

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

The Eshelman Institute for Innovation's purpose is to create and sustain an innovation engine to enable the University of North Carolina – Chapel Hill (UNC-CH) to forge a game-changing approach to translating bold new ideas into real-world impact for patients. The Eshelman Institute aspires to be a preeminent driver of cutting-edge technologies that solve the most pressing healthcare challenges. The Eshelman Institute encourages UNC-CH 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 UNC-CH faculty and staff are eligible to apply for Eshelman Institute funding. Please note, the Eshelman Institute seeks to fund translational research related to therapeutics focused on oncology, infectious disease, and neuroscience (including rare diseases). However, the Institute welcomes ideas for devices and diagnostics, and other therapeutic areas and services.

We encourage proposals that include a broad spectrum of scientific engagement through meaningful collaborations across a variety of diverse disciplines, departments, schools, and institutions. Please consider working with collaborators that provide broad scientific or commercial engagement to your idea.

In July 2022, the North Carolina General Assembly appropriated funds for the NC Collaboratory to establish a partnership with the Institute for the purpose of supporting academic research. Some projects selected by the Institute may be supported by these state funds. If your project is appropriated to these funds, we will follow up with the next steps (e.g., IPF, RAMSeS, etc.).

**Please note the below information is only for our therapeutic grant process.** If you are interested in submitting a digital health idea, please find more information on our [website](#).

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## Important Dates

Outlined below are important dates regarding our 2022-2023 grant cycle.

- **November 28, 2022:** Pre-proposal form opens
- **January 5, 2023:** Pre-proposal applications due
- **February 13, 2023:** Selected applicants invited to submit a full proposal
- **February 22, 2023:** Deadline to contact Office of Research Administration on your budget
- **March 2, 2023:** Deadline to submit aims and milestones to the Eshelman Institute Project Manager via our online form
- **March 15, 2023:** Grant submission deadline
- **April 20, 2023:** PIs notified of pitch selection
- **May 3, 2023:** Pitch Day – virtual
- **May 20, 2023:** Notice of Award sent to selected grant recipients
- **June 10, 2023:** Deadline to send the Institute a signed Notice of Award, Photo, and Project Description
- **June 5 – June 30, 2023:** Funded project orientation/kick off with Institute Team
- **July 1, 2023:** Funding begins

Please note that the Eshelman Institute recognizes that bold, impactful, and disruptive ideas can arise at any time, thus, we encourage faculty and staff to submit these opportunistic proposals to the Institute for consideration through our [Opportunistic Proposal process](#).

## 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 Institute with the assistance of a scientific and commercial advisory panel. Selected full proposals will be reviewed by the Eshelman Institute Steering Board and evaluated on Pitch Day.

All proposals must have a UNC-CH faculty or staff member on the proposal as either a Lead or co-Principal Investigator (PI). If an external innovator serves as Lead-PI on the proposal, please note that the UNC-CH faculty or staff member will be the fund manager and oversee the UNC chart field string (CFS).

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 Eshelman Institute 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.

## Grant Categories and Eligibility

The Eshelman Institute offers grants within three categories.

All grants are generally awarded from one to two years with various funding ranges. All funding asks will be thoroughly reviewed by the Eshelman Institute, so funding asks should be concise to what is needed to complete the project. All funding will be disbursed to PIs based on the completion of their aims and milestones identified in their application. Please note, Lead PIs are welcome to submit a maximum of two proposals during the annual cycle.

- **Therapeutic** – A project whose ultimate goal is to develop a drug
- **Technology Platform** – A project developing novel tool(s) with the potential to accelerate drug discovery/development)
- **Other** (e.g., devices, diagnostics, delivery)

All proposals must include a UNC-CH faculty or staff member as the Lead or co-PI. The Eshelman Institute 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 collaborators that provide broad scientific or commercial engagement. If you have questions about project role assignments on your proposal, please review our [Overview of Budget and Funding Guidelines](#).

In 2020, the Eshelman Institute formed partnerships with Meharry Medical College and NC Agricultural and Technical State University. With these partnerships, the Institute hopes to encourage PIs applying for funding to collaborate with faculty from these institutions and other HBCUs. We believe that collaboration between our schools will profoundly advance research and create a lasting impact.

