TABLE OF CONTENTS

- OVERVIEW
- APPLICATION AND EVALUATION PROCESS
- AWARD TYPES
- TERMS OF AWARDS
- INTELLECTUAL PROPERTY DISCLOSURES
- PRE-APPLICATION FORM
- PROPOSAL TEMPLATE WRITE-UP
- CONTACT PAGE
SPRING 2019
PRE-APPLICATION

SUBMISSION PERIOD:
JANUARY 1 - MARCH 29, 2019

Spring 2019 pre-applications must be submitted by 5:00 PM CST March 29, 2019.

OVERVIEW

The Bill L. Harbert Institute for Innovation and Entrepreneurship (HIIE) has established the Innovation Fund, which aims to A) support a short-term project that enhances the commercial value of University of Alabama at Birmingham (UAB) intellectual property assets; B) provide UAB startup companies with "seed" type funding. Funds will be awarded under the advisement of the HIIE Advisory Council, which consists of representatives from the Birmingham business community, who will advise on and assign a score to applications as received.

APPLICATION AND EVALUATION PROCESS

Interested faculty and staff must complete the attached pre-application form and proposal write-up. Completed documents must be emailed to innovation@uab.edu by the submission deadline. Late applications will not be considered.

In the pre-application form, applicants must indicate which of the objectives they intend to pursue for their technology, i.e. enhance commercial value through technology development or startup seed funding. The HIIE evaluation committee will review each pre-application and announce semi-finalists for the Spring term on April 16, 2019.

Selected semi-finalists will then complete a full application, which will be made available in the first quarter of 2019. Applications that indicate the need for startup seed funding will require an accompanying pitch deck. For those seeking funds for technology development, presentation material is not required, but encouraged. During each award cycle (semi-annual), the Advisory Council will convene following the deadline for full applications to review submissions. Semi-finalists will be invited to present their proposed project to the Advisory Council. Presentations will be 5 minutes in length with 5 minutes for questions. Strict time limits will apply and presenters should assume that the Advisory Council has already read and is familiar with the proposal. The objectives of the presentation sessions are to provide a forum for the applicant to benefit from the expert advice of the Advisory Council and to provide an opportunity for the applicant to address the questions of the Advisory Council. Applicants are advised to work with the UAB Commercialization Accelerator to prepare for the presentation session.

Details about the evaluation process and timeline can be found on our website.
AWARD TYPES

Applicants receiving funds for technology development are subject to a 1:1 cash match requirement. For example, if an applicant requests $1,000 from the Innovation Fund, they must match that amount from a sponsor. The sponsor can be a regional partner institution, including another university, a regional economic development group, a foundation, a strategic industry partner, or a private investor. A capital allocation amount from an internal source within UAB will also be considered. Please note that capital pooling is allowed.

Applicants seeking seed stage funding for a startup are not subject to the cash match requirement. Instead, funds provided by the Innovation Fund will serve as an investment into the startup in the form of a convertible note.

TERMS OF AWARD

Applicants can request up to $35,000 per award cycle. All project funds shall be expended within 12 months from the date of award. An extension will only be considered based on extraordinary circumstances, which must be described in a written request to the HIIE upon immediate concern, but no later than 30 days prior to the end of the project term.

Six (6) months into the project, or at the request of the executive director of the Bill L. Harbert Institute for Innovation and Entrepreneurship, award recipients shall meet with the HIIE, to provide a status on the project. Insufficient progress on a project can result in early termination of the award, and return of the Innovation Fund monies. A final progress report must be submitted to the HIIE 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 retained by the Innovation Fund.

Recipients may reapply in subsequent award cycles, i.e. fall and spring, for support of the same technology (e.g., as a second phase). To be eligible for any subsequent request, a progress report of the previous award(s) on the same technology must have been submitted to the Harbert Institute. Applications for technologies previously funded will be subject to the full review process and considered in the same pool.

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

Funds awarded to recipients shall not be subject to indirect cost recovery from UAB. Additionally, funds cannot be used for salary & wages, including internships.

INTELLECTUAL PROPERTY DISCLOSURES (IPD)*

It is not required for applicants to have already disclosed their technology to the HIIE for award consideration. However, faculty and staff must submit an IPD prior to receiving funds.

*All intellectual property meeting certain criteria set forth in the UAB Patent Policy (which implements UA System Board Rule 509) which is created by a UAB employee or by a UAB student is automatically assigned to UAB upon creation. UAB assigns it to the UAB Research Foundation (“UABRF”). UABRF is the intellectual property commercialization unit of the HIIE at UAB. In addition, certain copyrightable intellectual property may also be owned by UAB if it meets certain criteria set forth in the UAB Copyright Policy.
Pre-Application Form Spring 2019 Grant Round

Project Title:

Award Type: (Select only one)
- A. Technology Development
- B. Startup seed stage funding

If technology development is selected, please indicate your cash match sponsor:

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<th>Organization:</th>
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Total Funds Requested: $

Preferred Contact Person:

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<th>Name:</th>
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<th>Phone:</th>
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Investigator Data:

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Have you already disclosed your technology to the HIIE? If so, who is your HIIE licensing associate? _____________________________

Please note, your HIIE status has NO bearing on your eligibility for an award from the Innovation Fund.
Proposal Template Write-Up

INSTRUCTIONS:

- Write-up must not exceed 2500 words excluding pre-application form and cover page. Also note this does not include graphics — additional images and graphics are encouraged.

- Include the project title and PI last name on the cover page. These must match the information on the pre-application form.

- Email the combined pre-application form and write-up to innovation@uab.edu by 5:00 PM CST March 29, 2019. Use spring19_UABIF_preapp_investigatorname.pdf as the email subject line and file name.

TEMPLATE:

1. NON-CONFIDENTIAL Executive Summary
   
   Provide a one paragraph overview for your proposal. It must include information on the technology, the problem it would solve, target market, and use of grant funding.

2. Opportunity and Potential Impact
   
   Provide additional context of the problem you propose to solve. What does the current competitor market look like? Why are their approaches insufficient? Why is your solution compelling? Please assume that the reviewer may not be well-versed in your area of expertise. Market data and testimonials are encouraged.

3. Proposed Approach
   
   Provide a background on the technology or solution. How will it work? What is the vision for the product or service? What is the current status of the idea? Have you validated the market or done any testing? Explain the benefits and novelty of the technology and proposed solution, with respect to intellectual property. What are some of the additional hurdles to commercialize this?

4. Target Market
   
   Why would this product be successful? What is the value proposition for a target customer? What is the scope of the market and where does your technology or solution fit? Have you engaged a key opinion leader or organization about your idea? If so, with whom have you consulted? Why will your technology be competitive in this target market?

5. Deliverables
   
   Outline the steps in advancing this innovation (e.g., sponsored research support, licensing, starting up a company)? What is the timeline? What experiments, if any, are you going to perform and what data do you plan to gather. List the expected milestone(s) you hope to achieve with the grant funding. Please include specifics and an accompanying time frame.

6. Team and Collaborations (if applicable)
   
   List team members and/or collaborators from UAB or other institutions with whom you plan on working to advance the proposed innovation. Collaborations are not required for funding, but are welcome. Please include what the role would be in the project for each collaborator, as well as their affiliated institution, department, and email address.
WE'RE HERE

LET’S TALK.

The Bill L. Harbert Institute for Innovation and Entrepreneurship fosters an entrepreneurial ecosystem at UAB and provides the infrastructure required for students, staff, and faculty to commercialize innovation on campus, within the community, and beyond.

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