Technology Enhancement Grant (TEG) Proposal Guidelines & Instructions

Deadline for Application

Fiscal Year 2018-2019:

NOON, Wednesday, October 3, 2018

Application materials can be found on the TEG webpage at www.ncbiotech.org/teg

The projected start date for TEG awardees is no earlier than February 1, 2019, depending on the terms and conditions of the award.

IMPORTANT: TEG proposals are submitted using an online application system. The submitting PI (TTO representative) must register for an account at least 5 business days before submission of the proposal. See Step 7 page 7 for details.

Read these TEG Program Guidelines & Instructions thoroughly prior to submitting an application. If you have any questions about the program, use the contact information at the end of this document.

Program Details

Eligible Proposals

Eligible proposals must:
• Demonstrate that protection of licensable intellectual property (IP) has been initiated (minimally, the filing of a provisional patent application or the preliminary steps towards trade secret or copyright protection)
• Attest that the IP rights are assigned to the applicant’s institution and have not been committed through license, option or letter-of-intent to license to any third party at the time of application
• Demonstrate that a dialog with an independent potential licensee of the technology has been initiated and/or

Program Requirements

Purpose

A TEG award funds a research study designed to yield data that enhances a university’s licensing position for a commercially promising technology. The applicant for a TEG is a member of a university’s technology transfer office (TTO) or is an authorized technology transfer representative for institutions without a formal TTO. A TEG proposal is written by the TTO in response to a non-binding letter of interest from a potential licensee. The potential licensee will define a set of data required to initiate licensing discussions with the TTO. The proposed project will incorporate study endpoints associated with key milestones as defined by the potential licensee or industry-experienced technology commercialization expert.
an initial review of the technology and its commercial opportunity has been provided by an independent technology development professional

• Outline a project that is designed to achieve a significant technical milestone that addresses an issue directly cited by a potential licensee as a potential obstacle to licensing

Examples of qualifying projects include:
• Proof-of-concept
• Lead identification or optimization
• Target validation
• Prototype development
• Demonstration of scalability
• Preliminary safety testing
• Field trial

TEG projects may be performed by a local contract research organization (CRO) or conducted in the lab of the scientific inventor/PI.

⚠️ Basic or exploratory research that is not directly tied to satisfying a meaningful commercial or licensing milestone is not eligible for TEG support.

Eligible Applicants

Proposals must be submitted by an employee of a North Carolina university or non-profit research institute who (1) works in the institution’s technology transfer office or has licensing authority on behalf of the institution, or (2) supports technology, entrepreneurial, or new venture development within the applicant institution.

⚠️ Neither the inventor/scientific PI nor the TTO representative may have a management or advisory role in or a financial interest in any firms subcontracted with under this award.

⚠️ The inventor/scientific PI may have no more than two active awards from the North Carolina Biotechnology Center.

Funding & Matching Requirements

See ‘Budget Guidelines’ beginning on page 4 for budget details and allowable/unallowable costs.

• The maximum request is $75,000 for a twelve-month project.
• Funding may be used to engage non-academic contract research providers as needed.
• There is no match requirement for this program.

⚠️ NC Biotechnology Center grants do not support any type of overhead or indirect costs.

Preliminary Consultation

A preliminary consultation between the TTO representative and NCBiotech program staff is strongly encouraged for the TEG program. Please use the contact information at the end of this document to schedule a consultation.

Potential applicants will be asked to prepare a brief summary (<2 pages) of their project for preliminary review prior to the consultation.

Resubmissions

If this is a resubmission of a previously submitted TEG proposal, you must contact Deborah De at 919-549-8845 or Deborah_De@ncbiotech.org to indicate your intent and schedule a consultation.
You will also receive instructions for including a response to the previous reviews in this proposal.

**Evaluation Criteria**

Each proposal will be judged on the likelihood that the project will contribute toward the licensing of the technology, including but not limited to the following criteria:

- Appropriate stage of IP
- Suitability of tasks (plan) to enhance the university’s ability to license the IP
- Demonstration that the tasks proposed directly correlate with the expected data to be collected as detailed in the non-binding letter of support from the potential licensee.
- Demonstration that a dialog with potential licensee has been initiated and/or that other independent corroboration of the commercial opportunity has been obtained
- Assurance from potential licensee that the successful completion of the studies outlined in the proposal will advance the licensing discussion

**Post-Award Reporting**

The applicant is responsible for providing periodic post-award technical and financial reports as required. More information on reporting requirements will be provided upon award.

