

Collaborative Funding Grant (CFG)

CFG Program Guidelines & Instructions

Deadline for Application

Proposals must be submitted via the North Carolina Biotechnology Center online application by:

First Cycle: **July 28, 2010 Noon**
 Second Cycle: **January 26, 2011 Noon**

⊗ *Proposals sent by fax, e-mail or hard copy will not be accepted.*

This grant is jointly sponsored by the Kenan Institute for Engineering, Technology, and Science at North Carolina State University and the North Carolina Biotechnology Center. For more information about the Kenan Institute, visit www.ncsu.edu/kenan.

Program Requirements

Purpose

To support a postdoctoral researcher or technician in a university research laboratory designated as a *Kenan Institute/North Carolina Biotechnology Center Fellow*, who will perform a project of commercial interest under the guidance of a principal investigator. This grant is designed to:

- Generate discoveries that the company partner might develop further to stimulate economic development and create jobs.
- Promote long-term cooperation among North Carolina universities, nonprofit

research institutes, and North Carolina biotechnology companies.

Funding and Matching Requirements

- Up to \$50,000 awarded per year for two years (to a total of \$80,000 per year with matching funds) including contributions from these sources: Biotechnology Center, Kenan Institute, partnering company, and applying university. As indicated in the chart below, the size of the partnering company determines the amount of contributions from each source.
- General guideline for the \$60,000 portion of the award: \$45,000 should be used for salary support of the postdoctoral researcher or technician; \$15,000 may be used for supplies, travel, or other expenses that support the project.
- ⊗ *Center grants do not support indirect costs, patenting costs, or cost of clinical trials.*
- ⊗ *Company contribution should be cash, not in-kind.*
- After the award is announced, the company must release funds before funds will be released from the Kenan Institute and the North Carolina Biotechnology Center.
- All award funds are disbursed directly to the university or nonprofit research institute of the principal investigator.

Company Size	Company Contribution	Center/Kenan Contribution	University In-Kind Contribution	Total with Match
1-10 employees	\$10,000	\$50,000	\$20,000	\$80,000
11-100 employees	\$15,000	\$45,000	\$20,000	\$80,000
101 or more employees	\$20,000	\$40,000	\$20,000	\$80,000

Who May Apply

Applicants must be North Carolina-based and associated either with a nonprofit research institute or principal investigator from an academic institution *in partnership with* a North Carolina-based company engaged in biotechnology research.

- For grants awarded to academic institutions, the principal investigator must hold a full-time tenure-track faculty appointment.
- For grants awarded to nonprofit institutions, the principal investigator must hold a full-time permanent appointment.
- Principal investigator(s) that hold a position in the partnering company are eligible to apply but must provide a statement demonstrating that the relationship has been disclosed to the appropriate university office and that a management plan has been put in place with the university to mitigate any potential conflict of interest issues.

Company Criteria

1) A North Carolina company with:

- demonstrated IP owned or licensed by the company **and**
- a CEO who resides in NC, or documents significant company presence in NC as required by Center Staff

OR

2) A National or Multinational Company with significant presence in North Carolina such as a Research or Manufacturing Facility or Regional Headquarters.

Preliminary Consultation

Although not required, a preliminary consultation may be helpful to the applicant. To find out if a project that you plan to submit qualifies for this grant—or to obtain additional information—call the **Core Programs Director** at 919-549-8842 or send an e-mail to virginia_deluca@ncbiotech.org. Please contact us *at least* two weeks prior to the deadline if you would like to request a consultation.

Review Process

The review process has three parts:

- Examination by Center staff, to ensure the proposed project relates to biotechnology and meets basic requirements for the grant.
- Peer review by a combination of business and out-of-state academic reviewers. Both Scientific Plan and Company Business Plan will be reviewed.
- Final review and award by the designated committee of the Biotechnology Center's Board of Directors.

Evaluation Criteria

- Logical and technically feasible project plan.
- Value of project to move the technology towards commercialization, and project's alignment with company's business plan.
- Potential for commercial or economic return to the company and to North Carolina.
- Thorough knowledge of the current state of the field and technology required for successful completion of the project.
- Reasonable probability of success taking into account staff qualifications and availability of space and equipment, etc.
- Budget sufficient but not inflated.
- Appropriate duration for project.
- Business plan will be evaluated on intellectual property; company management, structure, financing, and expertise; market potential; business model; and competition and commercialization strategy.

NOTE: Proposal and business plan may be evaluated separately by different reviewers.

Post-award Reporting

Brief post-award reports are required. More information on reporting requirements will be provided on request or if a grant is awarded.

Information Release

It is the policy of the North Carolina Biotechnology Center to announce awards through press releases and other publications. These communications typically include the Project Title and Public Information Summary that are provided by the applicant on the proposal Cover Sheet. No information is released on declined proposals.

Confidentiality

The Biotechnology Center will endeavor to maintain the confidentiality of all applicants' information. However, the applicant is responsible for not disclosing any information that should not be reviewed outside of the Biotechnology Center.

