WESTERN APPLIED RESEARCH & COMMERCIALIZATION (ARC) FUND
WESTERN INTERNAL GRANTS COMPETITION

PROGRAM GUIDELINES

1 OVERVIEW
The Western Applied Research and Commercialization Fund (ARC) awards are made from funds provided by the Federal Development Agency for Southwestern Ontario, and administered by the Office of the Vice-President (Research). They are intended to support the cost of collaborative projects undertaken in partnership with a Small/Medium Enterprise (SME) that will help to solve problems for the SME, create jobs for the SME and move innovative products, practices or processes to market. The competition is for one-time projects based on existing/proposed collaboration partnerships. Applicants can only receive one grant per project.

Projects are based on a technology, a concept, a process, or an artistic piece that has been disclosed to WORLDiscoveries® by way of a Report of Invention (ROI) (see Section 6 for information on required forms). Other categories of projects, such as copyrighted material, may also be appended to an ROI.

Projects are expected to be of short duration (less than 12 months). They are also expected to help move the project outcome to market. Eligible project objectives include one or more of the following;

- Product and/or process applied research;
- Engineering/Product design;
- Technology/Product development;
- Product Testing;
- Certification;
- Piloting and demonstration; and/or
- Problem Solving.

To be successful, the applicant must also demonstrate the need in the marketplace, as well as a method to meet that need, i.e. a marketing plan. Applicants must also submit an Environmental Impact Statement prior to consideration of the application by the Selection Committee.

- Funding of up to $100,000 per project is available and awards are at the discretion of the Selection Committee. Please note that the SME will be expected to contribute a minimum of 50% of total project costs in the form of cash and/or in-kind contributions to the project.

A Small/Medium Enterprise (SME) would be defined as a small to medium sized enterprise headquartered in Southern Ontario, with <1000 employees in Canada. General conditions governing eligibility to apply, supportable research fields, and use of grant funds will be in conformity with Tri-Council guidelines. These funds need not be repaid.
WORLDDiscoveries® personnel are available to assist with the structuring of the application or for consultation on issues related to intellectual property, marketing intelligence and commercialization strategy. Applications must offer a clear rationale for the proposed work that have defined milestones (tasks and timing of those tasks) and expected outcomes, exhibit the innovation pathway, and contain a budget explaining how the money requested will be spent.

2 ADMINISTRATION
The ARC Competition is administered by Research Development & Services (RD&S), Room 5150, Support Services Building. (T: 519-661-2111 ext. 84500 Email: internalgrants@uwo.ca).

All submissions must be received by RD&S before 4:30 pm on the deadline date. If the deadline falls on a weekend or statutory holiday, the deadline will be extended to 4:30 pm on the next working day following the weekend or holiday. Late submissions will not be accepted.

3 ADJUDICATION
The Selection Committee is made up of members of the Technology Transfer and Commercialization Advisory Council (TTCAC), which is an advisory committee to the Vice-President (Research and International Relations). The Executive Director of WORLDDiscoveries® is an ex-officio member of the ARC selection committee. The VP (Research and International Relations) also participates in the adjudication meetings. The TTCAC will assess applications according to the program criteria. Selected applications will be subjected to review by business leaders and professionals with expertise in technology transfer and commercialization.

4 ELIGIBILITY
A PI must hold an academic appointment with a significant research component at The University of Western Ontario at the time of the application. Professors Emeritus/Emerita may be eligible, depending on their appointment. In order to be named as PI on an internal grant, the applicant must be eligible to hold a research account at Western. All internally funded grants will be administered only at The University of Western Ontario. Should the awardee cease to be a faculty member of the University during the tenure of the award, the award will be cancelled and all remaining monies will be forfeited.

Types of Projects
This is not an exhaustive list but rather a list of examples of projects that might be proposed, as long as they meet the objectives described above:

- Refining and implementing industrial designs;
- Producing samples for commercial or demonstration purposes;
- Building engineering prototypes;
- Developing and testing new products;
- Confirming in human cell lines, mechanisms of action discovered in animal models;
- Developing an antibody for a receptor that could be used as a therapeutic;
- Testing the potential of a new software, learnware or multimedia product.

The following parameters are provided to better understand what the Selection Committee is looking for in terms of “commercialization readiness.”