After a grant is closed, the awardee’s participation is expected in biennial surveys to track information on subsequent funding, licenses, patents, publications, jobs, etc. that are a direct result of an award. This information will be used to demonstrate impact of 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. Typically, these announcements 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**

As part of our grants review process, the Biotechnology Center routinely shares the contents of grant applications with both internal and/or external experts to assess the merits of each application. The Biotechnology Center will endeavor to maintain the confidentiality of all information provided by the applicant. While measures are in place to assure the appropriate handling of all information provided, the applicant is responsible for limiting the disclosure of any sensitive information that should not be shared outside of the Biotechnology Center.

We encourage applicants to consult with their university’s technology transfer office (academic applicants) or an intellectual property professional for more specific counsel as necessary.

**Application Instructions**

Application materials are located at www.ncbiotech.org/teg. Use the checklist provided to make sure all components of the proposal application are included.

☞ Applications that do not follow all requirements and instructions will be administratively declined without review.
The TEG proposal is comprised of four documents:
- Cover Sheet
- Proposal
- Budget Form
- Supporting Documentation

**Step 1: Read the Guidelines and Instructions**
Thoroughly read these TEG Program Guidelines & Instructions prior to submitting an application. If you have any questions about the program, please contact us as indicated at the end of this document.

**Step 2: Prepare the Proposal**
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.

**Proposal Requirements**
The Proposal must include the sections listed below. Use the headings provided to identify the sections of the proposal.

**A. Table of Contents**
(does not count toward page limit; should be on a separate page)

The Table of Contents should include:
- Project Title
- Project Director (Technology Transfer Officer or equivalent)
- Scientific PI (research lead)
- Institution
- Page numbers

**B. Project Narrative**
The total page limit for the narrative sections below is 8 pages and must include the following six sections:

1. **Intellectual Property Description**
The technology transfer officer applicant must provide:
   - A detailed description of the IP (e.g., patent, copyright, trademark, trade secret)
   - The nature of the IP claim(s) sought (e.g., composition of matter, method of use or manufacture)
   - A brief discussion of strategic value of the claims (freedom to operate, barriers to entry, etc.)
   - Whether the proposed project is expected to contribute to existing and/or generate additional IP

2. **Licensing Status and Efforts by TTO**
The technology transfer officer must provide information on the current licensing status of the IP and all efforts to date to license the technology.

3. **Background**
Briefly summarize the research that led to the invention.

4. **Commercial Application(s) and Significance**
Discuss the potential commercial applications of the technology and efforts to independently corroborate
the opportunity (e.g., market research results, discussions with industry)

5. **Project Plan**
Describe the technical project aims and/or work required to attract a licensee or enable a licensing agreement. Include detailed information on:
- Aims
- Study design
- Measurement methods and criteria
- Endpoints
- Project success metrics
- Contingency plans

6. **Roles and Responsibilities**
Describe the roles and responsibilities of the key personnel on the project.

⚠️ The potential licensee may not conduct the technical project. These arrangements carry the risk that the project may appear as subsidized R&D for a company, which is not consistent with the objectives of the program.

C. **Project Timeline**
(does not count toward page limit)
Provide a Gantt chart or other table that illustrates the sequence of activities for completing each aim of the Project Plan.

D. **Budget Justification**
(does not count toward page limit)
Explain and justify each line item in the budget. In addition, explain sources of any other funding required for completion of the project.

The Budget Justification should describe the roles and responsibilities of each individual for whom funding is requested. See details under “Salary Requests” in the Budget Guidelines section.

E. **References**
(does not count toward page limit)
Give full citation including title and complete author list.

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**Step 3: Convert your Proposal into One PDF Document**
Convert your proposal 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.

**Step 4: Complete the Budget**
Prepare your Budget using the TEG Budget Form provided on the website (www.ncbiotech.org/teg). The Budget is provided as an Excel spreadsheet and it should be converted into PDF format prior to submission.

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

All funds requested on the Budget Form must be justified under the Budget Justification section of your proposal (described above).

**Budget Guidelines**
TEG funds are intended to support activities directly associated with the execution of a project that is designed to achieve a significant technical milestone in the evolution of a technology to a
licensable commercial product or service. TEG funds are not intended to fully support post-docs or graduate students.

