



## MEMORANDUM

TO: UAH faculty members and research staff

FROM: Dean O. Smith  
Interim Vice President for Research

DATE: January 28, 2013

SUBJECT: 2013 UAHuntsville Charger Innovation Fund Program  
Request for Proposals – Revision #1

The Office of the Vice President for Research is pleased to announce an allocation of \$100,000 dollars in grant support to stimulate efforts to commercialize intellectual property developed at the University. These funds will be managed by the Office of Technology Commercialization with input from an advisory board made up of representatives from faculty, staff, and the business community. The overall goal of this investment is to enhance UAHuntsville's role as an integral part of this community's and state's economic engine.

All individuals eligible for Principal Investigator status as defined in the Principal Investigator Handbook (<http://osp.uah.edu/2012-04-18-19-26-34/uah-principal-investigator-handbook>) may apply. The funds will be awarded competitively on the basis of the project's potential for commercial development. The maximum award will be \$50,000.

More details can be found in the attached 2013 UAHuntsville Charger Innovation Fund document.

Final proposals should be received by the Office of Sponsored Programs by 5:00pm on Monday, February 18, 2013. It is intended that awards will be announced in late March, 2013. If you have any questions, please contact Kannan Grant at 824-6621 or Becky England at 824-6712.

c: Dr. Robert Altenkirch  
Dr. Vistasp Karbhari  
Dr. Thomas Koshut  
Ms. Gloria Greene  
Mr. Kannan Grant



## **Charger Innovation Fund (CIF)**

The Office of Technology Commercialization (OTC)-managed Charger Innovation Fund (CIF) will be a UAHuntsville development mechanism that will assist faculty and staff with work to further the commercial potential of technologies developed at the University. Funds will be awarded under the advisement of the CIF Advisory Council, which consists of representatives from the Office for the Vice President for Research, faculty, research staff, and the local business community.

The objective of CIF is to support short-term projects that will enhance the commercial value of UAHuntsville intellectual property assets. Financial support is designed to provide an individual technology portfolio up to \$50,000 for a period of twelve months.

The CIF will support demonstrative commercial development work reducing an invention to practice, providing critical commercial relevant data, or developing working prototypes. All projects will be viewed to make the technology more commercially marketable.

### **Application and Evaluation Process:**

Applicants must submit a 5-page double-spaced application addressing specific commercialization priorities, including details of proposed development project and rationale for the proposed development project achieving the CIF goals.

For each award cycle (bi-annual), the CIF Advisory Council will convene approximately one month following the deadline for proposal submission to review applications. All applicants will be invited to the CIF Advisory Council meeting to present (“pitch”) the proposed project to the CIF Advisory Council. Each pitch session will be 10 minutes long with 5-10 minutes for questions. Strict time limits will apply and presenters should assume that the CIF Advisory Council has already read and is familiar with the proposal. The objectives of the pitch session are to provide a forum for the applicant to benefit from the expert advice of the CIF Advisory Council and to provide an opportunity for the applicant to address the questions of the CIF Advisory Council. Applicants are advised to work with the OTC as they prepare for the pitch session.

Each presentation made to the CIF Advisory Council and OTC Director will be evaluated, at a minimum, based on the following criteria:

- A. The technology’s novelty and need
- B. The market need
- C. The maturity of the technology
- D. The impact that the requested CIF funding will have on the technology’s stage of development
- E. The legal landscape for the technology (i.e. IP position and third party obligations)
- F. The principal investigator’s commitment to commercialization
- G. The experimental design of the proposed project

**Terms of Award:**

All project aims and budget funds shall be expended within 12 months from the date of award. Extensions of time will be granted only in *extraordinary circumstances*, which must be described in a written request to the CIF Advisory Council as soon as timely completion of the project is in question, but no later than 30 days prior to the end of the project term.

Three (3) months into the project, award recipients shall meet with the OTC Director to provide a status on the project. Insufficient progress on a project at this meeting can result in early termination of the CIF award and return of the fund monies. A final progress report must be submitted to the OTC Director within 30 days of the end of the award period, or an approved extended term if applicable. At the end of the project term, all remaining funds will be returned to the CIF.

