

## The Eshelman Institute for Innovation Faculty and Staff 2021 Grant Guidelines and Policies

The Eshelman Institute for Innovation's purpose is to create and sustain an innovation engine to enable the UNC Eshelman School of Pharmacy to define and pursue bold, new, innovative ways to move the mission of the School forward and extend the School's position as a global leader. The Eshelman Institute for Innovation (EII) encourages faculty and staff to submit proposals for innovative projects that create or further develop intellectual property (IP) or provide commercial opportunities that could support the sustainability of the Institute.

All applicants are required to submit a pre-proposal as the first step in the application process. Select applicants will be invited to submit full proposals that will be reviewed by the EII with the assistance of an external advisory panel. Select full proposals will be reviewed by the EII Steering Board and evaluated on Pitch Day.

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### Important Dates

- November 30, 2020: Pre-proposal form opens
- January 8, 2021: Pre-proposal applications due
- February 10, 2021 Selected applicants invited to submit a full proposal
- March 10, 2021: Deadline to submit budgets to the Office of Research Administration and submit Aims and Milestones to EII Project Manager
- March 17, 2021: Grant Submission Deadline
- April 20, 2021: EII will notify those selected to pitch
- April 30, 2021: Pitch Day
- May 10, 2021: Notice of Award sent to selected grant recipients
- May 24, 2021: Deadline to send EII signed Notice of Award, Photo, Project Description

### How to Apply

All applicants are required to submit a pre-proposal as the first step in the application process. Select applicants will be invited to submit full proposals. Full proposals will be reviewed by the

EII with the assistance of an external advisory panel. Selected full proposals will be reviewed by the EII Steering Board and evaluated on Pitch Day.

The pre-proposal and full proposal forms cannot be saved and returned to. If you plan to answer the forms in more than one sitting, please do not close out of the browser window. The EII recommends saving your answers periodically in a separate document for backup purposes. Additionally, as you complete the form 'logic' questions will appear given your answers.

For more information contact Alexandra Sturchio, Awards Program Manager, at [eshelmaninstitute@unc.edu](mailto:eshelmaninstitute@unc.edu).

### **Grant Categories and Eligibility**

The EII offers grants within two categories: Discovery and Translational.

- **Discovery Grants:** Innovative research designed to generate proof of concept for ideas with transformative potential in science, medicine, health care delivery, or health care education. Discovery grants are generally award for 1-2 years with funding from \$50,000 to \$500,000.
- **Translational Grants:** Research designed to further validate transformative technology or services beyond their initial proof of concept, with the goal of improving their commercial readiness. Translational grants are generally awarded for 2+ years and funding asks should be concise to what is needed to complete the project.

All proposals must include a UNC Eshelman School of Pharmacy faculty or staff with primary appointments within the School. The EII encourages proposals that include a broad spectrum of scientific engagement through meaningful collaborations across a variety of disciplines, departments, schools, and institutions. Please consider including co-PIs that provide broad scientific or commercial engagement.

For the 2021 faculty award cycle the EII has formed partnerships with Meharry Medical College (MMC) and NC Agricultural and Technical State University (NC A&T). With these partnerships the EII has invited MMC and NC A&T faculty to participate in the 2021 annual grant cycle. ESOP faculty and staff are strongly encouraged to collaborate with MMC faculty and/or NC A&T faculty on their project(s). We believe that collaboration between our schools will profoundly advance research and create a lasting impact. Projects that include either an MMC or NC A&T faculty member will be prioritized for funding by the EII.

External co-PIs will be required to submit two letters of support with their application to be considered for funding. Please see the 'Grant Policies' for more information on requirements for external PIs and collaborators. If you are interested in a possible internal/external collaboration and need support from the EII, please contact [eshelmaninstitute@unc.edu](mailto:eshelmaninstitute@unc.edu).