Application Instructions

Please use the checklist provided to make sure ALL components of the proposal application are included. The checklist should be included as part of your proposal submission.

Step 1: Read the Guidelines & Instructions

Thoroughly read the CFG Program Guidelines & Instructions prior to submitting an application. If you have any questions about the program, please contact Ginny DeLuca, Core Programs Director at 919-549-8842 or by email at virginia_deluca@ncbiotech.org.

Step 2: Prepare the Proposal

Prepare the Proposal as directed below (maximum size is 1MB):

- ⊗ *Applications that do not follow all these requirements will be rejected without review.*

General Proposal Formatting Guidelines

- Use standard font (such as Arial or Times New Roman) no smaller than 12 point.
- Page set-up should be for single-spacing on 8½"x11" paper.
- Number each page.

- Margins should be ¾" to 1".
- Each section should be titled using the header sections listed below and should match the Table of Contents.
- Do **not** use logos or letterhead on **any** pages of the Proposal.

Proposal Requirements

The Proposal must include the following sections:

- **Table of Contents**
Include title, PI name, institution and page numbers.
- **Abstract**
Include a one- to two-page description of the project.
- **Significance**
Describe the practical merits of the proposed research and the impact of the research on the company's efforts to commercialize biotechnology or related bioscience products or services. **Be sure to include specific information on what product(s) will be developed and their marketability, and any related intellectual property issues.**
- **Background**
Summarize published research results related to your project, as well as unpublished information on its feasibility. Provide credentials on the partnering company and its connection to the research project.
- **Research Plan** (maximum 15 pages)
 - Technical objectives
 - Experimental design and methods
 - Data analysis and interpretation
- **Alignment of Research Goals** with the Company's Business Plan
- **Facilities** (available/required)
 - Space
 - Equipment
- **Budget Justification**
Explain each line item on the **CFG Budget Sheet**. The entire project budget must be justified, including items to be funded by CFG funds and items funded by other sources. If other sources (other than institution and company matching funds) are required for the project, explain these other sources.

- **Project Timeline** (with target dates and preferably a graphic). See our FAQ website link for examples: http://www.ncbiotech.org/services_and_programs/grants_and_loans/faq.html
 - For each part of the project, indicate which investigator will be doing the work.
- **Bibliography** (full citation including title and complete author list)
- **Current and Pending Grants** (if applicable; related to this project only)

For each grant, provide the following information:

- Funding agency
- Project title
- Award amount
- Duration of award
- **PI / Company Relationship**
 - State the PI's relationship with the company partner
 - If a significant relationship exists with the company, demonstrate that the PI has disclosed this relationship to the university and that a management plan has been put in place with the university to mitigate any potential conflict of interest issues associated with funding this project.
- **Statement Regarding Intellectual Property Agreement**
Provide a written statement assuring that there is an agreement between the company and the university on intellectual property rights for the project. (A copy of the agreement is not required at this point.)
NOTE: Biotechnology Center, Kenan, and Company contributions associated with this program are not subject to overhead.
- **Biographical Sketches**
For the principal investigator, the postdoctoral fellow, and all other key personnel, include a biographical sketch with a list of publications that documents each investigator's expertise in the proposed project. **Limit each sketch to one (1) page following the BIOGRAPHICAL SKETCH format provided by the link on the website.** Include the biographical sketch(es) at the end of your proposal for submission.

- ⊗ *Failure to follow directions for the biographical sketch will result in rejection of proposal.*

Convert your Proposal into a PDF document

Convert your electronic document directly into a PDF file. If you do not have the full version of Adobe Acrobat, the following websites offer free PDF conversion software:

- *convert.neevia.com* Document Converter eXpress (no downloads required; convert to PDF right on the web)
- *http://www.pdf995.com* Pdf995 (downloadable software)
- *sourceforge.net/projects/pdfcreator* PDFCreator (downloadable software)
- ⊗ *Do not print and scan the proposal to convert to PDF – this will cause the PDF to be significantly larger (more megabytes).*
- ⊗ *Applications that do not meet these format requirements will not be considered.*

Step 3: Submit Company Materials

The following information should be provided by the partnering company and forwarded to the PI for submission as a PDF file. (Maximum size is 1MB.)

- **Business Plan or Executive Summary**
Required information:
 - Company overview, include company's presence in North Carolina, number of employees and growth projections (i.e. employees, revenue)
 - Technology overview and scientific milestones
 - Intellectual property
 - Products and/or service offerings
 - Market projections
 - Development strategy including competition and competitive advantage
 - Commercial strategy including revenue model, current sources and projections for any funding needs along with potential targets (ex. Need \$500,000-800,000, targeting local angel investor groups)
 - Exit strategy
 - Management team, advisors, board members

- **Demonstration of Intellectual Property**
 - Provide information on Company's Intellectual Property including patent number(s) or filing number(s) etc.
- **Statement of Commercial Strategic Importance**
 - Describe the economic value of this project to the Company's commercial strategy
- **CV(s) of Key Company Personnel Involved in Project**

Step 4: Complete the Budget

Prepare your Budget using the **CFG Budget Sheet** provided by the link on the website. http://www.ncbiotech.org/grants/collaborative_funding/documents/cfg_11_budget.xls

All funds requested on the Budget Sheet must be justified under the Budget Justification section (above) of your proposal. The Budget is provided in Excel format and may be submitted as an Excel file.