Award recipients may reapply in subsequent rounds, up to a maximum of three (3) times, for support of the same technology (e.g., as a second phase, for example), not to exceed an aggregate cap of \$100,000 per technology. In order to be eligible for any subsequent request for applications, the final progress report of the previous award(s) on the same technology must have been timely submitted to the OTC Director. Applications that are directed to a technology that was previously funded will be subject to the full review process and considered in the same pool as first-time CIF award applicants.

Award recipients may be requested to present their findings to the CIF Advisory Council and/or OTC Director at any time during or after the award period.

Funds awarded to recipients shall not be subject to F&A cost.

**CIF Proposal Submission Form:**

For consideration, all proposals must be submitted through the Office of Sponsored Programs (OSP), in accordance with established university sponsored program procedures.

**Proposal Outline:**

The proposal length should not exceed five (5) double-spaced pages, excluding the cover sheet, the budget pages and the curriculum vitae. The proposal should maintain one-inch margins and use Times New Roman in 12-point font. In the interest of fairness to all faculty members, any proposal exceeding the page limit or not conforming to the margin and font requirements will be returned without review. All proposals must follow the format given below.

- A. Cover Page
- B. Title of Project
- C. Background Information
  - What is the invention?
  - Why was it created?
  - How does it address the need?
  - What might be claimed in a patent?
  - Summary of the current state of the technology.

D. Statement of Work

- What will be done with the CIF Fund Award?
- Describe the proposed work and time frame to complete the work.
- It is the responsibility of the PI to ensure all applicable regulatory approvals are obtained prior to award (Animal & Human Subject, etc.)

E. Marketing

- How will this work make the invention or technology more marketable?
- Are there any companies currently interested in taking license to this technology?

F. Budget requested by category: The budget must be appropriate for the project. Budget will be prepared by OSP, and justification with appropriate level of detail to allow for an informed evaluation of your proposed budget. This justification should not exceed one page. Please work with the Office of Sponsored Programs in developing your budget if necessary. To be helpful, some guidelines for constructing the budget are given below:

1. Salaries, wages and fringe benefits: The PI may apply funds in the budget towards his/her salary (academic or summer). Research staff and faculty salary requests are limited to only one semester (4.25 months) or the summer; salaries cannot exceed 33% of the base salary (faculty: 9 months; staff: 12 months). Funds may also be used to support salaries and wages for individuals other than the faculty member if their work is critical to the completion of the research project by the faculty member (provided this is addressed in the budget justification). Typical examples are, graduate and undergraduate student support required in the acquisition, development and preparation of research materials and data, machine shop time, and equipment operation assistance. Administrative and graduate student tuition support is not covered (no cost share of tuition).
2. Research-related Equipment/Instrumentation: Any equipment/instrumentation acquired under the grant is owned by the University. Normally, at the end of the project, any equipment purchased will become property of the department to which the grantee is assigned. All purchases of equipment must be supported in the proposal relative to need for accomplishment of the proposed research effort. Request for purchase of equipment not justified and required for accomplishment of the specific research objective and proposed plan will not receive approval.
3. Research-related Operating Expenses: Please break out the total operating expenses necessary to complete the proposed activities into the appropriate categories.
4. Travel: Funds are not provided for attending professional meetings but are available for travel required to complete the research. Justification of travel and explanation of its role in accomplishing the research project must be included in the proposal.

G. Curriculum Vitae

**PROPOSAL**  
**Charger Innovation Fund 2013**

Title: \_\_\_\_\_

Proposed Dates for Project: \_\_\_\_\_

Proposal Amount: \_\_\_\_\_

Principal Investigator (Name/Title): \_\_\_\_\_

Principal Investigator's Signature/Date: \_\_\_\_\_

Department: \_\_\_\_\_ Bldg./Room #: \_\_\_\_\_

College/Center: \_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Approval

Dept. Chair: \_\_\_\_\_ Signature/Date: \_\_\_\_\_

Dean: \_\_\_\_\_ Signature/Date: \_\_\_\_\_

Center Director: \_\_\_\_\_ Signature/Date: \_\_\_\_\_

OSP: \_\_\_\_\_ Signature/Date: \_\_\_\_\_