In the Life Sciences:
- The intellectual property (IP) should have been disclosed and assigned* to Western (or affiliate) according to UWOF Agreement and patenting process (if applicable) is underway
- The prior art patent search must confirm freedom to operate
- There must be a significant application and potential, even if in a niche market
- A clear pathway to market must be in sight
- A clear assessment of the development roadmap with costs and risk analysis must be completed
• Potential licensees or other alliances or strategies must have been identified but do not need to have been tested
• WORLDDiscoveries® (or equivalent in affiliated research institutes) should have been involved in the development of the proposal from the outset
* See Section 10.1

In Engineering, Medical devices or Sciences
• The intellectual property (IP) should have been disclosed and assigned* to Western (or affiliates) according to UW OFA Agreement and patenting underway, or protecting in cases of copy-righted materials
• A clear vision of the barrier of entry should be provided (software cases can be either patentable or copyrighted depending on jurisdictions)
• If patentable, prior art patent search must confirm freedom to operate
• The need in the marketplace must be clearly illustrated and quantified, together with a competitive analysis of the business environment
• A clear development path, including the prototyping stage must be proposed
• Potential licensees or other alliances or strategies must be identified
• WORLDDiscoveries® (or the Business Development Offices in the case of the affiliates) should have been involved in the development of the proposal from the outset.
• To be eligible, an underlying invention or innovative IP must be the underpinning of the project
• Funding for traditional research projects should be applied for under the ADF program and not ARC
* See Section 10.1

In Arts, Humanities, Computer Sciences and other areas
• The intellectual property (IP) should have been disclosed and assigned* to Western (or affiliates) according to UW OFA Agreement and protection process underway (as needed for cases of copy-righted materials)
• A clear vision of the barrier of entry should be provided (software cases can be either patentable or copyrighted depending on jurisdictions)
• If patentable, prior art patent search must confirm freedom to operate
• The need in the marketplace must be clearly illustrated and quantified; a competitive analysis of the business environment will be required
• A clear development and distribution path, including the prototyping stage or direct production for an Art Works, must be proposed
• Potential licensees or other alliances or strategies must be identified for commercialization or reaching the market
• The strategy must lead to the viability of the proposal if it gets funded and possibly next sources of financing if required
• WORLDDiscoveries® (or the Business Development Offices in the case of the affiliates) should have been involved in the development of the proposal from the outset
• Funding for traditional research projects should not be applied for through ARC. The New Research and Scholarly Initiative (ADF) or the SSHRC Internal Research programs are possible sources of research funding.
• To be eligible, the underlying IP must be fundamental to the project
* See Section 10.1

5 SELECTION CRITERIA
These are the main parameters that will guide the Selection Committee. The applicant will have to demonstrate:
• Scientific/technical/creative merit;
• Scientific or creativity basis for the expected commercial application;
• Novelty and innovation potential of the proposal;
• Market existence, readiness and accessibility;
• Clarity and focus of objectives and milestones to reach the market;
• Technical complexity, technical risk, and feasibility;
• Appropriateness of work plan, milestones, and deliverables;
6 Forms

The Report of Invention (ROI), and application must be completed, signed and emailed to internalgrants@uwo.ca. All forms can be found on the ARC Fund page of the Research Western website.

6.1 Report of Invention (ROI)

ROI’s must be submitted prior to the deadline for the full application. The completed and signed ROI must be submitted to WORLDiscoveries® both electronically and in hard copy format.

6.1.1 ROI

For help in completing the ROI (which captures the essence and circumstances of the invention or creation) and information on the assignment of commercial rights, contact the WORLDiscoveries® Inventions and Patents Manager office. Tel: 519-661-2111 X84594; Email: ipm@worlddiscoveries.ca.

6.2 Full Application

A representative from the WORLDiscoveries® office can be made available to assist you on the submission of your full application.

It is the responsibility of the researcher to ensure that all conditions are met and that the application is complete, signed and submitted electronically RD&S by the required date. Applications considered difficult to read due to photo-reduction or small typeface may be returned without review. The application must include the applicant’s Tri-Council (SSHRC NSERC or CIHR) CV Module (a PDF version should be emailed).

6.2.1 Application submission

Email the completed and signed application to internalgrants@uwo.ca. Any additional pages (i.e., letters of support, air/train fare quotes, etc) must be either emailed as separate attachments or inserted at the end of the application.