Lead PIs are welcome to submit a maximum of two proposals between the two grant categories. Projects are typically between one to two years in length, however, the EII will consider projects that require additional time. When creating your proposal, please keep your funding ask concise to what is needed to complete the project. All funding will be disbursed to PIs based on completion of their aims and milestones identified in their application.

While the EII continues to support proposals across many areas of the ongoing research within the School, we encourage grant applications that focus on the creation and translation of solutions with applications to **therapeutics, medical devices, digital health, diagnostics, and health services**. For those interested in such opportunities, the EII has partners that can provide contract services to enable technology development in these areas.

All applicants are required to submit a pre-proposal as the first step in the application process. Select applicants will be invited to submit full proposals that will be reviewed by the EII with the assistance of an external advisory panel. Select full proposals will be reviewed by the EII Steering Board and evaluated on Pitch Day.

### **Pre-proposal Guidelines**

We encourage discussion and interaction with the EII team when preparing your pre-proposal application. If you are interested in scheduling time with the EII to discuss your idea, please contact [EshelmanInstitute@unc.edu](mailto:EshelmanInstitute@unc.edu). When preparing a pre-proposal for submission, innovators must complete some preliminary due diligence.

Pre-proposals should:

- Indicate the relevant grant category (e.g. Discovery or Translational)
- Include a brief project summary and identifying the type of innovation you are proposing and the expected mode of delivery to end users (prescription product, consumer product, software, service etc.)
- Address the novelty and differentiation of the proposed technology, product, service, or asset
- Include a preliminary list of existing intellectual property known to be required for commercialization of the proposed product
- Provide an analysis of the competitive landscape

When available, the EII pre-proposal form can be found on our website. Please note, that your answers must be concise and clearly articulated in the spaces provided. **The pre-proposal form cannot be saved and returned to.** If you plan to answer the form in more than one sitting, please do not close out of the browser window. The EII recommends saving your answers periodically in a separate document for backup purposes. Additionally, as you complete the form 'logic' questions will appear given your answers.

The EII will review all pre-proposals and will determine which proposals best align with our strategy and have potential for commercialization. An intellectual property analysis is essential for commercialization, and your pre-proposal should include an accounting of the existing intellectual property sufficient to demonstrate a path forward should you be invited to submit a full proposal. Innovators will be notified by February 10, 2021 on whether they have been selected to submit a full proposal.

If you have other questions about the pre-proposal process or wish to discuss your idea, please email [eshelmaninstitute@unc.edu](mailto:eshelmaninstitute@unc.edu) and your request will be promptly routed to the appropriate team member. The UNC Office of Technology Commercialization is available for assistance with the intellectual property analysis [otc@unc.edu](mailto:otc@unc.edu).

### **Full Proposal Guidelines**

*Please note: Applicants must have been selected to submit a proposal through the pre-proposal process.*

If invited to submit a full proposal, innovators will receive specific instructions from EII on the application process and requirements. Please note, all submissions must be submitted online through our grant application. Emailed submissions will not be accepted.

Please note, **the proposal form cannot be saved and returned to.** If you plan to answer the forms in more than one sitting, please do not close out of the browser window. The EII recommends saving your answers periodically in a separate document for backup purposes. Additionally, as you complete the form 'logic' questions will appear given your answers.

While crafting a full proposal, innovators must work with the EII Project Manager, Ashlie Thomas, to craft their aims and milestones. As a first step in the process, PIs must complete [this form](#) outlining their aims and milestones by March 10, 2021. Once the form has been submitted, Ashlie will meet with innovators to streamline aims/milestones and Gantt chart project objectives. **The final aims, milestones, and Gantt chart that will be provided by Ashlie to the innovator must be uploaded in the proposal application.** Ashlie deals with a high volume of requests, so please do not delay getting in touch with her about your project's aims/milestones. Innovators that do not meet with Ashlie about their aims/milestones will be considered ineligible.

