

## Collaborative Funding Grant (CFG) CFG Program Guidelines & Instructions

### Deadline for Application

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

**NOON, Wednesday, February 11, 2015**

See [www.ncbiotech.org/grants](http://www.ncbiotech.org/grants) for the Center's policy on deadlines in the event of inclement weather.

⊗ *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](http://www.ncsu.edu/kenan).

Application materials and the link to the online application form can be found on the [CFG webpage](#).

### Program Requirements

#### Purpose

To promote long term cooperation among North Carolina universities, nonprofit research institutes, and North Carolina biotechnology companies. This grant provides funding for a postdoctoral researcher or technician, to be designated as a Kenan Institute/North Carolina Biotechnology Center Fellow, in a university research laboratory

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 in North Carolina.
- Assist a company in advancing its technology towards commercialization or to explore new areas of development through a university-company partnership that enables access to expertise and resources.
- Support research that will assist a company in reaching a commercially significant research milestone.

#### Funding & Matching Requirements

See Budget Guidelines on page 5 for details on allowable/unallowable costs.

- \$50,000 awarded per year for two years (to a total of \$90,000 per year with matching funds) including contributions from these sources: Biotechnology Center, Kenan Institute, partnering company (\$20,000 match/year), and applying university (\$20,000 match/year) as indicated in the chart below.
- As a general guideline for the award: \$50,000 per year should be used for salary support of the postdoctoral researcher or technician; the remainder may be used for supplies, travel or other expenses that support the project.
- ⊗ *This program does not support clinical trials, indirect costs, or patenting costs.*
- ⊗ *Company contribution should be cash, not in-kind.*

	Company Contribution	Center/Kenan Contribution	University In-Kind Contribution	Total with Match
<b>PER YEAR</b>	\$20,000	\$50,000	\$20,000	\$90,000
<b>TOTAL</b>	\$40,000	\$100,000	\$40,000	\$180,000

After the award is announced, the company must release the first year's matching funds before awarded funds will be released from the Kenan Institute and the North Carolina Biotechnology Center.

- All awarded funds are disbursed directly to the university or nonprofit research institute of the principal investigator.

## Who May Apply

Applicants must be a Principal Investigator from a North Carolina academic or a nonprofit research institute *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) from universities who are company founders may not hold a position with the management of the company. In addition, they must submit a signed Statement of Compliance with University Policies Form and indicate that a management plan has been put in place with the university to mitigate any potential conflict of interest issues.
- ⊗ *A principal investigator may have no more than two active Center awards at the same time.*

## Company Eligibility Criteria

Eligible partnering companies must meet one of the following criteria:

1) A National or Multinational Company with significant presence in North Carolina such as a Research or Manufacturing Facility or Regional Headquarters. The collaboration must involve the North Carolina entity.

**OR**

2) A North Carolina company that:

- has demonstrated IP owned or licensed by the company *and*
- has its head office (where books and records are kept, taxes are paid, and senior management is located) in North Carolina as reported to the Secretary of State and/or (ii) conduct significant research, product

development or manufacturing activity in North Carolina; *and*

- be engaged in life science research, development or manufacturing to develop a product or technology with commercial potential; *and*
- has an experienced management team with demonstrated expertise in commercializing technology products and in soliciting company funding with at least one management team member significantly engaged and dedicating at least 30 hours per week to the company and focusing on the company as his/her primary employment.

## Preliminary Consultation

---

Although not required, a preliminary consultation is recommended for this program. Please contact us at least **three weeks prior** to the deadline if you would like to schedule a consultation or have a draft reviewed. Contact information is provided at the end of this document.

## Resubmissions

---

If this is a resubmission of a previously submitted CFG proposal, contact Deborah De at 919-549-8845 or [Deborah\\_De@ncbiotech.org](mailto:Deborah_De@ncbiotech.org) to indicate your intent. You will receive instructions for including a response to the previous reviews in this proposal.

## Review Process

---

The review process has three parts:

- Examination by Biotechnology 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. *All proposal documents other than the "supplementary confidential business information" file will be externally reviewed.*
- Final review and award by the designated committee of the Biotechnology Center's Board of Directors.

Note: The project proposal and business plan may be evaluated independently by different reviewers.

