UC Proof-of-Concept Funding Opportunity
FY 2012-2013

Letter of Intent Submission Instructions

The University of California Office of Research and Graduate Studies is accepting submissions of a Letter of Intent (LOI) to the UC Proof of Concept Funding Opportunity. Eligible applicants are Principal Investigators (PIs) at any of the ten UC campuses and the Lawrence Berkeley Laboratory with projects whose intellectual property (IP) is owned by the University of California, is disclosed to the appropriate technology transfer office and is available for licensing. LOIs are non-binding and used for administrative and planning purposes. LOIs may be submitted in accordance with these instructions via proposalCENTRAL beginning **Tuesday, August 28th through Tuesday, October 9, 2012.** LOIs will be approved approximately two weeks after the submission deadline.

Please see the http://www.ucop.edu/poc/ for additional information on this opportunity.

OVERVIEW OF ONLINE LOI SUBMISSION PROCESS
The LOI must be submitted using the online system, proposalCENTRAL (pC) at https://proposalCENTRAL.altum.com/. If you are a first time user, you must first register to use the system. DO NOT register if you have used proposalCENTRAL in the past.

Step 1: 'Applicant PI' Designation

Identify a Principal Investigator. Any researcher with Principal Investigator (PI) status at the University of California is eligible to submit an LOI. Researchers at the Lawrence Berkeley National Laboratory who hold PI status may also submit LOIs.

Step 2: Applicant Registration with proposalCENTRAL

PIs must register as users of pC: https://proposalCENTRAL.altum.com/. NOTE: In the registration process, one of the pages, "*4) Personal Data for Applications*", includes fields for applicants to provide several types of private personal information that are neither required nor requested. There are no required entries on this page; therefore, we suggest that you skip this particular page during the registration process.

Registered Users: Applicants who have already registered with pC should enter their user name and password under "Applicant Login" and click the **Login** button on the pC homepage. At this point, you may update your Professional Profile.

New users: Applicants who are not registered users of pC user go to the webpage https://proposalcentral.altum.com/Register.asp or click on the **Register** button under "First Time Users" pC homepage and follow the instructions to become a registered to set up an account.

As part of the user profile, Applicants must select their institution. All University of California campuses have pC profiles under "Regents of the University of California" at the designated campus. Click the **Search Registered Institutions** tab to locate your institution on the pC system. (For example: If you are searching for "University of California, Los Angeles", you can enter 'Los Angeles' or use 'UCLA' as search terms). If your institution does not appear to be in the proposalCENTRAL database, we recommend contacting proposalCENTRAL to verify that this is the case before proceeding to have an appropriate official at your institution (generally in the Contracts and Grants office) enter a new Institution Profile in

proposalCENTRAL. For some institutions, there may be **multiple institution entries** in the database. To determine which entry is the correct one, you must contact the institution's Contracts and Grants office or equivalent. Most institutions prefer to have a single profile for that institution. **It is the responsibility of the applicant institution** to create, update, edit the institution's profile, or to delete extraneous profiles.

Please complete all required sections, which are marked with an asterisk.

Step 3: LOI Submission

To submit an LOI, select the "Grant Opportunities" tab, and scroll down to "UC Proof of Concept." Select the funding opportunity (**Proof-of-Concept Funding Opportunity**). On the right, click the **Apply Now** button to begin the LOI submission process and follow the instructions.

Applicants are responsible for sending a copy of the LOI to their campus Contracts & Grants Officer.

The Announcement for the LOI is available at: http://www.ucop.edu/poc/. It is also available by clicking on "Program Guidelines" on pC near the bottom of the left sidebar.

For technical help with proposalCENTRAL, please email pcsupport@altum.com or call 800-875-2562 (Toll-free U.S. and Canada) or +1-703-964-5840 (Direct Dial International). ProposalCENTRAL customer support is available Monday – Friday from 8:30am - 5:00pm (EST).

STEP BY STEP: LOI PREPARATION & SUBMISSION
Additional details on each section of the online LOI submission are provided below. Please note: the numbered sections listed below directly correspond to the numbered LOI sections in the left hand column of the LOI page on the pC web site. To view the LOI page, please select **Apply Now,** or, if you have already started the LOI submission process and would like to make changes or complete your submission, you may select **Edit** under the "Manage Proposals" tab.