Please note, if your project includes or relates to any collaborator IP, you will need to meet with an OTC Commercialization Manager to craft your intellectual property strategic plan during the full proposal process. OTC will work with the innovators to tie the aims/milestones into an intellectual property strategic plan which considers both existing intellectual property and proposed outcomes. If your project does not include or relate to any collaborator IP, you will need to meet with OTC to craft a strategic plan for your pitch presentation (the EII will notify project's advancing to Pitch Day). If you have questions regarding the OTC strategic plan, please contact [otc@unc.edu](mailto:otc@unc.edu).

In addition, while crafting a full proposal, each innovator must work with the UNC Eshelman School of Pharmacy's Office of Research Administration (ORA) to finalize all budget information. Innovators must work with the ORA by March 10, 2021. To start, fill out this [budget template](#). A member of the ORA team must approve each budget before applications may be submitted. **If your budget is submitted without ORA approval, it will be considered ineligible.** The ORA deals with a high volume of requests, so please do not delay getting in touch with them about your budget. For more information, please review our [budget and funding guidelines](#).

#### Questions Included in Full Proposal:

- Project Outline
  - Project Title
  - Length of Project
  - Grant Category (Discovery or Translational)
- Project Team Members
  - List all co-innovators, collaborators, and personnel affiliated with this project.
- Subcontract Information
  - Include information related to your project's subcontract, if applicable
- Additional funding
  - Include information outlining any additional funding this proposal may have already received
- Additional Resources Needed
  - Include whether your proposal will require additional support or resources from ESOP departments
- Intellectual Property
  - Review and agree to UNC Patent and Invention Policy
- Compliance Questions
  - Attest to whether your proposal will involve animals, human subjects, or hazardous materials
- Conflict of Interest
  - Review and agree to the UNC Conflict of Interest Policy

- File Upload:
  - Proposal – PDF Format (Information on proposal details below)
  - Anticipated milestones and results (approved by EII Project Manager)
  - Budget and budget justification form approved by the Office of Research Administration, and external collaborator’s institution, if applicable
  - Letter of support from Lead PIs supervisor or division/department chair
    - UNC faculty should list their Division Chair and UNC staff should list their direct supervisor
    - Two letters of support must be provided for any external co-PIs
  - Lead PI CV, Resume, or bio-sketch
  - Co-PI CV, Resume, or bio-sketch, if applicable
  - Intellectual property strategic plan and a letter from collaborator’s technology transfer office if the use of the existing intellectual property of collaborator is essential to the intellectual property strategic plan (if applicable)

### Formatting and Length of Full Proposal:

Upload your proposal summary as a PDF in the space provided. All proposals should abide by the following formatting guidelines:

1. **Length:** Minimum of two page of proposal summary; may include up to two pages of pivotal references
2. **Margins:** At least half-inch
3. **Font:** No smaller than 11-point Times New Roman or its equivalent
4. **Spacing:** Single or exactly 12-point line spacing
5. **Header:** Please include your name, project title and funding tier in the header of each page of the proposal.

### Overview of Budget and Funding Guidelines

- The EII does not cap the funding request of the innovator. However, please keep funding asks concise to what is needed to complete the project. If an innovator’s funding ask is beyond what is needed to complete the work, the EII may fund only a portion of the request.
  - Discovery grants are generally awarded from one to two years with funding ranging from \$50,000 to \$500,000. All funding awarded to the innovator will be tranching based on completion of their aims and milestones
  - Translational grants are generally awarded for two years. Proposals should build on existing proof of concept to generate a prototype or dataset able to advance the project towards commercialization (licensing, spinoff company formation, etc.). All funding awarded to the innovator will be tranching based on completion of their aims and milestones