The Institute recognizes the advantage of UNC's institutional resources relative to HBCUs. As part of our diversity, equity, and inclusion strategic plan, we regularly review and evolve our policies to reflect our values of building an inclusive community of innovators. To strengthen equity in our partnerships with HBCUs, the Eshelman Institute has made an exception to our funding policy and will fund the effort of faculty from HBCUs on funded projects. Effective 10/26/2021, please note that the Eshelman Institute follows the annual salary cap of \$199,300 set by the NIH. Your institution may pay you beyond the cap with non-Eshelman Institute grant funds. In addition, given that the Institute's funding is based on donor funds, we are unable to make an exception to cover any indirect or F&A costs related to a project.

PIs external to UNC-CH will be required to submit two letters of support with their application to be considered for funding. Please see the [Overview of 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 Eshelman Institute, please contact [EshelmanInstitute@unc.edu](mailto:EshelmanInstitute@unc.edu).

While identifying team members for your project, please keep in mind the below clarification of common role assignments on projects:

- **Lead Principal Investigator (Lead PI):** The lead individual designated on the project to have the appropriate level of authority and responsibility to direct the project or program to be supported by the award. A project is allowed one Lead PI. The Institute allows innovators external to UNC-CH to serve as a Lead PI, however, a UNC-CH faculty member or staff must serve as a Co-PI.
- **Co-Principal Investigator (Co-PI):** A Co-PI shares equal authority and responsibility as the Lead PI for all intellectual, administrative, and fiscal aspects of the award, consistent with applicable laws and regulations and the terms and conditions of the award or agreement. A project may have more than one Co-PI. The Institute allows innovators external to UNC-CH to serve as a Co-PI, however, a UNC-CH faculty member or staff must serve as the Lead PI or a fellow Co-PI.
- **Co-Investigator (Co-I):** An individual involved with the PI in the scientific development or execution of a project. The Co-I (collaborator) may be employed by, or be affiliated with, the applicant/recipient organization or another organization participating in the project under a consortium agreement. A Co-I typically devotes a specified percentage of time to the project and is considered senior/key personnel.
- **Consultant:** An individual who provides professional advice or services for a fee, but normally is not engaged as an employee of the recipient institution.

### Pre-proposal Guidelines

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

Pre-proposals should:

- Include either a Lead or co-PI from the UNC-CH
- Indicate the relevant grant category (e.g., Therapeutic, Technology Platform, Other)
- Include a brief project summary and identify the type of innovation you are proposing and the expected mode of delivery to end users (e.g., prescription product, consumer product, software, service)

- Address the novelty and differentiation of the proposed technology, product, service, or asset
- Include a preliminary list of existing IP known to be required for commercialization of the proposed product
- Provide an analysis of the competitive landscape
- Identify three subject matter experts (internal or external to UNC-CH) who would be ideal to review your full proposal

During the grant cycle, the 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.** We recommend 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 Institute will review all pre-proposals and will determine which proposals best align with our strategy and have potential for commercialization. An IP analysis is essential for commercialization, and your pre-proposal should include information on any existing IP to demonstrate a path forward should you be invited to submit a full proposal. PIs will be notified 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 (UNC OTC) is available for assistance with the IP analysis and can be reached at [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, the Lead and Co-PIs will receive specific instructions on the application process and requirements. Please note, all submissions must be submitted online through our grant application. Emailed submissions will not be accepted.

To view the full list of questions on the full proposal form, please review the [Guideline Appendix](#). 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. We recommend 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 full proposal consists of the following:

- **Proposal form** (online only; see [Guideline Appendix](#) for list of questions)
- File Upload (as separate documents):
  - **Proposal Summary File.** The below areas MUST be included in your proposal summary:
    - **Executive summary:** Provide a 200-250 word overview of your proposal. The executive summary along with your proposal, budget, and aims will be sent to the Eshelman Institute Steering Board.
    - **Problem and/or Need:** Describe the problem and/or unmet need that motivates your unique solution and/or idea.
    - **Evidence and Prior Art:** Outline the evidence and prior work in the area by others and/or the evidence or previous studies by the innovator. Enough evidence should be included in the application to demonstrate that the project is feasible, and that the innovator is likely to complete the project successfully within the duration of the award.
    - **Innovative Solution:** Describe the proposed idea and/or solution. How is it different from other ideas and/or solutions? How will it substantially transform science, medicine, health care delivery, education, outcomes, or patient health? Be sure to include information outlining competition in the market and in development of the proposed idea.
    - **Anticipated Challenges (Scientific and Commercial):** Describe any scientific and/or commercial challenges you anticipate for your proposed idea.
    - **Aims and Approach:** State the specific aims and approach for executing your proposed idea and/or solution.
    - **Next Steps:** Describe the plan or path for sustaining this work and/or program beyond initial funding through follow-on funding, commercialization, implementation, etc.
  - **Budget and Budget Justification File**
    - A member of the UNC Eshelman School of Pharmacy's Office of Research Administration (ORA) team must approve each budget before applications may be submitted. If your budget is submitted without ORA approval, it will be considered ineligible.
    - For more information, please review our [Overview of Budget and Funding Guidelines](#).
    - If applicable, include signed documentation from the authorized institutional grants office at the collaborating institution that contains the following statement: *"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."*
  - **Aims and Milestones File**

- PIs must work with Institute's Project Manager (PM) to craft the project's aims and milestones. *The PM deals with a high volume of requests, so please do not delay getting in touch with them about your project's aims/milestones. PIs that do not meet with PM about their aims and milestones will be considered ineligible.*
- As a first step in the process, PIs must complete an aims and milestones form that will be sent to the Lead/Co-PIs by the Institute.
- The PM will meet with PIs to streamline aims and milestones and Gantt chart project objectives.
- Please have your budget finalized before meeting with PM, so they can identify the proper tranche schedule for each aim with you.
- The final aims, milestones, and Gantt chart that will be provided by the PM to the Lead PI must be uploaded in the proposal application.
- **IP Strategic Plan (if applicable)**
  - If your project includes or relates to any collaborator IP, you will need to meet with an UNC OTC Commercialization Manager to craft your IP strategic plan during the full proposal process. OTC will work with the PIs to tie the aims and milestones into an IP strategic plan that considers both existing IP and proposed outcomes. If you have questions regarding the UNC OTC strategic plan, please contact [otc@unc.edu](mailto:otc@unc.edu).
  - If applicable, a letter from collaborator's technology transfer office if the use of the existing IP of collaborator is essential to the IP strategic plan.
- **Two (2) letters of support for any PI external to UNC**
- **Lead PI CV, resume, or bio-sketch**
- **Co-PI CV, resume, or bio-sketch (if applicable)**

### Formatting of Full Proposal:

Proposal summaries should abide by the following formatting guidelines:

- **Length:** A minimum of 2 pages and maximum of 5 pages and may include up to 2 pages of pivotal references; no other required document has a limit.
- **Margins:** At least half-inch
- **Font:** No smaller than 11-point Times New Roman or its equivalent
- **Spacing:** Single or exactly 12-point line spacing
- **Header:** Please include your name and project title in the header of each page of the proposal summary
- **File Type:** PDF format only

All full proposals will be reviewed by a panel of scientific and commercial experts who are SMEs in the proposal's area of focus. The Institute will review all submissions and reviewer feedback and decide on who to invite to pitch their idea to our Industry Advisory Board. Specifics around Pitch Day will be sent to PIs who are advancing in the process.

## Overview of Budget and Funding Guidelines

The Eshelman Institute 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 Institute may fund only a portion of the request. All funding awarded to PIs 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 (ORA) to finalize their grant budget. To start, please contact the ORA ([rajikash@email.unc.edu](mailto:rajikash@email.unc.edu) or [fiscelli@email.unc.edu](mailto:fiscelli@email.unc.edu)) to schedule a time to complete your budget. **A member of the ORA must sign off and approve each budget before applications may be submitted to the Institute or the application will be considered ineligible.**

If an external innovator is serving as Lead PI on the proposal, please note the Co-PI from UNC-CH will be the fund manager and have oversight of the chart field string (CFS). PIs will be notified of their project start and end dates in their award letter. If the expenditures in a single budget category fluctuate by more than 25 percent from the original budget, PIs must submit a request to re-budget.

If the work will not be completed in the time allotted, PIs may request a no-cost extension (NCE). 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 one NCE request for six months. NCE requests will be thoroughly reviewed by the Institute prior to a final decision. If an NCE is not approved, the remaining balance will be returned to the Institute.

