



## Application Instructions and Checklist For Commercialization Initiation

### STUDY THE FOLLOWING MATERIALS CAREFULLY FOR INSTRUCTIONS ON HOW TO PROCEED

1. Should there be any question of institutional or project eligibility for application for support, contact Dr. Moses Lee for advice at 360-694-8415.
2. Invitations to submit proposals will be sent to all eligible institutions during March for a submission deadline of June 1. The PI will initiate the application process by registering in the Fluxx grants portal using this link (<https://murdocktrust.fluxx.io/apply/commercialization>). The PI must complete the Organization Information (EIN needed), Principal Investigator Information, and other Required Contacts information. The other Required Contacts will be a Second Principal Investigator, Grants Administrator, (University or Institute) President or CEO, and VP/Provost for Research. (Login and password will be provided upon registration.) Everyone registered for this application will be able to work together in developing it, but the grants administrator will ultimately be responsible to submit the proposal on behalf of the institution. Once submitted, your registration will be processed, and then an application draft will show in the grants portal.
3. Login to Fluxx grants portal to complete the Commercialization Initiation application draft. Complete the Project Description, Project Timetable, and Budget Summary information as requested in the space provided online.
4. Continue the CI application by downloading the “Proposal Narrative” form. All information should be completed for Sections A-C in the space provided. Up to 10 pages (using a font no smaller than 11 pt.) may be added for Section D, numbering them starting with page 3 and continuing to a maximum of page 12. Information to guide you in addressing Subsections I through VIII is found in this document under Instructions for Completing the Commercialization Initiation Application.
5. An Appendix Section E can be added after Section D. Information about what can be included in this section is given in this document under Instructions for Completing the Commercialization Initiation Application.
6. The Commercialization Initiation Application Sections A-E, a letter of endorsement from the Chief Executive Officer or his or her designated representative, Chief Academic or Research Officer, and all other supporting documents—**all in one PDF file**, should be uploaded as Proposal Narrative in the Project Documents section.
7. The Commercialization Initiative Application Section F, an up to three-minute business pitch video of your Commercialization Initiation Project is required for all applications. An .mp4 or .mov file would be best. This file should be uploaded in the Project Documents section.

Proposals may be submitted during the months of April and May. Awards will be announced in August.

## INSTRUCTIONS FOR COMPLETING THE COMMERCIALIZATION INITIATION APPLICATION

Login to Fluxx grants portal. Click on Full Application Requested and select the Commercialization Initiation application **draft**. Complete the Organization Information and Contact Information (already provided at registration), and Project Description, Project Timetable, and Budget Summary information as requested in the space provided online.

- **PROJECT DESCRIPTION**

**Project Title:** Provide a concise, one-phrase title that encapsulates the central theme of the project for which the requested funds will be used.

**Executive Summary:** Distill the essentials from the “Narrative,” Section D, so that the reader can get an overview of the project. The summary should be able to stand on its own as the official description of your proposed project. Be sure to state clearly the central theme and objectives of the project, the plan you are proposing to address them, and the scientific and commercial significance of the project. Use language comprehensible to the intelligent non-scientist.

- **PROJECT TIMETABLE**

**Duration:** Grants will be made to support the project for two years. (A no-cost extension may be requested for the grant under special circumstances.)

- **BUDGET SUMMARY**

**“Total Project Cost”** means the cost of the overall project, not just that portion of the project for which support from the Trust is being requested. The *“Funding Committed from Institution”* is the actual firm commitment of the institution to the direct costs of the project. The *“Balance from Other Sources”* is actual firm commitment from other sources to the direct costs of the project. **(Note: Do not include indirect costs either in the “Request from Murdock Trust” or in the “Total Project Cost.”)** The amounts you put in these spaces should add up to the total project cost.

## CONTINUE BY COMPLETING THE “PROPOSAL NARRATIVE”

The Proposal Narrative will include all information for Sections A-E, in one PDF file. All information should be completed for Sections A-C in the space provided. Up to 10 additional pages may be added using the format specified below (Sections D). Use a font no smaller than 11 pt. in completing the Application. Sections D and E should be developed by adding pages that follow the first three pages of the Form. (The PDF file can be generated using a word processor or scanned in high acceptable/high resolution.)