PLEASE NOTE: Applicants who previously submitted "Letters of Interest" during the "Assessment of interest period for the POC Funding Opportunity" may choose to either update or re-submit their previous LOI by selecting Edit under the "manage proposals" tab, updating the appropriate fields and then submitting the LOI. Applicants may also choose to create and submit a new LOI for this opportunity.

Section 1: Title Page

This section must be completed first. Upon completion of Section 1, the remaining sections listed below (2-8) may be completed in any order, and do not need to be completed in one session; however, please be sure to save your work after each entry.

Title: Please enter the project title here. Do not exceed 60 characters. No special characters allowed.

Research Category: Please select a primary research category from the list below that best describe your field of research. The categories are:

1. Agriculture
2. Biomedical and Health Sciences
3. Biotechnology and Information Technology for Life Sciences
4. Communications, Networking and Internet Enabled Services
5. Digital and Visual Media Technologies
6. Electronics Design and Manufacturing and New Materials
7. Energy, Environment and Cleantechnology
8. Microelectronics and Computing Innovations
9. Other (Please specify)

Anticipated Funding Request: In the text box provided, indicate the anticipated funding request. The anticipated funding request should include direct costs + indirect costs (25% MTDC)*.

* A cap of no more than 25% is allowable on POC grant awards. The cost base for the indirect allocation will consist of: salaries and wages, fringe benefits, materials and supplies, services, travel, and subgrants and subcontracts up to the first $25,000 of the initial award period (excluding renewals or extensions). This base is called the Modified Total Direct Costs, or MTDC base. Equipment or other capital expenditures, charges for patient care and tuition remission, rental costs of space, scholarships and fellowships, as well as the portion of each subgrant and subcontract in excess of the first $25,000 are excluded from the MTDC base. Note that the applicable components of the MTDC base are listed in the Rate Agreement for each campus, and should be followed in allocating indirect costs on all awards. Any questions about interpretation of the MTDC base can be directed to the RGPO Contracts and Grants.

Intellectual Property: Identify the intellectual property related to the project by title and case number. If more than one entry, separate each title and number pair by commas.

PI Status: Confirm that you have been granted PI status from your home institution, **or supply a waiver letter signed by your designated campus official verifying you will be eligible to obtain PI status** upon the receipt of an award. If applicable, this letter should be uploaded by selecting the "PI Status Waiver" attachment option. There is no template for this letter provided.

Click "Save". This creates a record of your LOI in the system that can be accessed in later visits.
NOTE: *Once you have created an LOI record as described above, DO NOT restart the LOI process on future visits. Instead, go to the LOI record under the "Manage Proposals" tab (far left on the main page,) Click on "Edit" to continue the LOI process.*

Section 2: Download Templates and Instructions

This section includes downloadable LOI submission instructions and Project Eligibility and Commercial Assessment Form.

Applicants must consult their campus technology licensing office and provide the designated officer the Project Eligibility and Commercial Assessment Form. The technology licensing office must complete the form, sign it, and return to the applicant. The TLO must complete page 1 for each IP item related to the proposal. Page 2 should be completed only if the project is eligible for the PoC opportunity. See Project Eligibility and Commercial Assessment Form for details. **If the project is eligible, the Applicant PI or designee must upload the completed and signed form to the proposal** (see Section 8 below for information on how to upload templates to proposalCENTRAL). **If the project is ineligible, do not complete a proposal**.

Section 3: Enable Other Users to Access this Proposal

This section allows applicants to designate others, for example a Collaborating Investigator, to access their profile, LOI or proposal(s) to assist with writing or submission.

"View" allows others to read any aspect of your LOI submission without the ability to make any changes. "Edit" allows changes to be made, but does not allow the LOI to be submitted. The "Administrator" role allows all the same rights as the applicant, including submission of the LOI. In some institutions, submissions are generally made by the contracts and grants office. This feature of proposalCENTRAL allows for this by providing "Administrator" access to an appropriate contracts and grants official.
NOTE: to provide others with access, those persons must first be a registered proposalCENTRAL user.

