Dear Colleagues,

UCI Applied Innovation is pleased to release the enclosed Request for Proposals (RFP) for Round 1 of the 2017 Proof of Product (POP) grants program. POP grants provide up to $125,000 to UCI projects with great commercialization potential. A POP grant can help you bridge a critical funding gap to build a working prototype, demonstrate efficacy or operating performance, develop a formulation necessary for delivery of a potential therapeutic candidate, survey potential customers to determine market feasibility, or other elements essential to commercialization.

We've made the application and reporting processes simple, and our team is prepared to partner with you in realizing the potential of your project. Every applicant, funded or not, receives valuable feedback from industry domain experts to help strengthen future funding proposals and inform strategic decision-making. We've upgraded the quality of our proposal review process, strategically assigning relevant domain experts to applications in order to ensure valuable feedback.

Thanks to additional funding through AB2664 legislation and philanthropic support, we are scheduled to expand POP grants to two funding processes per year over the next three years. Thus, if your project isn’t ready for funding now, you won’t have to wait an entire year before applying again. Please work with your Licensing Officer to determine the readiness of your project.

We've heard your input and feedback on how best to meet your needs through commercialization grants. We hope you’ll apply during Round 1 and in future rounds. We're also interested in your feedback on the process so that we can make improvements. Thank you for your partnership with UCI Applied Innovation. We look forward to reviewing your project.

Warm regards

Richard Sudek
Chief Innovation Officer and Executive Director
UCI Applied Innovation
REQUEST FOR PROPOSALS: Proof of Product (POP) Grants
Round 1 2017 GUIDELINES

RFP Issue Date: Tuesday, January 31, 2017

Program Timeline
February 8, 2017  Letters of Intent due
March 3, 2017  Final proposals due
April 7, 2017  Awards announced
April 14, 2017  Project start date
October 6, 2017  Project reports due
October 18, 2017  Showcase event

Program Description
As part of a continuum of support for campus entrepreneurs, UCI Applied Innovation has initiated the Proof of Product (POP) Grants program to identify projects and products with great potential in the early stages of development within the university. POP Grants provide gap funding of up to $125,000 to help translate research and intellectual property into commercially viable products and services.

POP Grants support UCI projects in bridging the gap between basic research and product development. POP Grants are intended to assist in translating research with a focus on rapid assessment of commercial feasibility.

Proposals will focus on developing UCI inventions or software that have a UC case number on file prior to February 3, 2017, and are available for licensing. Suitable proposals will clearly state expected outcomes that address a barrier to commercialization. Examples include building a working prototype, demonstrating efficacy or operating performance, integrating with another technology, developing a formulation for a therapeutic candidates, or determining the toxicity profile of a drug candidate. Funding from other sources must not be readily available. NOTE: Basic research will not be considered for funding under POP grants.

The minimum funding request is $25,000 and the maximum is $125,000. A maximum of six (6) proposals will be funded in Round 1 of 2017. Another RFP process will take place in April/May 2017. If your project isn’t ready for Round I, or if your application is declined, you will have another opportunity to apply this year.
**Guiding Principles and Funding Priorities**

POP Grants are intended to trigger and focus the entrepreneurial spirit among campus innovators, and are designed to strengthen collaboration between faculty and UCI Applied Innovation. UCI Applied Innovation staff will actively engage with and advise applicants throughout the application process, and all applicants will receive valuable feedback from domain experts and industry representatives, which can strengthen projects for future funding opportunities. This dialogue between researchers and industry, over time, strengthens a culture of interdependent, collaborative innovation at UCI and in the broader ecosystem.

POP Grants are not limited to specific disciplines or departments. Applied Innovation’s goal is to cast a wide net among UCI faculty and labs, and to encourage cross-collaboration and interdisciplinary approaches. POP Grants offer the potential to prompt and capture entrepreneurship in both STEM and non-STEM fields.

Applicants are encouraged to leverage POP Grants with other sources of funding such as the New Venture Competition/TechSurge, California Center for Accelerated Innovation (CAI), the Beall Innovation Awards and the UCI Research Seed Funding Program.