If the Lead PI leaves their institution (UNC-CH or external) during the funding period, unspent funds will be returned to the Eshelman Institute. The opportunity may also be available to request a transfer of funds to a co-PI or collaborator within UNC-CH upon the discretion of the innovator's Division Chair and the Institute's Director.

Following the conclusion of a project, unspent funds will be returned to the Eshelman Institute within 60 days unless a NCE has been approved. All budget requests may be submitted on our [website](#).

For PIs working with collaborators at institutions outside of UNC-CH, the Eshelman 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.” This documentation can be combined with the UNC budget and uploaded as a single attachment.*

**Personnel Funding for All Grants:**

*Please note, the below funding policies are applicable to all UNC-CH faculty/staff and collaborators from external institutions.*

**The Eshelman Institute 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 Eshelman Institute will not fund:\***

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

**Please note:** The Eshelman Institute will NOT fund tuition. The Eshelman Institute will NOT fund overhead, indirect, or F&A costs from UNC or from any external collaborating partners or institutions.

\* As part of the Institute’s diversity, equity, and inclusion strategic plan, the Institute has made an exception to our funding policy and will fund the salary effort of faculty from HBCUs on funded projects. Effective 10/26/2021, please note that the Eshelman Institute follows the annual salary cap of \$199,300 set by the NIH. Your institution may pay you beyond the cap with non-Eshelman Institute grant funds. In addition, given that the Institute’s funding is based on donor funds, we are unable to make an exception to cover any indirect or F&A costs related to a project.

In July 2022, the North Carolina General Assembly appropriated funds for the NC Collaboratory to establish a partnership with the Institute for the purpose of supporting academic research. Please note, some projects selected by the Institute may be supported by these state funds. If your project is appropriated to these funds, the Institute will let you know any next steps including any restrictions to spending.

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

- **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 percent 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 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)).
- **Consultants:** Purchased services and contract costs.
- **Travel:** Costs associated with traveling to conferences, etc.
- **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.
- **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 the Institute's funding is subject to return.
- **Other:** Include any miscellaneous expenses and explain the need in detail.
- **Subcontracts:** If you are working with collaborators at institutions outside of UNC-CH, 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."*

### Opportunistic Funding Guidelines

Like all proposals submitted to the Eshelman Institute, an opportunistic proposal must be highly innovative, present a clear path towards commercialization through translational research, and have a clear potential to generate protectable IP.

In addition to the established grant criteria, the following criteria must be met for PIs to submit proposals outside of the annual submission cycle:

- The idea must be time-sensitive in response to environmental and societal needs and present a unique opportunity that may be lost if not immediately pursued.
- The innovator must establish that a compelling opportunity is available, and that immediate funding is needed to support the proposed work.
- It is the responsibility of the innovator to justify why the idea must be pursued now rather than through the annual proposal submission cycle.

To submit an Opportunistic Proposal, a PI must first submit a pre-proposal and follow the proper full proposal guidelines and processes. To submit an opportunistic proposal, please visit [our website](#).

### **Overview of Grant Policies**

All proposals must include a UNC-CH faculty or staff member. The Institute 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 collaborators that provide broad scientific or commercial engagement.

Innovators may serve as a Lead PI on a maximum of two applications per submission cycle between both grant categories.

Lead and Co-PIs must meet regularly with the Institute's PM 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 PM. Please note, disbursement of Institute funds will be contingent on achievement of project's milestones.

The Institute recognizes the advantage of UNC's institutional resources relative to HBCUs. As part of the Institute's diversity, equity, and inclusion strategic plan, we regularly review and evolve our policies to reflect our values of building an inclusive community of innovators. To strengthen equity in our partnerships with HBCUs, the Institute has made an exception to our funding policy and will fund the effort of HBCU faculty on funded projects. Effective 10/26/2021, please note that the Eshelman Institute follows the annual salary cap of \$199,300 set by the NIH. Your institution may pay you beyond the cap with non-Eshelman Institute grant funds. In addition, given that the Institute's funding is based on donor funds, we are unable to make an exception to cover any indirect or F&A costs related to a project.

All PIs must agree to participate in the Eshelman Institute's semi-annual Industry Advisory Board meetings (if asked) to provide updates on your project to our Board of industry leaders.