6.1.3 Research On-line Administration (ROLA) Proposal

Applicants must also complete and submit a ROLA Proposal which must be approved by the Academic Chair and Dean using the electronic submission process. The signatures of the Chair and Dean are not required on the application as they will have already approved the request for funding via ROLA.

7 ETHICS, ANIMALS, & BIOHAZARDS

All research proposals involving ethics (human subjects), animal subjects or biohazardous materials must be approved by the appropriate Western certification review committee. Applicants must indicate whether they require approval for the use of human or animal subjects or biohazardous materials under the Certifications tab of their ROLA proposal. If awarded, funds will be encumbered and the work may not commence until appropriate approvals are officially confirmed in ROLA. For more information on the certification approval process, please visit the relevant Ethics, Animal Use or Bio Hazard websites.

8 FREQUENCY OF APPLICATION
A faculty member may submit one application only to the ARC competition. In addition, applicants can only receive one grant per project.

9 PROJECT TIME PERIOD
All Grants will end by March 31, 2013. Upon termination of an award, any unspent balance will revert to the common fund. Extensions cannot be granted.

10 REQUIREMENTS
10.1 Conditions of Acceptance
Intellectual Property (IP) will be assigned to The University of Western Ontario prior to release of funds and any IP developed during the course of the project will have to be diligently reported to WORLDiscoveries® (or its equivalent organization in affiliated institutions).

10.2 Interim Report
Three (3) months prior to conclusion of the project, one electronic copy of the ARC interim report is to be emailed in Word format to RD&S by email at: internalgrants@uwo.ca. An email reminder will be sent to you one month prior to this due date.

10.3 Final Report
On or before April 30, 2013, awardees must submit one electronic copy of a brief report of 1 or 2 pages (and another ROI if new IP was produced) in Word format to internalgrants@uwo.ca on what was accomplished during the grant project. The report must also include answers to a number of specific performance metrics that will be made available to you prior to completion of the Final Report. An email reminder will be sent to you one month prior to this due date. Any new IP resulting from this work will be assigned to Western.

The report templates can be found on the ARC Fund page on the RD&S website (http://www.uwo.ca/research/). Failure to submit the interim or final reports or to assign any new IP may jeopardize a faculty member's eligibility for future internally funded competitions.

11 RESTRICTED/UNRESTRICTED FUNDS
For each award, an account will be set up as an "unrestricted research account." Investigators are expected to expend the funds in the manner proposed in the original request. In the event that an award is less than the amount requested, the principal investigator is free to move monies from one category to another to make up a shortfall, but not into categories specifically disallowed by the review committee. Approval for new categories may be granted in special circumstances upon written request to RD&S.

11.1 Ineligible Expenses (among others)
- Graduate student support
- Funds for travel to attend conferences

12 BUDGET
12.1 Budget Envelope
Budget envelopes will be set at the level granted by the selection committee.

12.2 Budget Justification
An adequate budget justification is required in each application. To avoid arbitrary decisions on the appropriate level of funding, detailed explanations of costs must be provided.

12.3 Personnel
The University of Western Ontario will be the employer of any staff hired using project funds; therefore, researchers must pay appropriate wages and include benefits at established rates. To find current benefit charge rates, see Source Deduction Rates on the HR Services website.
The employment category for "research assistants/associates" has the widest flexibility in pay levels and is the most difficult in which to determine appropriate levels. Colleagues, your department, or Human Resources can be a good source of information.

The budget justification must include a description of the duties of the personnel requested, the required qualifications, and an explanation as to why the position is necessary to the project. Workload should be shown to justify the amount of time the person will be employed on the project. The hiring of professional research staff is preferred, however, post-docs may be considered if appropriate rationale is provided.

12.4 Equipment
All equipment purchased with internal grant funds becomes the property of The University of Western Ontario. Written quotes, or advertisements giving prices, must accompany the application.

12.5 Supplies & Services
Whenever appropriate, numbers of units and unit costs should be explained. Quotes from suppliers should be provided for purchased services, e.g., computing or consulting fees.

12.6 Teaching Release Time
Teaching release time will only be considered if approved by Chair/Dean, and must be adequately justified within the application.

12.7 Funds for Patenting
Funds for Patenting or patent searches are eligible under ARC.

13 Conflict of Interest

As per Conflict of Interest Clause in the FedDev Contribution Agreement (16.17)