**Eligibility**

All UCI faculty members who are eligible to serve as Principal Investigators may apply. Single investigator or multi-investigator teams are eligible, and interdisciplinary approaches are encouraged. Applications aimed at educational or service missions are not eligible. POP Grants are funded with internal campus funds, therefore no indirect costs will be charged. Final proposals must be received by 5:00 PM, March 3, 2017.

**Review Process**

Proposals will be scored by a reviewers from UCI Applied Innovation and external subject matter/domain experts from industry, venture capital and trade associations. Evaluations will consider the technical merit and commercial viability of each proposal relative to the funds requested. Reviewers sign confidentiality agreements for maximum flexibility during the review of proposals and invention disclosures. Final funding decisions are made by UCI Applied Innovation based on input from reviewers.

**Letter of Intent (LOI)**

To be eligible for funding, all applicants must submit a letter of intent to apply by February 8, 2017. LOI’s must be no longer than one (1) page, single-spaced with no smaller than 11-point font. LOI’s must include:

- Name and contact information of Principal Investigator
- School or department represented
- Collaborative partners, if applicable
- UC case number and brief description of project, including an assessment of the current stage of development
- Anticipated funding amount requested

LOI’s must be emailed to POPGrants@uci.edu, with a copy emailed to your Licensing Officer by 5:00 PM PST, Wednesday, February 8, 2017.
**Application Requirements**

**Project Period:** The project must be completed within six (6) months of the start date.

- Funding range is $25,000 minimum and $125,000 maximum
- Up to 10% or $10,000 (whichever is greater) of granted funds can be used for marketability studies and customer interviews/surveys
- Funds cannot be used to support faculty or administrative salaries or associated benefits, or computer purchases
- No overhead is assessed

Completed applications must be submitted to POPGrants@uci.edu by the due date, with a copy to your Licensing Officer. Late submissions will not be considered for funding. Hard copies are not accepted. Applications should be no more than eight (8) pages, single-spaced, normal margins, with no smaller than 11-point font.

Applications must contain the following elements:

1. **Applicant Information**
   - Provide the name, title, school or department, and contact information for the Principal Investigator

2. **Overview of invention and commercialization plan (max. 2 pages)**
   - Describe the technology/invention, including the current stage of development
   - Names of inventors, UCI case number(s) and status of intellectual property rights
   - Significance of the invention in relation to addressing an industry need or problem
   - The invention's potential impact on the marketplace
   - Potential customers/end users/licensees/business partners
   - Approximate market size
   - Anticipated project benefits to patentability and licensing potential of invention

3. **Project plan (max. 2 pages)**
   - Describe the Scope of Work (schedule must specify completion within six (6) months)
   - Describe key questions that need to be answered
   - Identify specific objectives that can be completed in six months, including data that is of interest to a commercialization partner
   - Discuss potential challenges, risks, and anticipated results
   - Address any regulatory approvals required (e.g. IACUC, IRB) if project is funded (animal or human subjects, radioactive or biological materials)

4. **Principal Investigator and key personnel (max. 1 page)**
   - Describe the qualifications of the Principal Investigator and other key personnel
   - Describe experience commercializing inventions, including with startup companies
   - Describe history of prior invention submittals to the Office of Technology Alliances, UCI Applied Innovation or elsewhere
5. **Budget and Budget Justification (max. 1 page)**
   - Detail funds requested and their use

6. **Other Support (max. 1 page)**
   - Identify all current and pending research support, and any past support related to the invention and the proposed work
   - Describe any solicitations of support from industry and their outcomes.

**Deliverables, Use of Funds and Oversight**
An initial project overview meeting with a UCI Applied Innovation team member will occur at the start of the program period for each selected awardee. The Licensing Officer of record for the case will meet periodically with the research team to monitor progress. Each Principal Investigator will submit a project report and presentation describing progress against proposed goals by October 6, 2017. PI's will be asked to present their projects at a showcase event at the end of the funding period.

**Questions**
All questions related to this application should be emailed to POPGrants@uci.edu.