FACULTY PRE-PROTOTYPE INVESTMENT PROGRAM
GRANT PROGRAM GUIDELINES

FPPIP provides the capital needed to develop a proof of concept for a new high-tech product, service technology, or envisioned high-tech solution prior to the engineering prototype stage. The proof of concept should be a functional implementation of an innovation that can at least be demonstrated in the lab under expert supervision and can be used to establish the value of the innovation for funding agencies and other interested parties.

Funds are primarily awarded to: (1) develop the conceptual technology to establish a proof of concept in a laboratory setting; and (2) refine the proven technology to be able to advance to the engineering prototype stage.

A maximum of $10,000 will be awarded for Pre-Prototype (proof of concept) funding.

The Office of the Vice Provost for Research strongly encourages principal investigators to involve graduate and undergraduate students in Pre-Prototype-funded research.

ELIGIBILITY

Full-time Baylor faculty who are eligible to serve as principal investigators according to Baylor policy. Visiting faculty, adjunct faculty, temporary faculty, postdoctoral fellows, and research associates are not eligible to serve as principal investigators.

A formal University invention disclosure must have been accepted by Baylor before the application will be considered. Applicants must be in residence on the Baylor campus during the funding period.

All external individuals participating do so under Baylor Conflict of Interest and Confidentiality Guidelines.

Please note:

• Funding must be for projects undertaken at or originating at Baylor University.
• The project must have a clearly identifiable innovation component.
• Proposals must include an active faculty member (PI) at Baylor.
• All funding decisions will be made using a competitive selection process.
• Persons known to be in their last year of campus employment are not eligible.
• Appointees with only adjunct titles are not eligible.
• Faculty on leave without pay are not eligible unless approved as an exception by the Vice Provost for Research. A letter requesting an exception must be included in the application.
• A faculty member may only be involved in one proposal in any capacity.
• Faculty who currently hold an unexpired prototype development grant are not eligible to apply.
SUBMISSION PROCEDURES

1) Schedule presentation to Lab 2 Market (L2M) team
2) Set up BOX folder with OSP
3) Route application form with OSP

Schedule Presentation with L2M Team
BEFORE you are eligible to apply for this grant, faculty must schedule a brief presentation with the L2M team to review the proposed prototype and determine how the Lab 2 Market (L2M) Roadmap can best support its development. The PI(s) are required to prepare and present a Technology Quad Chart to the L2M Team; the template with example may be found at www.baylor.edu/research/quadchart.

To schedule your presentation with the L2M team, please contact Monica Vardeman at 254-710-6176 or Monica_Vardeman@baylor.edu.

Set Up Box Folder with OSP
Begin by identifying the OSP administrator assigned to your department. Contact your OSP administrator and let him/her know you are interested in applying for a Pre-Prototype grant.

It is neither necessary nor desirable to wait until a proposal is in its final, edited form before contacting OSP for advice, assistance with preparation of the proposal budget spreadsheet, or issuance of the Box folder.

Your OSP administrator will provide you with a link to a folder in Baylor’s Box system.

Route Application Form with OSP
Fill out the Pre-Prototype application form, save it to your computer, and upload a copy into your Box folder. Also, upload to the Box folder all other required application materials (see the application checklist below). Your OSP administrator will assist you in the routing process.

APPLICATION CHECKLIST

☐ Completed Pre-Prototype application form
☐ Project budget form completed by your OSP administrator
☐ Prototyping bid
☐ Updated curriculum vitae for all investigators
☐ Any supporting materials described in application/proposal
☐ Proposal routing form electronically signed by chair and dean
PROGRAM RESTRICTIONS

The Pre-Prototype project period corresponds to the Baylor fiscal year, June 1 through May 31. All project funds must be expended during the fiscal year in which they are awarded. No-cost extensions are not allowed.

BUDGETARY CONSIDERATIONS

Grant funds may only be used for supplies, equipment use/rental, and outsourced development of the proof of concept prototype (e.g., CAD drawings, 3D printing).

Funds may not be requested for the following:

1. Faculty salaries and fringe benefits;
2. Supplemental pay for fulltime Baylor faculty and staff;
3. Travel to professional meetings or conferences to present project results;
4. Expenses incurred prior to the beginning of the project period;
5. Maintenance & service contracts for equipment;
6. Facility usage fees; or
7. Stipends.

IMPORTANT NOTES

Only applications submitted electronically through Box will be considered. Paper or email applications are not accepted. Box accounts must be set up with OSP by Monday at noon the week the proposal is due to allow time for receiving all of the necessary academic and administrative approvals. No new Box accounts will be set up after that time.

After filling out the application, send an email to your department chair and dean with a link to your Box folder for their review and approval of your application. The College of Arts and Sciences has a special email for the dean. Please use A_S_Grants@baylor.edu.

Please note that it is the responsibility of the principal investigator to ensure all completed proposals are approved by the unit chair and dean prior to the submission deadline. Late, incomplete, or unapproved proposals will not be forwarded to the OVPR for consideration.

Compliance Committee Approval

If applicable, approvals from the appropriate Research Compliance Committees (e.g., Institutional Review Board, Animal Care, and Use Committee, etc.) must be secured before funds will be released for use.
AWARD CONDITIONS

Grant Administration
Awards will be set up as TRAX accounts and administered through the Office of Sponsored Programs. Training on TRAX (the Baylor Financial Transactions System) is available through Information and Technology Services.

Awardees are required to conduct the project in accordance with the proposal and budget submitted with their application. Any change in objectives, scope of work, or budget requires prior approval. Please submit such requests to your OSP administrator.

Final Report
Awardees are required to submit a final project report to the Office of Sponsored Programs (OSP) no later than 60 days after the project expiration date, including a brief summary of research results; extramural funding applications submitted or planned; manuscripts published, submitted, or in preparation; and presentations at professional meetings. The OVPR will notify awardees and provide a format for the final report. Failure to comply with this requirement may render the investigator ineligible for future funding from the Pre-Prototype program or the OVPR.

Duplicate Funding
If external funding is awarded for the approved pre-prototype development during the project period, all remaining funds in the Pre-Prototype grant must be relinquished immediately in accordance to Baylor and federal policy.

Acknowledgement
Any published work supported in whole or in part by a Pre-Prototype grant should acknowledge such support in the publication. Other publicity related to the project, such as Baylor PR articles, should also carry acknowledgment.

An example acknowledgement is: “This study was supported in part by funds from the Faculty Pre-Prototype Investment Program afforded by the Vice Provost for Research at Baylor University.”

Questions?
For Grant Questions:
Contact Stacey Smith at OVPR
254-710-3252
Stacey_L_Smith@baylor.edu

For L2M Questions:
Contact Monica Vardeman at L2M
254-710-6176
Monica_Vardeman@baylor.edu