- ⊗ *The title of the project **must** be included in the "Project Title" box at the top of the Budget Sheet.*
- ⊗ *Failure to use the Budget Sheet provided will result in rejection of the proposal.*

If you have a question about a particular item or about your overall budget, we strongly encourage you to contact us at least **two weeks** before the application deadline. For a consultation, contact Ginny DeLuca, Core Programs Director at 919-549-8842 or virginia_deluca@ncbiotech.org.

Budget Guidelines

Duration of Funding: two years

Allowable budget items include:

- Salary/benefits for the postdoctoral fellow or technician
 - Maximum \$45,000 in salary and benefits for 100% effort; maximum will be prorated for lesser effort
 - Fellow or technician must dedicate minimum of 90% effort to the project
- Materials and supplies (broken down into categories of \$5,000 or less)
- Travel to research sites by PI and fellow (for

projects involving two or more institutions/ organizations or if research requires offsite visits)

- Travel to conferences by fellow (only if presenting research findings from this project)

University in-kind matching funds may include:

- Materials and supplies
- Facility/equipment use
- Faculty release time

Unallowable budget items include:

- Publication costs
- Communications costs
- Tuition
- Service contracts
- Overhead/indirect costs
- PI salary

Step 5: Gather Supporting Documentation

Combine the following Supporting Documents into a **single** PDF file. You can accomplish this by scanning them together all at once and then save as or convert to PDF (maximum size is 1MB).

- **Cover Sheet**
http://www.ncbiotech.org/grants/collaborative_funding/documents/cfg_11_coversheet.doc

NOTE: This Cover Sheet replaces the Institutional Letter of Support previously required. Other Letters of Support are still required. This sheet must be the first page of the Supporting Documentation PDF.

- **Company Statement of Intent and Certification**
Use form provided. Complete the form and print for signature.
- **Support Letter from the University** (describing in-kind match and other support)
- **Documentation of IRB Approval** (for projects involving any human subjects)
- **Documentation of IACUC Approval with Animal Welfare Assurance #** (for projects involving any animal studies)

Important note: FOUR and only four documents should be submitted.

- Proposal (PDF; max size 1 MB)
- Supporting Documentation (PDF; max size 1 MB)
- Budget Sheet (Excel or PDF)
- Business Plan (PDF; max size 1 MB)

Now that you have all the required attachments ready:

Step 6: Complete the Online Application Form

Open the Application Form

https://www.GrantRequest.com/SID_466?SA=SN&FID=35007. Complete all pages of the form.

You can stop and save at any time and return to finish later.

The online application form includes a field for the **Public Information Summary**. If your proposal is funded, this concise, easy-to-read summary may be used in Biotechnology Center press releases, annual reports, and other publications. This summary is not an abstract and should **not** include complex scientific terminology. This summary is intended for a lay audience, allowing the Biotechnology Center to share granting information with the general public and other interested parties. The maximum allowable length for this summary is **50 words**.

Step 7: Attach the Required Documents

Follow the online instructions for attaching the Required Documents.

- The Proposal, Budget, Business Plan and Supporting Documentation should each be attached as four separate files.

Important note: Only **ONE** of each of the above file types may be attached to the application for a **total of four attachments**. Proposals submitted with more than four attachments will be **rejected**. The total of the four documents should be no more than 3MB. Proposals submitted with larger attachments will be rejected.

Step 8: Review and Submit

Carefully review your application package using the checklist provided on the website then submit your MRG application prior to the Grant Program Deadline.

Submission of your grant application indicates that:

1. You have read and understand the information and directions in this Application Package and agree to be bound by the conditions stated herein.
2. You release the North Carolina Biotechnology Center from any claim for damages caused by:
 - a. Disclosures required under the provisions of any North Carolina or United States law, statute, or regulation,
 - b. Disclosures made in connection with the North Carolina Biotechnology Center's funding review and approval process,
 - c. Disclosures required by rule or order of any court of competent jurisdiction, or
 - d. Any other non-negligent, inadvertent, unintentional, unknowing, or immaterial disclosure.
3. All research conducted during the proposed project is performed in accordance with established university policies and procedures, including—but not limited to—policies and procedures applicable to research involving human subjects, laboratory animals, or hazardous agents and materials.
4. If the project proposed involves vertebrate animals, the project complies with federal guidelines for vertebrate animal care and experimentation.

You will receive a confirmation email notifying you that the Biotechnology Center has received your application. Any Center request for additional proposal information must be addressed within 24 hours.

Science and Technology Development Program

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See our grant application Web page at www.ncbiotech.org/grants