- Each innovator must work with the UNC Eshelman School of Pharmacy Office of Research Administration by March 10, 2021 to finalize their grant budget. To start, fill out this [budget template](#). **A member of the UNC ESOP Office of Research Administration must approve each budget before applications may be submitted to the EII or the application will be considered ineligible.**
- Innovators will be notified of their project start and end dates in their award letter.
- Awards will have a chart field string for funding purposes. The chart field string will be accessible to UNC ESOP innovators. If the expenditures in a single budget category fluctuate by more than 25 percent from the original budget, innovators must submit a request to re-budget.
- If the work will not be completed in the time allotted, innovators may request a no-cost extension. No-cost extensions (NCEs) must be requested between 90 to 15 days before the end of the project. To merit an extension, projects must provide detailed information on the project's success to date. All projects are allowed up to one NCE request for six months. NCE requests will be thoroughly reviewed by the EII prior to a final decision. If an NCE is not approved, the remaining balance will be returned to the EII.
- If innovators leave the UNC Eshelman School of Pharmacy during the funding period, unspent funds will be returned to the EII. The opportunity may also be available to request a transfer of funds to a co-innovator or collaborator within the School upon the discretion of the innovator's Division Chair and the EII Director.
- Following the conclusion of a project, unspent funds will be returned to the EII within 60 days unless a no-cost extension has been approved. All budget requests may be submitted on our website at <http://unceii.org/ideas/resources/>.

#### **Personnel Funding for Discovery and Translational Grants:**

The EII will fund:

- Salaries and fringe benefits of students, postdocs, and research support staff such as technicians/associates, software engineers, etc.
- Salaries of research track faculty

The EII will not fund:

- Salaries of tenure track, or clinical track faculty whether new or existing.

Please note: The EII will NOT fund tuition. The EII will NOT fund overhead, indirect or F&A costs from the University of North Carolina at Chapel Hill or from any external collaborating partners or institutions.

When building your budget, please consider project expenses in the following areas:

**1. Personnel:**

- Personnel's percent effort should be determined by that person's annual contribution to the project.
- Please indicate a reasonable percent effort for faculty consistent with the scope of work. This % effort will be reflected on additional faculty support documents sent to other sponsors.
- Based on salary and percent effort, calculate the cost for each team member, and will then calculate and insert a total personnel cost into your budget.
- If you have questions about salary for 'to be named' personnel, please contact your department's HR consultant or by contacting Alexandra Sturchio ([eshelmaninstitute@unc.edu](mailto:eshelmaninstitute@unc.edu)).

1. **Consultants:** Purchased services and contract costs.
2. **Travel:** Costs associated with traveling to conferences, etc.
3. **Other Direct Costs:** Costs that can be identified specifically with your project, an instructional activity, or any other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy.
4. **Equipment:** An article of tangible nonexpendable personal property that has a useful life of more than one year and an acquisition cost per unit that equals or exceeds \$5,000. The Institute will fund equipment only when it's truly novel, unique, opportunistic and necessary. Once a project is completed, all equipment purchased with EII finds is subject to return.
5. **Other:** Include any miscellaneous expenses and explain the need in detail.
6. **Subcontracts:** If you are working with collaborators at institutions outside of the University of North Carolina at Chapel Hill, the Institute requires signed documentation that contains the following statement from the authorized institutional grants office at the collaborating institution: *"The attached budget is consistent with the institutional policies and budgeting guidelines of [insert institution name] and has been reviewed and approved by our authorized institutional official."*

**Overview of Grant Policies**

- All proposals must include an UNC Eshelman School of Pharmacy faculty or staff with primary appointments within the School. The EII encourages proposals that include a broad spectrum of scientific engagement through meaningful collaborations across a variety of disciplines, departments, schools, and institutions. Please consider including co-PIs that provide broad scientific or commercial engagement.