Section 4: Applicant PI

This section requires the identification of the Applicant PI. Review the applicant information. If necessary, update the applicant information by clicking on "Edit Professional Profile". The applicant PI must have PI status at one of the University of California campuses or labs. If the applicant does not have UC PI status, a PI Waiver Statement issued by the corresponding UC campus/lab must be uploaded as an "PI Status Waiver" attachment is section 8 of the LOI submission process.

Section 5: Institution and Contacts

Applicant Institution: Select your applicant institution in accordance with the information above under the section "Step 2: Applicant Registration with pC".

Identify Other Participating Campuses or Laboratories: Provide names of other participating campuses or institutions. Separate the entries by commas (Enter "NA" if not applicable).

Section 6: Identification of Co-Investigators

Use this section to identify collaborating investigators, if known. Please provide co-investigators' institutional affiliation and contact information (including: Name, Role, Position/Title, Dept, Work phone).

Section 7: Brief Abstract, Market Applications and Keywords

Brief Abstract: In the text box provided, give a brief summary of the project in non-scientific terms that would be understood by a general audience. The summary is limited to no more than **2,500 characters** (approximately 300 words) including spaces. Information entered must be text only (scientific notations, special characters, fonts, and other rich-text formatting cannot be saved or displayed. Carriage returns can be used for the start of a new paragraph but should NOT be used at the end of each line.

Market Applications: In the text box provided, give an explanation of how the funding provided will advance commercialization of the technology or intellectual property. The summary is limited to no more than **2,500 characters** (approximately 300 words) including spaces. Information entered must be text only (scientific notations, special characters, fonts, and other rich-text formatting cannot be saved or displayed. Carriage returns can be used for the start of a new paragraph but should NOT be used at the end of each line.

Keywords: Enter at least three and up to five key words that best describe your project.

Section 8: Upload Project Eligibility and Commercial Assessment Form. Template should be completed and uploaded prior to completing the validation and submission sections 10 and 11 outlined below.

The applicant PI must have PI status at one of the University of California campuses or labs. If the applicant does not have UC PI status, a **PI Waiver Letter** issued by the corresponding campus/lab must be uploaded as an "PI Status Waiver" attachment in this section.

Note*: Make sure uploaded PDF forms <u>are not</u> password protected and <u>do not</u> contain electronic signatures*

Section 9: Reviewer Recommendations. 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; such requests *must* include a brief explanation/justification for such exclusion. The UC Office of Research & Graduate Studies will make final determinations regarding panel composition.

Section 10: Validate LOI

Section 9 enables applicants to verify successful submission of an LOI to pC. The system will notify applicants of any outstanding information required to complete the submission process.

NOTE: **Validating the LOI does NOT submit the LOI.** You must proceed to LOI section 10. We **strongly encourage** you to validate well in advance of the due date and time (at least 24 to 48 hours) to ensure that you will have sufficient time to address any issues before the deadline.

Some applicants find that the system does not validate the submission when the process is complete. Our experience is that most often **this is caused by navigation away from a page before the "save" is**

complete. If you navigate away from a page before the "save" is complete, the information on that page will be lost. When a page is saved, the system does not show you the progress and report that the "save" is complete. A screen refresh occurs automatically when the save is complete, and that is visible by a screen blink. Saving your institution (Section 5), once you have located it in the database, takes a few more seconds than other pages. If you have difficulty validating your LOI submission, or any other technical problem, contact proposalCENTRAL customer service using the contact information above.

Section 11: Submission of LOI

Following the submission of an LOI to pC, applicants will receive an e-mail message confirming receipt of the LOI. If you do not receive this confirmation within 2 hours, please contact pC tech support.

Should you have any questions regarding the funding opportunity please contact:

- Research Grants Program Office by phone at *510-987-9386* or email at RGPOGrants@ucop.edu.

For the most up-to-date application and review cycle information refer to the following website: http://www.ucop.edu/poc/call.html

Technical questions regarding proposalCentral submission should be directed to pcsupport@altum.com.