an open, non-profit endeavor to register and link researcher efforts and output. The applicant must sign up in ORCID (<http://orcid.org/>) and introduce the membership ID in the appropriate field.

ORCID is a unique identifier, which researchers can associate with their name variations and their research works, to ensure that these links can be made accurately and reliably. NNF uses the information from ORCID to ensure that grantees receive full credit for their work for the benefit of both individual researchers and their institutions.

Please note, that the ORCID number will not be shown in the submitted application.

#### Notes for the Institutional Information

- This section relates to your present employment details.
- The "[Institution / University](#)" field contains a menu of research institutions within the Nordic countries.

You will receive an e-mail confirming your registration as a new user.

If you need to change your name or e-mail address you must contact the foundation.

#### Creating and completing an application

- After receiving a new user e-mail, an application is created by clicking the "[Create application](#)" icon in the start menu, under "My work items". This icon should be utilized only once for creating the grant application. The application is then stored in the system and it is possible to return to it repeatedly until the completed application is submitted.
- It is necessary to save the data in the application while it is being worked on. The "[Save](#)" function button found at the bottom of each application step saves all application data as it exists at the time the save is performed. The Save button is next to the "[Back](#)" and "[Continue](#)" buttons, which are used to move between the different steps. By pressing "Continue" the system checks that mandatory fields are filled and saves the content before moving to the next step. You can only move through the steps in the given order.
- To prevent loss of data, it is essential to press "[Save](#)" before you leave the application system or use the menu to the left. Exit/logout of the application and system is performed simply by closing the application and system windows. When you return to the application, it will be at the step where it was exited.

- After the application has been created and while it is in the process of being completed, the application is accessed through “My work items” in the lower part of the screen, and you can at all times see in which step of the application you are working.
- If the “[Create Application](#)” icon has been utilized more than once, additional applications will be present. In this case, the applicant must choose one to complete and submit. It is not possible for applicants to delete additional applications - these will be deleted in the system after the application deadline.
- The application cannot be submitted until all mandatory fields have been completed. Instructions for the final submission steps are found in “Step 7 – Total application / Application pdf” at the end of this file. Submitted applications can be found in the “[Applicant](#)” menu in the left side.

#### Application texts

- Text from word processing files can be pasted (using CTRL+C/CTRL+V) into the text fields of the application. Due to system compatibility requirements, most formatting is lost upon pasting and needs to be re-formatted within the text fields. The available functions for formatting text are at the top of the fields. The function marked with the Greek letter Omega (Ω) is a special character dialog box that can be used to insert special letters and symbols. It is vital to check that special letters and symbols have not been converted or lost in the text fields. Unicode-formatted letters and symbols are not converted/lost upon pasting, Greek letters created via Symbol font may not remain as Greek letters when pasted into the text fields.

The applicant is responsible for the legibility of the text in the application.

- Text fields have a maximum number of characters, which include spaces (but not lines).

#### Illustrations

Figures/charts/tables/images, etc. are all classified as illustrations. The application may contain **up to 4 illustrations**, which must be in **jpg** or **jpeg** format.

The details for uploading illustrations are provided in application step 4 below.

## 4) Guidelines for completing the application

The online application has seven steps.

- Step 1 is where the grant area is selected and an application is created.
- Steps 2-6 comprise the five parts of the actual application.
- Step 7 is used to preview the application, to create a pdf file of the application and to submit the final application pdf to the NNF.

#### Please note

- Some text fields or steps are not included or required for all types of applications.
- Legends above each text field specify the requirements for that specific text field (in cases where there is a discrepancy between the legend and these guidelines, the legend takes preference).
- Character limits and the number of used characters are indicated below each text field.

#### Step 1 – Choose grant area

Choose the desired grant area from the “drop-down” menu.

Choose application language if a choice is present. Please note that the system language changes according to this selection.

To continue and to complete the application, it is necessary to read and accept the NNF’s standards for good research practice. These can be found on the NNF website and can be accessed through the link in Step 1.

## Step 2 – Personal information

### **Important**

It is not possible to modify your name or e-mail address in the application. If you need to change either, you need to contact the foundation. You can change all other information either in the application or in the “Personal information” menu in the top bar. If you want to change the information that is stored for you as a user, please press “Personal information” in the upper left part of the screen. Complete the fields as required and relevant before clicking “OK”. It is then necessary to create a new application in the Start menu for these changes to be incorporated into your application.