All PIs 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 funding, PIs agree to participate in tracking the impact of the project over time. Tracking the impact of the Institute's funding allows the Eshelman Institute to collect data to provide critical information for the sustainability of the Institute 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, PIs may expect additional annual

requests from the Eshelman Institute for updated information.

All published papers, abstracts, and presentations using data generated from this award must acknowledge the support of the Institute by including the statement: *“The authors acknowledge the generous support provided by the Eshelman Institute for Innovation at the UNC Eshelman School of Pharmacy.”*

External 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 Eshelman Institute, please contact [EshelmanInstitute@unc.edu](mailto:EshelmanInstitute@unc.edu).

Where an external PI will incorporate their IP into the proposed project, a letter laying out an IP management proposal is required from their institutional technology transfer officer.

As a condition of accepting funding, PIs agree to make every effort to attend and/or participate as needed in the Institute’s 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 Institute funds.

As a condition of accepting the Institute’s funding, PIs agree to abide by all the laws and regulations that apply to the performance of this work and agree to follow all UNC-CH, UNC Eshelman School of Pharmacy (School), and Eshelman Institute for 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 UNC policies and procedures. Information on these policies and procedures can be found [online](#). PIs 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 [online](#).

The Eshelman Institute 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 the Institute’s funding requirements, or for other reasons at the discretion of the Institute.

The Eshelman Institute has a mandate to work towards sustainability. As a result, the Institute will support the best path towards commercialization for any technology funded by Institute grants. This path may or may not include a faculty startup. The Eshelman Institute will work with UNC Office of Technology Commercialization and other relevant UNC and non UNC

expertise to determine the best path forward with substantial input from the grantees. Per UNC policy, the final decision on commercialization path will be made by UNC Office of Technology Commercialization. Faculty agree to support the final decision on commercialization as a condition of the grant.

The Eshelman Institute provides translational grants to faculty across UNC enabling novel innovative ideas to progress towards commercialization within the University. The Eshelman Institute also invests in translational infrastructure, translational project proposal development expertise, and critical diligence and project management capabilities all increasing the likelihood of commercial success for inventions coming from UNC labs. The sustainability of the Eshelman Institute, in part, relies on the successful commercialization of UNC intellectual property (IP). IP related revenue is received by the University and then is shared with inventors (40%), departments of the inventors (40%), and with the UNC Office of Technology Commercialization (20%) after expenses are paid. The Eshelman Institute is not a department entitled to commercialization revenue. As a result, the Eshelman Institute grants require, as a condition of funding, revenue sharing with the Departments. The Eshelman Institute does not take any commercialization revenue from the inventors share.

In July 2022, the North Carolina General Assembly appropriated funds for the NC Collaboratory to establish a partnership with the Institute for the purpose of supporting academic research. Please note, some projects selected by the Institute may be supported by these state funds. If your project is appropriated to these funds, the Institute will let you know any next steps regarding your project (RAMSeS, IPF, COI, etc.).

### **UNC Eshelman School of Pharmacy Support Services and UNC Offices**

It is vital to work with all UNC-CH support services and offices and follow all policies and procedures.

As part of the full proposal, PIs are required to identify and indicate which FAO team from the Eshelman School of Pharmacy 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 [here](#).

All budget tracking will occur within the UNC Eshelman School of Pharmacy. Pam Morrison is the contact for Eshelman Institute's budget tracking. The CFS provided upon funding must be utilized for all invoices. PIs 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 [here](#).

Information on the IACUC can be found at [here](#).

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, PIs must work with Institute's Awards Program Manager, to submit their request. PIs will need to provide the contract, scope of work, budget for contractor, and payment schedule. PIs 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.

## Guideline Appendix

*Please note questions listed below are subject to change.*

### Therapeutic Pre-Proposal Questions:

- Innovator Information:
  - Lead PI Name
  - Lead PI Institution
  - Lead PI School/Department
  - Lead PI Title