## DOWNLOAD THE PROPOSAL NARRATIVE (SECTIONS A-E) FORM

**Download the Proposal Narrative form to complete Section A-E.**

### A. PROPOSAL INFORMATION

**Personnel:** List the employees and subcontractors who are directly contributing to the project. For each employee, provide information about his or her degree and scientific field of expertise. Briefly indicate his or her responsibility on the project and provide his or her email address. If applicable, provide information for each subcontractor. Briefly indicate his or her responsibility on the project, and in the appropriate sections, e.g., budget justification, intellectual property, technical background,

clarify why the subcontractor is necessary to ensure success of the project, what will he or she be contributing to the project, and will he or she have any claim to the intellectual property? For each category, please add lines to include additional members if needed.

**Earlier Financial Support for this Project:** List any earlier support the PI or inventor has received for this project from grants, institution, and/or contracts. Use appropriate abbreviations for sources, such as NSF, NIH, etc. For each category, please add lines to include additional support if needed.

**Financial Conflict of Interest Policy:** If you answer “no” please provide a brief explanation in the Appendix, Section E.

**Intellectual Property Policy:** If you answer “no” please provide a brief explanation in the Appendix, Section E.

**Certification on the Use of Animals and Human Subjects:** If you answer “yes” please include the approval letters in the Appendix, Section E.

- B. FACILITIES AND EQUIPMENT:** List major equipment items and facilities, available at your institution, that are needed to support the project.
- C. PROPOSED BUDGET:** The PI or inventor may request up to \$75,000 for a two-year grant. The institution is expected to provide at least a 1:1 match. Ideally, funding for each item should be shared equally between the Trust and the institution. (Similarly, spending of the funds should also be done equally.) The total request from the Trust plus the Institution and Other Sources must equal the Total Project Cost (last column).

Salaries or stipends for non-faculty employees should be entered separately and adequate justification must be included in the BUDGET JUSTIFICATION section. A request for salary for a faculty member is not allowed.

All equipment items requested should be itemized; a brief rationale for equipment requested should appear under BUDGET JUSTIFICATION, and, if appropriate, a more lengthy justification may be included in the NARRATIVE. Also, a 50 percent institutional cost sharing is expected for each equipment item in excess of \$1,000. This cost is part of the institution’s 1:1 match.

Minor requests under supplies need not be itemized. (Supplies are defined as materials or objects whose individual cost does not exceed \$500, or whose useful lifetime is expected to be less than five years.)

Requests for travel must be itemized under “Other” and justification provided in BUDGET JUSTIFICATION. This item cannot exceed 10 percent of the total budget. Only travel that is required for the performance of the research and development may be requested.

No more than 25 percent of the total budget can be allocated to securing the IP for the invention.

Publication costs and indirect costs are not allowed and should not appear anywhere in the budget.

Murdock support will not be provided toward indirect project costs. Also, Murdock monies may not be requested for construction renovation costs. Secretarial assistance, telephone, and routine office supplies are also not allowed.

**BUDGET JUSTIFICATION:** Rationale should be provided here for special budget requests, including personnel, equipment, travel, and other institutional financial support for the research and development that does not appear in the PROPOSED BUDGET.

**D. NARRATIVE DESCRIPTION OF THE PROJECT:** Up to **ten** pages and use a font size of not less than 11 pt. Describe in detail your project according to the following sections: (I) Product; (II) Technical Plan; (III) Intellectual Property; (IV) Market, Competition, Commercialization Merit; (V) Business Plan (long term and immediate next round of funding); (VI) Expected Outcomes; (VII) Commercialization Team and Partner(s); and (VIII) Bibliography (use NIH proposal style).

**(I) Product:** Describe the product or invention that the proposed activities seek to develop.

**(II) Technical Plan:** Describe the work to be performed, including the scientific and technical background, further research and development, milestones, deliverables, and technical outcomes.

**(III) Intellectual Property:** Summarize the intellectual property underlying the product and the proposed work, including ownership/access and the protection plan.

**(IV) Market, Competition, Commercialization Merit:** Describe the market for the proposed product (i.e., who would buy the product and why) and estimate its size. Summarize competing products or methods (both existing and under development). Prepare a compelling description for the commercial merit of the product under development.