### *Personal information*

ORCID: Please see the information in section 3, above.

Social security number (Det Centrale Personregister, CPR, in Denmark) - Information concerning use and confidentiality:

For the purpose of processing your application the Novo Nordisk Foundation will register and process certain personal information about you, including your social security number. The social security number is registered in order for the Novo Nordisk Foundation to be able to obtain anonymous data from Statistics Denmark in connection with analysis concerning grants made by the foundation. Please note, that the social security number will not be shown in the submitted application.

By providing the personal information, including the social security number and submitting the application you confirm to have read this information and that you consent to your personal information being registered and processed as described.

In connection with the Novo Nordisk Foundation’s processing of your personal information you are entitled to 1) request access to processed personal information about you, 2) object to the processing of your personal information, and 3) to have incorrect or misleading personal information or personal information processed in violation of mandatory law deleted, corrected or blocked.

The Novo Nordisk Foundation, Tuborg Havnevej 19, 2900 Hellerup is the data controller and LXP Consulting, Arne Jacobsens Allé 16, 3. Sal, 2300 København S, may as data processor receive and process personal information on behalf of the Novo Nordisk Foundation.

### *Applicant’s curriculum vitae*

Please provide your brief CV. Note that references for recent publications are to be entered two fields below and need not be listed here. (max. 4,000 characters)

### *Summary of own research*

Please summarize your own research that is of relevance to this application. (max. 2,000 characters)

### *Publications*

Please provide the complete reference information for your most important recent publications (up to 10). (max. 4,000 characters)

### *Supplementary personal information*

This field can be utilized if there are special circumstances regarding your application that the review committee should be aware of. (max. 2,000 characters)

## Step 3 – Short description

### *Project information*

Enter the title and the main location where the project is expected to take place. Enter the start and end dates of the project. The project must be started within one year after receiving the grant, unless otherwise indicated.

*Brief project description*

Please provide a concise description of the project. (max. 2,000 characters)

*Category choice*

In the Category fields, characterize the research project by selecting the most relevant research type, method and subjects. Research subjects are accessed through the "Add button" and up to 3 selections in this category can be made. To access all of the category 3 choices, use the "Add" button at the bottom of the menu.

**Step 4 – Detailed description including illustrations**

*Project description*

Please describe your proposed research project in detail – including purpose, background, methods, co-applicants and other partners, and the significance of the project. The maximum character count depends on the specific grant area.

Figures, tables, diagrams etc. (illustrations) can be uploaded below the text field. Please only upload illustrations relevant for the assessment of your application.

*Uploading illustrations*

Up to **4 illustrations** may be uploaded in step 4 via the Upload function near the lower right corner. The illustrations must be uploaded in **jpg or jpeg format**. Include the illustration number and legend within each illustration file.

An individual illustration file may not exceed **1.5 MB**, and should be max. 700 x 900 pixels.

File names can only contain the letters a-z, and not the Danish letters æ, ø or å, and cannot contain spaces or numbers.

To upload illustrations:

1. Click "Upload" on the lower right corner.
2. For each picture, click "Browse", and find the file on the computer.
3. Click "OK" to upload. For slow internet connections, this may take a few minutes.
4. When the picture has been uploaded, it can be viewed on this page.

**Step 5 – Literature references for the detailed description**

Provide the reference information for the literature cited in the detailed project description. (max. 4,000 characters)

