

John Adams Innovation Institute
**Research Center Matching Grants
Request for Proposals**

Background, Application Forms, Terms and Instructions
RFP No. 2005-JAII-04

Attachment A

Application Forms and Instructions

John Adams Innovation Institute
Research Center Matching Grants RFP (2005-JAII-04)
Application Instructions

Complete the forms provided by saving this MS Word file (University Match Fund Application) under a distinguishing file name. When completing the Application Cover Sheet, it is acceptable to expand the boxes to insert sufficient text in order to supply the requested information.

MTC appreciates the brevity of clear and concise proposals and requests that double-sided copies of proposals are submitted.

Applicant checklist

The application must contain, at minimum, the following:

- The completed Application Cover Sheet (page 3 of this Application);
- The Applicant's Certification and Signature Form (page 4 of this Application);
- An Economic Development Plan Narrative following the outline below (starting on page 5 of this Application) of no more than 15 pages in length (excluding the Cover Sheet, Certification and Signature Form, Budget, and appendices);

If an economic development plan exists as part of a draft proposal for submission to the federal government, it may be submitted in lieu of the Economic Development Plan Narrative provided that it is no more than 15 pages in length and contains at minimum the content requested in the outline provided.

- A Budget as described in Section 5 of the Economic Development Plan Narrative Outline; and
- Appropriate attachments in an appendix related to (but not limited to) qualifications, center general information, policies, agreements, management CVs, and detailed budgets.

Please see Section 3.1 in the RFP ("How to Apply") for submission instructions. Applications must be submitted at least three weeks prior to the submission date for the federal program to which the prospective center is applying:

Research Center Matching Fund
RFP No. 2005-JAII-04
Massachusetts Technology Collaborative
Innovation Center
75 North Drive
Westborough, MA 01581-3340
JAII@masstech.org

John Adams Innovation Institute
 Research Center Matching Grants RFP (2005-JAII-04)
Application Cover Sheet

Please expand boxes as necessary for a concise response.

1. Applicant Institution Name		2. Academic or Non-Profit Research Center Partners (if any)	
3. Short Title of Proposal			
4. Brief Summary of Center Focus			
5. Funding Sought from Research Center Matching Grant Program (optional for applications submitted pre-proposals)			
7. Name of Contact Individual		8. Title	
10. Mailing Address			
11. City	12. State	13. Mailing Zip	14. Street Zip
15. Telephone		16. Fax	
17. Contact e-mail address		18. Applicant Web Address	
19. Federal Agency and Program to which Center Proposal will be submitted Agency: Program (include URL reference link): Date proposal due at federal agency:			

Certification:

I certify that I am authorized to submit this application on behalf of the Eligible Applicant, and that the statements made herein, including all attachments and exhibits, are true and correct to the best of my knowledge. I have read and understood the RFP requirements. I specifically acknowledge the application of the procedures regarding disclosure of sensitive information as set forth in Section 4 of the RFP, and specifically agree that I shall be bound by those procedures. I agree that the RFP will be incorporated into and made part of any Agreement resulting from this Application to the RFP. I understand that, if selected by MTC, the applicant and MTC will execute a Project Grant Agreement containing substantially the terms and conditions contained in the Agreement (provided via a link to MTC's website, as set forth in the RFP), and acknowledge and agree that I am required to submit exceptions and counterproposals to such terms and conditions with this Application. I further acknowledge and agree that the failure to submit such exceptions and counterproposals with this Application shall be deemed a waiver and such terms and conditions as contained in the Agreement appended hereto as Attachment C shall not subject to further negotiation. I further agree to the reporting requirements set forth in Section 3 of the RFP.