- For the 2021 faculty award cycle the EII has formed partnerships with Meharry Medical College (MMC) and NC Agricultural and Technical State University (NC A&T). With these partnerships the EII has invited MMC and NC A&T faculty to participate in the 2021 annual grant cycle. ESOP faculty and staff are strongly encouraged to collaborate with MMC faculty and/or NC A&T faculty on their project(s). We believe that collaboration between our schools will profoundly advance research and create a lasting impact. Projects that include either an MMC or NC A&T faculty member will be prioritized for funding by the EII.
- External co-PIs will be required to submit two letters of support with their application to be considered for funding. If you are interested in a possible internal/external collaboration and need support from the EII, please contact [eshelmaninstitute@unc.edu](mailto:eshelmaninstitute@unc.edu). Where an external co-PI will incorporate their intellectual property into the proposed product, a letter laying out an intellectual property management proposal is required from their institutional technology transfer officer.
- For innovators working with collaborators at institutions outside of the University of North Carolina, the EII requires signed documentation that contains the following statement from the authorized institutional grants office at the collaborating institution: “The attached budget is consistent with the institutional policies and budgeting guidelines of (insert institution name) and has been reviewed and approved by our authorized institutional official.” This documentation can be combined with the UNC budget and uploaded as a single attachment.
- Innovators may serve as a Lead-PI on a maximum of two applications per submission cycle between both grant categories.
- Previously funded innovators may apply for more awards in other EII funding cycles after they have been awarded an EII grant. However, progress on prior EII funded awards will be considered when assessing whether to grant additional awards to the same innovator.
- All innovators must meet regularly with the EII Project Manager to strategize and track the completion of project’s milestones and aims. This includes, but is not limited to regular check-ins, lab visit, and team meetings with the EII Project Manager. Please note, disbursement of EII funds will be contingent on achievement of project’s milestones.
- All innovators must agree to participate in the EII’s semi-annual Industry Advisory Board meetings (if asked) to provide updates on your project to our Board of industry leaders.

- All innovators must complete the necessary reports (mid-term and final) with sufficient detail. Lack of participation in the reporting process will be taken into consideration in deciding whether to continue funding the award as well as in reviewing future proposals from the innovator.
- As a condition of accepting EII funding, innovators agree to participate in tracking the impact of the project over time. Tracking the impact of EII funding allows the EII to collect data to provide critical information for the sustainability of the EII and capture impact in our annual report in order to properly steward this gift. Some of this information will be collected from mid-year and final reports; however, innovators may expect additional annual requests from the EII for updated information.
- All published papers, abstracts, and presentations using data generated from this award must acknowledge the support of the EII by including the statement: “The authors acknowledge the generous support provided by the Eshelman Institute of Innovation at the UNC Eshelman School of Pharmacy.”
- As a condition of EII funding, innovators agree to make every effort to attend and/or participate as needed in EII events.
- All appropriate UNC Internal Review Board (IRB) or Institutional Care and Use Committee (IACUC) approvals must be in place prior to the use of EII funds.
- As a condition of accepting EII funding, innovators agree to abide by all the laws and regulations that apply to the performance of this work and agree to follow all University of North Carolina, UNC Eshelman School of Pharmacy, and Eshelman Institute of Innovation policies and procedures.
- All awarded proposals that involve conflict of interest, human subjects, animal subjects, IP, specified research materials, or educational research must be reviewed and approved in accordance with the University and School policies and procedures. Information on these policies and procedures can be found here <https://otc.unc.edu/inventors/policies-and-procedures/> . Innovators are encouraged to review information as provided by the Office of the Vice Chancellor for Research which provides research and compliance support. Information on this department can be found here <https://research.unc.edu/about/administration/>.
- The EII reserves the right to end a project and remove funding on any grant at any point based on scientific progress on the grant, compliance with EII requirements, or for other reasons at the discretion of the EII.

## UNC School of Pharmacy Support Services and UNC Offices

It is vital to work with all University of North Carolina Chapel Hill support services and offices and follow all policies and procedures.