- Lead PI Email
- Is there a Co-PI on this project?
  - Co-PI Name
  - Co-PI Institution
  - Co-PI School/Departments
  - Co-PI Title
  - Co-PI Email
- Please provide a brief summary of the scientific expertise/resources contributed by each PI on this project
- Have you applied for/received Eshelman Institute funding before?
- Does this project relate to a prior Eshelman Institute funded project(s)?
  - If yes, please explain
- Do you need help from the Eshelman Institute to identify an academic collaborator or contract research organization?
  - If yes, please explain
- Have you been in touch with an Eshelman Institute team member about this idea? If yes, who?
- Project Information
  - Project Name
  - Please select a grant category (therapeutic, technology platform, & other)
    - **Therapeutic**
      - What therapeutic area is your idea?
      - What therapeutic modality is your idea?
      - What problem would this therapeutic solve?
      - Do you have any current IP filed or licensed for this work?
      - What other therapeutics exist that are trying to solve this/similar problems?
      - What advantage over current therapeutics would this therapeutic possess?
      - Please identify commercial sectors or specific companies that would be interested in commercializing your idea, if successful (i.e. Pharma/Biotech, Device Companies, Software, CROs, Manufacturing)
    - **Technology Platform**
      - What is your project's technology platform innovation area?
      - What problem is this technology platform intended for?
      - Do you have any current IP filed or licensed for this work?
      - What other technology platforms exist that are trying to solve this/similar problems?



- What advantage over currently used methods would this platform possess?
- Please identify commercial sectors or specific companies that would be interested in commercializing your idea, if successful (i.e. Pharma/Biotech, Device Companies, Software, CROs, Manufacturing)
- **Other**
  - What is your project's innovation area?
  - What problem is your idea trying to solve?
  - Do you have any current IP filed or licensed for this work?
  - What other solutions exist that are trying to solve this/similar problems?
  - What advantage over currently used methods would this solution possess?
  - Please identify commercial sectors or specific companies that would be interested in commercializing your idea, if successful (i.e. Pharma/Biotech, Device Companies, Software, CROs, Manufacturing)
- Provide 3-5 keywords for this project
- Brief project abstract
- Estimated funding ask
- Estimated time length of project
- Novelty
- Identify any existing UNC, external, or third-party IP used or required for this project
- Recommended Reviewers
  - List Reviewer 1 (name and email)
  - List Reviewer 2 (name and email)
  - List Reviewer 3 (name and email)
- Equality and Diversity Questionnaire
  - Lead and Co-PI Ethnicity
  - Lead and Co-PI Gender

### Therapeutic Full Proposal Questions

- Innovator Information:
  - Lead PI Name
  - Lead PI Institution
  - Lead PI School/Department
  - Lead PI Title

- Lead PI Email
  - Is there a Co-PI on this project?
    - Co-PI Name
    - Co-PI Institution
    - Co-PI Email
  - UNC Lead PI or Co-PI Supervisor's Email (approval will be needed from UNC Supervisor)
- Project Outline
  - Project Title
  - Projected length of project (years)
  - What is the total number of funding requested for this project?
  - Please select a grant category (therapeutic, technology platform, other)
  - List your project's focus area
- Project Team Members
  - Please list the role, name, and email associated with every co-PI, collaborator, or personnel affiliated with this project
- Subcontract Information
  - Will your project require a subcontract to an external institution? If yes:
    - Briefly outline the intent of the subcontract
    - Will the subcontract agreement involve human subject research?
    - Will the subcontract agreement involve clinical trials?
    - Will the subcontract agreement consider clinical trials?
    - Will the subcontract agreement involve laboratory animal research?
- Additional Funding
  - Have either the Lead or Co-PI had other projects funded by the Eshelman Institute for Innovation?
  - Have you received any additional funding related to the topic outlined in this proposal?
  - Have you previously submitted and/or received Institute funding for this work related to the topic in the proposal? If yes, please provide details?
- Additional Resources Needed
  - Please list any departments that you will require additional support for
  - Please explain what kind of support you may need from these departments
- Intellectual Property
  - Please read the [UNC Patent and Invention Policy](#) and agree to the terms and conditions.
  - What type of IP will this project generate (e.g. composition of matter, methods of manufacture, software, etc.)?
  - Who will be listed as inventors on any IP generated?

