



UC Proof of Concept Program Commercialization Gap Grants Request for Proposals 1/13/2012

FY 2011-2012 – Proof of Concept: Commercialization Gap Grants Deadlines

PI Letter of Intent Submission Window *rolling approvals	Friday, January 13, 2012 through Tuesday, February 14, 2012
Proposal Submission Deadline	Wednesday, March 28, 2012 (12:00 Noon PT/ 3 PM ET)
Expected Notification of Review Outcome	July 10, 2012
Research Commences	September 1, 2012

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Questions regarding this funding opportunity may be directed to the Research Grants Program Office. E-mail RGPOGrants@ucop.edu or call 510-987-9386

Downloadable copies of this RFP, LOI, Application Instructions, and Program Updates can be found at <http://www.ucop.edu/poc/call.html>

I. UC Proof of Concept: Commercialization Gap Grants Overview

The goal of the UC Proof of Concept: Commercialization Gap Grant (POC) is to accelerate the commercialization of technology developed at and assigned to UC by providing funding to bridge the gap between research and commercialization in the absence of an industry sponsor or investment partner. Projects appropriate for this opportunity have already demonstrated successful results in the research environment and are poised for commercialization pending a specific, targeted demonstration, test result, or prototype for which no other funding is available. Applicants must demonstrate that successful completion of the project would likely result in either a technology being licensed to an existing company or spur the development of a start-up company, and has potential to benefit California and its economy.

II. Scope of Activities

POC projects must propose research and development activities for technologies or products on the brink of commercialization or licensing that must overcome a specific identified hurdle. The successful outcome of the proposed activities should result in technology being licensed or spur the development of a startup company. Applicants must describe a clear path to commercial development, market potential and significant impact of funding on advancement to commercialization for their projects.

Projects solicited under this program may include:

1. Building of a prototype or second iteration prototype to prepare for commercialization.
2. Commercial feasibility tests.
3. Research to demonstrate mitigation of risk for potential licensees.
4. Research to address a specific gap identified by industry that impairs the ability to attract capital.

A POC Grant:

- Provides funding for projects where IP related to the proposal has been disclosed to the campus technology transfer office.
- Is awarded on a one time basis only. Renewals for projects funded in the last cycle are not eligible.
- Provides funding for up to one year maximum.
- Provides funding for work that is not eligible for other sources of funding.

Requests will be considered for amounts up to \$125,000 in direct costs (indirect costs are not allowable). The budget must be well justified and allowable costs are those directly related to the specific scope of work in the proposal. Funds may **not** be used for the purchase of laptops, to attend conferences, for travel (except when it directly supports project completion), for publications, or to cover costs of securing or protecting IP.

III. Eligibility Criteria

POC Grants are **open to all fields of research** in which the proposed project fulfills the goals and funding priorities of the program outlined above. Applicants are required to consult with their campus technology licensing office about the project's appropriateness and eligibility for this opportunity.

Proposals to fund pharmaceutical/drug clinical trials are not eligible. Medical device/technology testing, if feasible within program funding limits, timelines and other guidelines, may be proposed.

The following are **not** eligible for funding under this program:

- Proposals to fund basic research or theoretical development, or to generate models, new data, or assess the feasibility of a technology
- Projects requiring more than one year
- Projects with industry sponsorship
- Renewals for projects funded in the last cycle

Applicant Eligibility

Any researcher with Principal Investigator (PI) status at the University of California is eligible to apply.

Investigators at Lawrence Berkeley National Laboratory (LBNL) who hold PI status at LBNL may submit proposals through the LBNL or, if they hold UC PI status, may submit through their UC Campus.

Intellectual Property

All intellectual property (IP) related to the proposal **must** have been disclosed to the appropriate UC technology licensing office as of **February 1, 2012** and **must** be identified in the proposal by UC Case Number and title. The campus technology licensing office will submit a project evaluation form describing any marketing efforts for the IP, any prior obligations that might encumber the IP, and include a statement indicating that project completion would overcome a barrier towards commercialization. This form will be considered, along with the rest of the application materials, in the review and evaluation of the proposals.

IP related to the proposal must be assigned to UC and be available for licensing (*i.e.* not subject to prior obligations, such as existing license, sponsored research agreement, ongoing collaboration with industrial partner, or ongoing licensing negotiation). Existing IP cannot be jointly owned with a commercial entity. If IP is jointly owned with an academic institution or non-profit, there must be an inter-institutional agreement in place and UC must have the lead role in commercializing the technology.

Intellectual property resulting from the research must be assignable to UC.

IV. How to Apply

The POC program uses an electronic application system called proposalCENTRAL (pC). All application instructions and forms are available online through pC (<http://proposalcentral.altum.com/>).