- As part of the full proposal, innovators are required to identify and indicate which Eshelman School of Pharmacy FAO teams each project will need to utilize for support services. There is a place on the application to indicate which support services are needed. That list can be found at <https://faopharmacy.unc.edu/>.
- All budget tracking will occur within the UNC School of Pharmacy. Pam Morrison is the contact for EII budget tracking. The chart field string provided to you upon funding must be utilized for all invoices. Innovators may contact Pam Morrison at [pamm@email.unc.edu](mailto:pamm@email.unc.edu) or 919-843-2499 for any and all information pertaining to finances.
- All appropriate IRB and IACUC approvals must be in place prior to the use of funding. Information on the IRB and the Office of Human Research Ethics can be found at <http://unceii.org/ideas/resources/>. Information on the IACUC can be found at <https://research.unc.edu/iacuc/>.
- All subcontracts must be submitted on the UNC ALICE system, the administrative utility application for managing clinical trial agreements at UNC-Chapel Hill. These agreements are processed through the UNC Office of Industry Contracting before executing any work. **If funded, Innovators must work with EII Awards Program Manager, Alexandra Sturchio, to submit their request.** Innovators will need to provide the contract, scope of work, budget for contractor, and payment schedule. Innovators will be asked to provide the contact information for the appropriate personnel that can negotiate and sign contracts on behalf of the contracting institution.

## Resources for Innovators

As you prepare for your application or pitch presentation, we encourage you to take advantage of existing complimentary resources and services within UNC. If you have any questions about these resources, please contact [eshelmaninstitute@unc.edu](mailto:eshelmaninstitute@unc.edu).

### Proposal Writing Resources:

- [NC TraCS Proposal Development](#)
  - NC TraCS helps investigators in all aspects of the grant writing process including providing editorial support and scientific consultation, proposal review and grant application training and education
- [UNC Writing Center – Grant Proposals Tips and Tools](#)

- The UNC Writing Center supports UNC faculty and staff with grant writing assistance. The center provides detailed handouts and zoom appointments to assist innovators in their grant writing process.
- [UNC Office of Research Development/ORD Research & Proposal Development Resources](#)
  - The UNC Office of Research Development's website provides a list of the University's grant writing resources and guidelines available to UNC faculty and staff.
- [UNC'S Funding Information Portal: Proposal Writing](#)
  - The UNC'S funding information portal provides a UNC's guide to identifying funding opportunities and grant writing resources.

#### **Pitch/Presentation Resources:**

- [UNC's Learning Center - Giving Effective Presentations](#)
- [UNC Graduate School – Poster and Presentation Resources](#)

#### **Entrepreneurial Resources:**

- [UNC Entrepreneurship Center](#)
  - The UNC Entrepreneurship Center is housed within the Kenan Institute of Private Enterprise (UNC Kenan-Flagler Business School) and is open to students across UNC's campus.
  - The UNC Entrepreneurship Center offers a variety of events year-round. For information on their current events, please visit their [events calendar](#).
- [StartupUNC](#)
  - StartupUNC offers a set of courses designed to foster entrepreneurial mindset, and offer services to help start the incubation process for ideas/innovations/products.
- [Innovate Carolina](#)
  - Innovate Carolina offers resources in innovation and entrepreneurship at UNC. For information on their current events, please visit their [events calendar](#).
- [BeAM UNC \(Be A Maker Makerspace Network\)](#)
  - BeAM UNC focuses on innovation through “making” and offers free training and materials for students, faculty, and staff.
  - [BeAM Design Center](#) is a resource for design and fabrication assistance.
- [Launch Chapel Hill – Business Accelerator Program](#)

- The Launch Chapel Hill Business Accelerator Program is a 16-week course offered each fall and spring. This program is intended to radically help you build your business by offering a variety of resources.
- [LinkedIn Learning](#)
  - Formerly Lynda.com, LinkedIn Learning is a great free resource for high-quality, online, or on-demand trainings. LinkedIn Learning current offers many trainings focused on entrepreneurship.