**(V) Business Plan:** Provide a compelling description on how the PI or inventor plans to secure future funding to continue the development of the product and bring it to the market. First, focus on the immediate next round of funding, and second, focus on the long-term business development plan.

**(VI) Expected Outcomes:** Based on the goals and objectives of the proposed activities, describe the expected outcomes to the extent that it is funded by this grant and institutional match, and how success will be measured.

**(VII) Commercialization Team and Partner(s):** Name the key members of the commercialization team and briefly discuss their relevant experience. Name the organization or individual who is serving as the commercialization partner. Describe the commercialization partner's length of involvement with the proposal. If appropriate, name the coordinator and describe his or her major contributions on the proposed project.

**(VIII) Bibliography:** A bibliography should be provided only of those works referenced by number in the NARRATIVE. Include the authors, title, year, volume, and inclusive page numbers for journal citations.

**E. APPENDIX:** Attach the letter of endorsement from the Chief Executive Officer or his or her designated representative, Chief Academic or Research Officer, and the biographical sketches (NIH style and please include the dollar amount for grants listed) of the PI and employees in this section. Also, include in this section an extra page if spaces are needed for the PERSONNEL and EARLIER FINANCIAL SUPPORT, and explanations if the PI or inventor answered "no" on the questions regarding FINANCIAL CONFLICT OF INTEREST POLICY and/or INTELLECTUAL PROPERTY POLICY. If appropriate include letters of support from collaborators, subcontractors, and approvals from the institutional Animal Care and Use Committee and/or HSRB/IRB.

- i. A letter of endorsement from the Chief Executive Officer or his or her designated representative, Chief Academic or Research Officer, explaining how it furthers the institution's mission and priorities, and confirming that scheduled progress or final reports from all past Trust-supported projects are current.
- ii. An extra page if additional spaces are needed for the PERSONNEL and/or the EARLIER FINANCIAL INFORMATION sections.
- iii. Biographical sketches of the PI or inventor and employees (in NIH format).
- iv. If appropriate, provide explanations in additional pages if you answered "no" on the questions regarding FINANCIAL CONFLICT OF INTEREST POLICY and/or INTELLECTUAL PROPERTY POLICY.
- v. If appropriate, include letters of support from collaborators, subcontractors, and approvals from the institutional Animal Care and Use Committee and/or HSRB/IRB.

**F. UP TO THREE-MINUTE BUSINESS PITCH VIDEO:** An .mp4 or .mov file would be best. This is a separate file to be uploaded in the Project Documents section.

## UPLOAD THE COMPLETE PROPOSAL NARRATIVE (SECTIONS A-E) AND VIDEO (SECTION F)

**Upload the complete Proposal Narrative, as one PDF file, in the PROJECT DOCUMENTS section.** The complete Proposal Narrative form includes the following:

1. Section A, Proposal Information
2. Section B, Facilities and Equipment
3. Section C, Proposed Budget and Budget Justification
4. Section D, Narrative Description of the Project (with all Subsections I through VIII (up to 10 pages)
5. Section E, Appendix (i. through iv., and v. if appropriate)

**Upload your up to three-minute Video to pitch your Commercialization Initiative project, Section F.** An .mp4 or .mov file would be best.

**Upload the Board of Directors or Trustees List**—Include names, addresses, and professional affiliations of your Board of Directors or Trustees.

## UPLOAD THE ORGANIZATION DOCUMENTS

(If the Organization Documents did not auto-populate from a previous request to the Trust, you must complete this section.)

**After selecting your Organization Type,** provide the appropriate documents.

For Government Entity:

**Government Entity Letter**—see a draft under IRS Documentation section on website at <https://murdocktrust.org/grant-application-process/application-instructions-for-strategic-projects/>

For 501(c)(3) Entity:

**IRS ruling documents**—IRS document showing your 501(c)(3) tax exemption ruling and your 509(a) or 170(b) public charity ruling for the current legal name (often, but not always, these rulings appear in the same IRS document).

**CEO Certification**—CEO letter that certifies the organization's IRS 501(c)(3) tax exempt ruling and 509(a) or 170(b) public charity ruling and explicitly states that no modifications are planned or pending to these statuses. When writing this letter, please refer specifically to both rulings. (If the CEO certification letter auto-populated from a previous application/grant but is dated older than three years, please upload a current CEO certification letter.)