(signature of authorized individual)

(date)

(printed name)

Outline for Economic Development Plan Narrative

Section	Description
1. Summary	<p>Provide a brief summary of the proposed Center, including:</p> <ol style="list-style-type: none">1. A description of the center, industry focus, and core technology2. The challenge/problem that the core technology addresses, and the global market opportunity addressed by the Center's activities3. The benefits to Massachusetts if the center is successful. Quantify the market, economic, and employment impacts to the extent possible4. The project team - applicant, academic partners and key industry participants <p>The summary should be no longer than two pages in length.</p>
2. Threshold Eligibility Criteria (This section should be no longer than two pages in length.)	<ol style="list-style-type: none">1) Identify any Massachusetts universities, colleges, community colleges, academic health centers, non-profit research institutions, or federal laboratories that will participate in the center as a partner or collaborator2) Is the proposed center considered an <i>eligible center</i> under the terms of the RFP?<ol style="list-style-type: none">a) Is it being proposed as an NSF Engineering Research Center, Industry-University Collaborative Research Center, Nanoscale Science and Engineering Center, or Partnership for Innovation?b) If not, will it conduct research in collaboration with industry? In particular, will industry participate in the development of the research agenda? Describe the nature of that collaboration.c) Is there a long-term strategic vision and integrated research agenda that will guide the activities of the center? Briefly describe how that vision and research agenda will lead to a transformational change in an existing or emerging field of science, technology, or industry.d) Will Massachusetts companies participate in the proposed center? How?e) Will the proposed center generate economic benefit for Massachusetts by engaging in specific technology-based economic development activities? Describe those activities.
3. Center Overview and Competitive Positioning (not required for pre-proposals) (This section should be no longer than 2 pages in length.)	<p>3.1 General Information</p> <p>Briefly describe:</p> <ol style="list-style-type: none">1. Center background, mission, and strategic vision2. The competitive advantage or strategy that is expected to lead to a center

Section**Description**

- award from the federal government
3. The rationale for the teaming strategy of the center and the extent to which it creates a competitive advantage
 4. The institutional priority and commitment to support the center's activities, including any investment the applicant(s) expect to make in center activities.

4. Significance of the Market Opportunity and Rationale for Innovation Institute Support (not required for preproposals) (This section should be no longer than 3 pages in length)**4.1 Significance of the Market Opportunity**

Identify the market opportunity addressed by the center, and its relevance to the Massachusetts Innovation Economy

- What industries/clusters produce products/services that will be impacted by the technology developed within the center?
 - Will the technology developed within the center contribute to significant growth of these industries/clusters?
 - Describe the extent to which these industries/clusters are located in Massachusetts?
 - Are there significant regional concentrations?
- Who are the end-users of the products/services that will be impacted by the technology developed within the center?
 - Describe the extent to which these end-users are located in Massachusetts?
- What will be the economic impact of their adoption of this technology?

Section	Description
4.2 Rationale for Innovation Institute Support	<p data-bbox="467 275 1373 306">Describe the rationale for Innovation Institute support of the proposed center.</p> <ul style="list-style-type: none"> <li data-bbox="565 331 1395 562"> <p data-bbox="565 331 1395 394">• Will Innovation Institute funds be used to offset cost sharing that is required by the funding agency?</p> <ul style="list-style-type: none"> <li data-bbox="662 415 1395 478">○ If so, describe the extent to which the applicant(s) are also providing cost sharing. <li data-bbox="662 499 1395 562">○ Is “state match” specifically requested or identified as a potential source of support in the agency solicitation? <li data-bbox="565 583 1414 972"> <p data-bbox="565 583 1414 678">• Does the technology that the center addresses represent a strategic growth opportunity for Massachusetts companies, clusters, or regions?</p> <ul style="list-style-type: none"> <li data-bbox="662 699 1414 793">○ If so, document the opportunity through reference to market assessments, cluster development strategies, regional assessments, technology road maps, etc. <li data-bbox="662 814 1414 972">○ Identify the extent to which Massachusetts organizations recognize this as a strategic growth opportunity by including letters of support from representative Massachusetts companies, cluster associations, regional competitiveness councils, etc. in an Appendix <li data-bbox="565 993 1433 1171"> <p data-bbox="565 993 1433 1056">• Does the center represent collaboration between two or more academic or non-profit research institutions?</p> <ul style="list-style-type: none"> <li data-bbox="662 1077 1433 1171">○ If the center does not represent a collaboration, why does the applicant believe that collaboration would not produce a more competitive proposal? <li data-bbox="565 1192 1433 1289"> <p data-bbox="565 1192 1433 1289">• Will the center conduct technology-based economic development activities that provide significant economic benefit to Massachusetts? (These activities will be described in the Economic Development Plan)</p>

5. Economic Development Plan (not required for pre-proposals) (This section should be no longer than 10 pages in length.)