**ALLOWABLE budget requests:**
- Salaries/benefits for personnel who are contributing directly to the technical project. See *Salary Requests* below for eligibility and guidance.
- Equipment, materials, and supplies (itemize; group supplies into categories no larger than $5,000, if possible)
- Outsourced contract research
- Travel for activities directly associated with the execution of the research project

**Salary Requests:**
- **Total salary requested for all key personnel should not exceed 50% of the total budget.** If total salary requests account for more than 50% of the budget, thorough justification of the time and personnel required to complete the project must be provided in the Budget Justification section of the proposal.

- **To-be-named (TBD) personnel are not viewed favorably** in evaluating the strength of the research team, and therefore, should be avoided if possible. This program is not intended to be a training grant for post-docs or graduate students.

- Salary requests for salary for TBD personnel require detailed explanation of the need for a new hire and the timelines anticipated for hiring the TBD personnel.

**UNALLOWABLE budget requests:**
- Salary/benefits for any personnel not directly responsible for executing the technical project.
- Travel expenses for conferences, business meetings, or non-project related activities
- Tuition, stipends, or other student support
- Publication costs
- Patenting costs
- Service contracts
- Indirect/overhead costs/facilities and administrative (F&A) costs
- Secretarial services
- Office supplies

**Step 5: Gather and Combine Supporting Documentation**
Combine the following Supporting Documents into a single PDF file. You can accomplish this by scanning related files together and then save as or convert to PDF.

**Required Letters of Support**

1. **Potential Licensee(s)**
   - Provide a letter(s) of support from any potential licensee(s) or other independent commercial entity corroborating the commercial potential of the technology and the value of the proposed studies. This letter should confirm:
     a) the commercial potential of the technology and licensing interest
     b) the relevance of the proposed studies towards achieving a meaningful technical milestone
     c) the value of the completed project to the licensing discussions
2. Technology Transfer Office Representative
Include a letter from the TTO representative confirming the relevant IP and the office’s licensing efforts to date and describing how this TEG project will fulfill the requirements of one or more licensees.

3. Contract Research Organization Quote
(required if applicable)

We encourage relevant portions of the project to be outsourced to a contract research organization (CRO), preferably one located in North Carolina, when appropriate. If any portion of the project is performed by a CRO, provide a letter from the company confirming the scope of work and the estimated costs.

Optional Letters of Support
Other letters of support as appropriate may be submitted.

Biosketches (required)
Include biosketches of the Tech Transfer Officer, the inventor/scientific PI, and any other key personnel on the project. Use the biosketch form provided on the website.

For projects involving any human subjects or animal studies (required)
- Provide a power analysis indicating that the studies proposed have the correct number of human or animal subjects required to achieve an a priori confidence level of at least 80%
- Document that notification of the research has been made to the Institution’s IRB or IACUC

Step 6: Complete the Coversheet
Use the Cover Sheet form provided on the TEG webpage. The Cover Sheet must be signed by the TTO representative and an authorized official of the Sponsored Research Office of the university or non-profit.

⚠️ Applications that do not have a fully signed coversheet at the time of application may be administratively declined without review. Signatures of the sponsored research office are required and can take multiple weeks to acquire. Plan your submission accordingly.

Step 7: Complete the Online Application Form
IMPORTANT FIRST STEP:
The Tech Transfer representative/Primary Contact for the TEG proposal must register for an account on the NCBiotech Funding Portal at least five days prior to the deadline in order to submit a proposal. The link is https://ncbiotech.fluxx.io.

If you have applied for a grant using the Funding Portal previously (for any NCBiotech funding program), you do not need to register again.

After the registration is completed, log into your Funding Portal account. The TEG application form will be located under the “Apply for Funding” folder at the left of the screen. Follow the instructions provided.
The Tech Transfer representative/Primary Contact for the proposal must submit the proposal through his/her account. TEG proposals cannot be submitted through accounts belonging to the research PI or OSR personnel.

Click [here](#) for more information on the registration and application process.

Proposals sent by e-mail or hard copy will not be accepted.

**Project Abstract**

In the online application form, you will enter the abstract directly into the space provided. Note that space limitations apply.

**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, confidential or proprietary information.
- The summary should convey to the citizens of NC why the project is important.
- The maximum length for this summary is 50 words.

**Upload the Required Documents**

Follow the online instructions for attaching the Required Documents.

**Important note:** Only ONE of each of the above file types may be attached to the application for a total of four attachments.

**Step 8: Review and Submit**

Carefully review your application package using the checklist provided on the website. Submit your TEG application prior to the posted Application 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.

Confirmation of Receipt
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 by the date provided.

Contact Information
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