- Is there any existing intellectual property to or related to or required for this project?
- Identify an existing UNC, external, or third party IP related to or required for this project?
- Will you be using materials obtained from other institutions that cannot be obtained from commercial or other unrestricted sources? (i.e. cell lines, transgenic animals, other reagents)
- If not listed in your approved budget or list of team members, please list all potential inventors or authors of any IP that will be generated from this project.
- Compliance Questions
  - Does this project involve animals?
  - Does this project involve human subjects?
  - Does the project involve hazardous materials?
- Conflict of Interest
  - Please read the [UNC Conflict of Interest Policy](#)
  - Do you expect to have any conflicts of interest or commitments that have the potential to directly and significantly affect the University's interests, compromise objectivity in carrying out University responsibilities, or otherwise compromise performance of University responsibilities? If yes, please explain.
  - Are you launching a software or services startup company during this project? If yes, have you started the COI application process?
- File Upload (as separate documents):
  - **Proposal Summary File.** The below areas MUST be included in your proposal summary:
    - **Executive summary:** Provide a 200-250 word overview of your proposal. The executive summary along with your proposal, budget, and aims will be send to the Eshelman Institute Steering Board.
    - **Problem and/or Need:** Describe the problem and/or unmet need that motivates your unique solution and/or idea.
    - **Evidence and Prior Art:** Outline the evidence and prior work in the area by others and/or the evidence or previous studies by the innovator. Enough evidence should be included in the application to demonstrate that the project is feasible, and that the innovator is likely to complete the project successfully within the duration of the award.
    - **Innovative Solution:** Describe the proposed idea and/or solution. How is it different from other ideas and/or solutions? How will it substantially transform science, medicine, health care delivery, education, outcomes, or patient health? Be sure to include information outlining competition in the market and in development of the proposed idea.

- **Anticipated Challenges (Scientific and Commercial):** Describe any scientific and/or commercial challenges you anticipate for your proposed idea.
- **Aims and Approach:** State the specific aims and approach for executing your proposed idea and/or solution.
- **Next Steps:** Describe the plan or path for sustaining this work and/or program beyond initial funding through follow-on funding, commercialization, implementation, etc.
- **Budget and Budget Justification File**
  - A member of the UNC Eshelman School of Pharmacy's Office of Research Administration (ORA) team must approve each budget before applications may be submitted. **If your budget is submitted without ORA approval, it will be considered ineligible.**
  - For more information, please review our [Overview of Budget and Funding Guidelines](#).
  - If applicable, include signed documentation from the authorized institutional grants office at the collaborating institution that contains the following statement: *"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."*
- **Aims and Milestones File**
  - PIs must work with Institute's Project Manager (PM) to craft the project's aims and milestones. *The PM deals with a high volume of requests, so please do not delay getting in touch with them about your project's aims/milestones. PIs that do not meet with PM about their aims and milestones will be considered ineligible.*
  - As a first step in the process, PIs must complete an aims and milestones form that will be sent to the Lead/Co-PIs by the PM.
  - The PM will meet with PIs to streamline aims and milestones and Gantt chart project objectives.
  - Please have your budget finalized before meeting with PM, so they can identify the proper tranche schedule for each aim with you.
  - The final aims, milestones, and Gantt chart that will be provided by the PM to the Lead PI must be uploaded in the proposal application.
- **IP Strategic Plan (if applicable)**
  - If your project includes or relates to any collaborator IP, you will need to meet with an UNC OTC Commercialization Manager to craft your IP strategic plan during the full proposal process. OTC will work with the PIs to tie the aims and milestones into an IP strategic plan that considers

both existing IP and proposed outcomes. If you have questions regarding the UNC OTC strategic plan, please contact [otc@unc.edu](mailto:otc@unc.edu).

- If applicable, a letter from collaborator's technology transfer office if the use of the existing IP of collaborator is essential to the IP strategic plan.
- **Two (2) letters of support for any PI external to UNC**
- **Lead PI CV, resume, or bio-sketch**
- **Co-PI CV, resume, or bio-sketch (if applicable)**

### **Formatting of Full Proposal:**

Proposal summaries should abide by the following formatting guidelines:

- **Length:** A minimum of 2 pages and maximum of 5 pages and may include up to 2 pages of pivotal references; no other required document has a limit.
- **Margins:** At least half-inch
- **Font:** No smaller than 11-point Times New Roman or its equivalent
- **Spacing:** Single or exactly 12-point line spacing
- **Header:** Please include your name and project title in the header of each page of the proposal summary
- **Type:** PDF format only

All full proposals will be reviewed by a panel of scientific and commercial experts who are SMEs in the proposal's area of focus. The Institute will review all submissions and reviewer feedback and decide on who to invite to pitch their idea to our Steering Board. Specifics around Pitch Day will be sent to PIs who are advancing in the process.