5.1 Technology-Based Economic Development Activities	<p data-bbox="467 1409 1427 1535">What are the technology-based economic development activities that the center proposes to undertake? Specifically identify which activities will be supported by funding received by the Innovation Institute. These could include, but are not limited to:</p> <ul style="list-style-type: none"> <li data-bbox="565 1556 1336 1619">• Activities that will enhance the transfer of technology to or the adoption of technology by Massachusetts companies; <li data-bbox="565 1640 1401 1703">• Activities that will support the development of a skilled workforce to meet the needs of Massachusetts companies; <li data-bbox="565 1724 1422 1766">• Activities that are likely to lead to or support new business formation; <li data-bbox="565 1787 1346 1852">• Activities that will provide support (including collaborative R&D opportunities) for Massachusetts technology entrepreneurs,;
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Section	Description
5.2 Work plan and Projected Economic Outcomes	<ul style="list-style-type: none"> • Activities that will support K-12 science, technology, engineering and math (STEM) curriculum development and/or STEM career outreach; • Other activities that will support cluster, regional, or statewide economic growth. <p>For each activity identified in Section 4.1, provide a narrative description of what the center will do, who will be responsible for directing the activity, and what the expected economic outcomes with respect to Massachusetts will be. Economic outcomes should be presented as quantitative goals to the extent practical. The narrative should be presented in sufficient detail for reviewers to develop a clear understanding of what is being proposed and support an informed assessment of whether the proposed activities could be expected to produce a good return on the Commonwealth's investment.</p>

6. Organizational Information and Budget (not required for pre-proposals)

6.1 Management and Policies	<p>Describe the reporting relationships of the center within the host institution(s). In the case of multi-institutional/multi-campus centers, describe the management structure of the center. (This can be taken from the applicant's proposal to the federal government or other funding agency.)</p> <p>In an Appendix, provide:</p> <ol style="list-style-type: none"> 1. Organization chart for the center, including technology transfer and industrial liaison functions if applicable 2. CVs of key personnel 3. List of members of Governing Boards, Advisory Boards, etc. (identify those members representing Massachusetts institutions) 4. Applicant's intellectual property policies as they relate to research conducted by the center that are: 1) funded by the federal government or jointly by <i>all</i> center members, and 2) funded directly by <i>one or more</i> center members <ul style="list-style-type: none"> • Model membership agreements • Model Intellectual Property agreements that have been established for the center with respect to intellectual property ownership by participating research institutions, ownership/transfer to participating member companies, and licensing to non-member companies 5. Contact information for key technology transfer, industrial liaison, and grants administration officials that are assigned to the center
6.2 Budget Summary	<p>Provide an annual budget summary for center operations, including total requested from the federal government, total requested from MTC, total provided by participating research institutions, and total contribution expected from industry. Distinguish between cash and in-kind contributions.</p>

Section	Description
6.3. Use of proceeds	<p data-bbox="469 275 1422 365">In an appendix, provide a detailed annual budget for activities that are proposed to be supported through the Massachusetts Research Center Matching Fund.</p> <ol data-bbox="469 394 1422 571" style="list-style-type: none"> <li data-bbox="469 394 1422 485">1. Provide individual task information over the next 2 years and reasonable projections for tasks and activities over the expected term of the Agreement. Clearly identify any major federal funding decision points. <li data-bbox="469 512 1422 571">2. Identify at minimum estimates for direct labor, materials, subcontracting, travel, overhead costs for the activities being supported by the fund.