The application process consists of two steps:
POC Request for Proposals (FY 2011-2012)

1. Submission of a Letter of Intent (LOI): Submission and approval of an LOI is required in order to submit a full proposal. LOI's are non-binding and used for administrative and review planning purposes. LOIs may be submitted beginning **Friday, January 13, 2012 through Tuesday, February 14, 2012**.
2. Proposal Submission: Upon approval of the LOI, applicants gain access to the full application materials on proposalCENTRAL. Complete applications must be submitted by the deadline **Wednesday, March 28, 2012 at 12:00 Noon PT (3 PM ET as posted on proposalCENTRAL)**. Applicants must adhere to the Application Instructions and guidelines. By submitting a proposal the PI is attesting that the technology is unencumbered by prior obligations (e.g., obligations assumed under a consulting agreement).

NOTE: The POC Program does not require the signature of a campus official to submit a proposal. However, local UC campus Offices of Research (C&G or SPO) may require review and sign off prior to submission. It is the PI's responsibility to follow local rules for submitting a proposal and confirm that all participants have obtained local approval, if required, in advance of submission.

V. Review Criteria for POC Grants

POC Grants are peer-reviewed on a competitive basis by scientists and engineers from both within and outside of the University of California. Proposals are evaluated for intellectual and commercial merit and relevance to program goals and funding priorities.

The main review criterion for proposals is the commercialization potential as described below:

- Commercialization Potential: Projects must have demonstrated research success and be ready for commercialization pending a specific, targeted demonstration, test result, or prototype and must demonstrate that successful completion has potential to result in a technology being licensed to an existing company or serve as the foundation for a start-up company. Successful proposals will demonstrate that the product or service has a high likelihood of being adopted and successful as a commercially viable or public benefit technology.

Additional review criteria include:

- Excellence, as demonstrated by an innovative, well-conceived, high quality and feasible project.
- Qualifications of Personnel, as demonstrated by the leadership and meaningful engagement of well-qualified personnel.
- Resources and Facilities, as demonstrated by an appropriate, well-defined budget, and sufficient access to adequate facilities, infrastructure, and other resources necessary for the conduct of the proposed research.
- Benefit to California, as demonstrated by:

- Accelerating innovation and creating a path to commercialization of new technologies and products; or
- Increasing competitiveness of California companies, by attracting greater investments and retaining jobs in California; or
- Establishing the basis for founding new California companies; or
- Identifying new solutions to problems critical to California.

VI. Review of Proposals and Funding Decisions

Proposals will be reviewed in multidisciplinary panels including scientists as well as business experts and members of the investment community. Protected information should not be included in proposals. Although reviewers are required to sign a confidentiality agreement prior to the review, protected or proprietary information should not be included in proposals. Applicants are encouraged to avoid jargon and to prepare their proposals in a manner comprehensible to a general audience.

Applicants may submit the names of potential reviewers who are not affiliated with the applicant's campus or laboratory. Applicants may request the exclusion of certain reviewers, and such requests *must* include a brief explanation/justification for such exclusion. The Research Grants Program Office in the University of California, Office of Research and Graduate Studies, will constitute the panels, assign reviewers, and make final determinations regarding panel composition. Reviewers will be asked to protect the confidentiality of proposals and are expected to disqualify themselves in cases of potential conflict of interest.

Review panels will evaluate proposals based on the scoring criteria and generate a rank-ordered list of applications that are recommended for funding.

Awards are subject to final approval by the Vice President for Research and Graduate Studies, and are contingent on availability of funding. Applicants can expect to receive notification of review outcome on or around July 10, 2012.

Funded proposals will be archived as part of the award record and will be subject to release under the California Public Records Act.

Awards are contingent on availability of funding.

Appendix A. Application Instructions and Electronic Submission

POC Application Instructions provide detailed guidance on application materials, format and allowable costs. Detailed Application Instructions are available at <http://www.ucop.edu/poc/call.html> and on proposalCENTRAL. The Application Instructions provide details on submitting the proposal through proposalCENTRAL as well as the required elements of the application.

Technical support is available through proposalCENTRAL (Monday – Friday 8:00 AM – 5:00 PM Eastern Time – please note that from California you must call between 5:00 AM and 2:00 PM).

Required elements of the application include:

- **Abstract** –should include a brief description of the commercial benefit of the project.
- **Proposed Activities and Commercialization Plan** (5 pages maximum)
- **Budget Request and Justification**
- **Campus Technology Licensing Office Comment Form** - early submission to the campus technology licensing office is strongly encouraged.
- **IP related to the project** - identified by UC Case Number and title.
- **Biosketches and Current and Pending Support**