## Evaluation Criteria

---

Review criteria will include but may not be limited to the following:

- Logical and technically feasible project plan.
- Value of project to move the company's 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 the 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.

## Post-award Reporting

---

Post-award technical and financial reports are required. More information on reporting requirements will be provided on request or if a grant is awarded.

After a grant is closed, participation is expected in biennial surveys to track information on subsequent funding, patents, publications, jobs, etc. that are a direct result of an award. This information will be used in support of justifying state funds for our programs and may be collected for up to 10 years.

## 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 with the online application. 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.

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

### Step 1: Read the Guidelines & Instructions

Thoroughly read these CFG Program Guidelines & Instructions prior to submitting an application. If you have any questions about the program, use the contact information at the end of this document. Please refer to the [FAQs](#) on our website for information regarding program-specific questions and more.

### Step 2: Prepare the Project Proposal

Prepare the Project Proposal as directed below:

#### General Proposal Formatting Guidelines

- Use standard font (such as Times New Roman, Calibri, or Cambria) 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 *except* for support letters.
- Judicious use of headings and white space for ease of reading is appreciated.

## **Project Proposal Requirements**

The Project Proposal must include the following sections. Include the **headings** as shown below.

- **Table of Contents**  
Include title, PI name, institution, company partner and page numbers.
- **Abstract**  
Include a one-page description of the project.
- **Significance** (maximum two pages)  
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 its marketability.*
- **Background** (maximum six pages)  
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 and any related intellectual property issues.
- **Research Plan** (maximum 10 pages)
  - Technical objectives
  - Experimental design and methods
  - Data analysis and interpretation
- **Alignment of Research Goals** with the Company's Business Plan
  - Provide a statement on how the CFG project aligns with the Company's overall business plan.
- **Facilities** (available/required)
  - Space
  - Equipment
- **Budget Justification**  
Provide an explanation for each line item included on the **CFG Budget Form**. 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 and provide a letter of commitment.
- **Project Timeline** (with target dates and preferably a graphic) See examples in the *FAQs*.
  - For each part of the project, indicate the expected timeframe for specific objectives, aims and sub aims.
- **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:

- PIs
- Funding agency
- Project title
- Award amount
- Duration of award
- Indicate how this project is distinct from other listed projects
- **PI / Company Relationship**  
State the PI's relationship with the company partner.
- **Intellectual Property**
  - Provide a brief statement of Intellectual Property associated with this project.
  - Indicate how any new IP discoveries during the project will be handled.
- **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 biographical sketch to one (1) page; must use the NCBIotech Biographical Sketch form provided by the link on the website. Include the biographical sketch(es) at the end of your proposal.

## **Convert Your Proposal into a PDF Document**

Convert your electronic document directly into a PDF file.

- ⊗ *Do not print and scan the proposal to convert to PDF – this will cause the PDF to be significantly larger.*
- ⊗ *Applications that do not meet these format requirements will not be considered.*

## **Step 3: Collect Company Information**

The PI is responsible for collecting all company materials required for the proposal as listed below:

- **Company Background Form**  
Use the form provided.
- **Letter from CEO or other Budgetary Official Committing Matching Funds**  
The specific dollar value of the matching contribution must be included in the letter. This letter(s) must be on letterhead and signed by an authorized individual.

- **CV Form(s) for Key Company Personnel Involved in Project** Use the *company* form provided, not the PI Bio Sketch form.
- **Current or Pending Company Loans and Grants** Indicate how this project is distinct from other listed projects.
- **A Business Plan is required for private companies.** Public companies may provide links to annual report and other information. See Company Background Form for details.
- **Confidential Company information (see Review Process)**  
Current balance sheet, income and cash flow statements; licensing information. Other strictly confidential data may be included for Center Staff review. Please note, however, that sufficient company details must be provided within the other documents in order for external reviewers to thoroughly evaluate the proposal.
- Fellow or technician must dedicate a minimum of 90% effort to the project
- Materials and supplies (Itemize; group into categories no larger than \$5,000, if possible).
- 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)

#### **Unallowable budget requests include:**

- Company employee salary
- Publication and patenting costs
- Communication costs
- Tuition
- Service contracts
- Indirect/overhead costs
- Secretarial services
- Office supplies
- PI salary

#### **Matching contributions:**

#### **University matching funds may include cash or:**

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

#### **Company matching funds should be a cash contribution.**

## **Step 4: Complete the Budget**

Prepare your Budget using the **CFG Budget Form** provided by the link on the website.