**Step 6 – Budget**

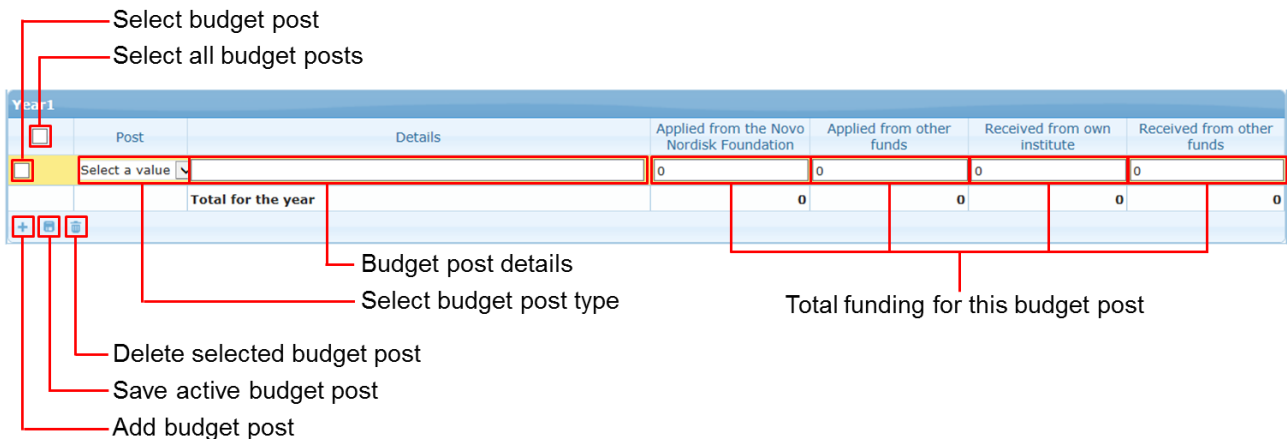
Enter the requested budget into the budget spreadsheet, including the financial support requested from the Novo Nordisk Foundation and the funding amounts for the same project from other sources.

The budget amount for each year is found in the bottom row of each year, and the amount for the total budget, including all years, can be found below the budget table.

*Important notes for the budget spreadsheet*

- All amounts must be stated in Danish Kroner (DKK) – whole amounts only.
- When entering DKK amounts, do not use periods, spaces or commas.
- When choosing a budget post, an amount should also be entered.
- If you convert currency to DKK include the cost in the original currency and the exchange rate in the "Details" field.
- Add a new budget line by clicking "+".

- Activate a budget post by clicking anywhere on the relevant budget line. The active budget line is shown in yellow (note that the most recently modified budget line remains yellow even after saving).
- Select the relevant “Post” in the dropdown menu and introduce the requested value in the “Applied from the Novo Nordisk Foundation” field, in the right side of the budget.
- In the “Details” field carefully itemize the expenses for each budget post.
- IMPORTANT: Each budget post must be saved by clicking the “Disc” icon below the budget line.
- An introduced budget line can be deleted by clicking the “Waste bin” icon.



**Figure.** Budget spreadsheet with active fields indicated.

*Supplementary information for the budget*

This field can be utilized if there is special budget-related information that the review committee should be aware of. (max. 4,000 characters)

*Grants previously received from the Novo Nordisk Foundation in the last 3 years*

If you have received funding from NNF in the last 3 years, it is necessary to provide information about this in the field below. (max. 2,000 characters)

*Status report*

If you are applying for funds for related ongoing research that is already supported by the NNF, you must describe the status of this so that its progression can be evaluated. Include the number of the application and other relevant information. *If you fail to complete this field, the application will be rejected.* (max. 2,000 characters)

*Approve and preview application*

The applicant must certify that the information provided in the application is true and accurate, by checking the box at the bottom of the page.

The application must then be previewed before submission, to ensure that it is complete and legible. Click “[Preview application](#)” at the bottom of step 6, in order to access the application preview in step 7.

**Step 7 – Total application / Application pdf**

This step is used to preview the entire application and to ensure that all required information is included.

It is possible to return to previous steps to enter or change information, by clicking “[Back](#)” at the bottom of the page. When all desired information has been properly introduced in the application, click “[Create PDF](#)”, which generates the application pdf file at the bottom of the page. Open the created pdf file by clicking on the pdf icon.



If the application and the pdf is to be modified, click "Back" at the bottom of the application. It is then possible to return to any application step, after which *the application must again be previewed, and a new pdf file created.*

When the final application pdf is complete, the last step of the submission process is to click "Submit application" at the end of the application.

After sending the application, you will receive an email confirmation of your application together with the submitted pdf. This pdf can also be accessed in the application system under "Submitted applications" in the "Applicant" menu. If you do not receive an email with your application pdf, please contact the NNF at [nnfond@novo.dk](mailto:nnfond@novo.dk) immediately.

*March 2015*