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

The title of the project **must** be included in the "Project Title" box at the top of the Budget Form.

⊗ *Failure to use the Budget Form 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 **three weeks** before the application deadline.

### **Budget Guidelines**

Duration of Funding: two years.

#### **Budget requests:**

#### **Allowable budget requests include:**

- Salaries/benefits for the postdoctoral fellow or technician
  - \$50,000 in salary and benefits per year is recommended for 100% effort; maximum will be prorated for lesser effort

## **Step 5: Gather Supporting Documentation**

Supporting Documents should be submitted as four separate PDF files (I-IV below). If letters of support or other documents are scanned, make sure that the resulting pdf files do not exceed the limitations noted in Step 7.

### **I. University Related**

- **Cover Sheet (required):** Prepare your cover sheet using the **CFG Cover Sheet** provided by the link on the website.

**Note:** This sheet must be the first page of the University Related Supporting Documentation PDF.

- **Support Letter(s) from the University or Department (required):** Include a statement describing the in-kind match and other matching funds. The specific dollar value of the matching contribution must be included in the letter. This

letter(s) must be on letterhead and signed by an authorized individual.

- **Documentation of IRB Approval** (for projects involving any human subjects)
- **Documentation of IACUC Approval with Animal Welfare Assurance #** (for projects involving any animal studies)
- **Statement of Compliance with University Policies (required):** Use the form provided.
- **Letters of Support from Co-PIs, if applicable**
- **Letter(s) of Commitment from other sources of funds, if applicable**

### II. *Business Related (all required)*

- **Company Background Form:** Use the form provided.
- **Funding Support Letter from Company CEO or budgetary official committing match (required).** The specific dollar value of the matching contribution must be included in the letter. This letter(s) must be on letterhead and signed by an authorized individual.
- **CVs for key company personnel** Use *company* form provided, not the PI Bio Sketch form.
- **Current and Pending Company loans/grants** Indicate how this project is distinct from other listed projects. If none, insert a heading and indicate “not applicable”.

### III. *Business Plan*

Public companies may provide links to annual report and other information. See Company Background Form for details.

### IV. *Supplementary Confidential Business Information (see Review Process)*

Must include:

- Current balance sheet, income and cash flow statements
- Copy of Licensing Agreement

Other strictly confidential data may be included for Center Staff review. Please note, however, that sufficient company details must be provided within the other documents in order for external reviewers to thoroughly evaluate the proposal.

## **Step 6: Complete the Online Application Form**

Open the Application Form located on the [CFG webpage](#). Complete all pages of the form. You can stop and save at any time and return to finish later.

### **Public Information Summary**

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 and other publications.

This summary is intended for a general audience, allowing the Biotechnology Center to share granting information with the general public and other interested parties.

- This summary should **not** include complex scientific terminology
- The summary should convey why the project is important to the citizens of NC
- 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.

**Important note:** Only **ONE** of each of the following files may be attached to the application for a **total of six attachments**. Proposals submitted with more than six attachments will be **declined**.

**There is a 10 MB limit for all six files.** Review your files before attaching to make sure that they are not excessive in size. There are tools available for reducing pdf file size.

The following should each be attached as six separate files.

1. Proposal
2. Budget Form
3. University Related Supporting Documentation
4. Business Related Supporting Documentation
5. Business Plan
6. Supplementary Confidential Business Information

## **Step 8: Review and Submit**

Carefully review your application package using the checklist provided on the website then submit your CFG 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.

## **Contact Information**

Deborah De ("day")  
Director, Grant Process Operations  
North Carolina Biotechnology Center  
15 T.W. Alexander Drive  
P.O. Box 13547  
Research Triangle Park, NC 27709

[Deborah\\_De@ncbiotech.org](mailto:Deborah_De@ncbiotech.org)  
919-549-8845

**Science and Technology Development Program** | North Carolina Biotechnology Center  
15 T.W. Alexander Drive • P.O. Box 13547 • Research Triangle Park, NC 27709-3547  
919-541-9366 • For more information, see [www.ncbiotech.org/grants](http://www.ncbiotech.org/grants)