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John Adams **Innovation** Institute

75 NORTH DRIVE
WESTBOROUGH, MA 01581

TEL: 508 870 0312
FAX: 508 898 2275

WWW.MASSTECH.ORG

John Adams Innovation Institute

Innovation Institute Fund
Regional Priority Grant Program

Request for Proposals

RFP No. 2005-JAII-03

John Adams Innovation Institute
Massachusetts Technology Collaborative
75 North Drive
Westborough, MA 01581-3340
<http://www.masstech.org>

Investment Funds Manager: Christopher Scranton
RFP Issued: February 7, 2005
Responses Due: *Rolling Submission*

Request for Proposals
John Adams Innovation Institute
Regional Priority Grant Program

1.0 Summary of Program Goals and Requirements

The John Adams Innovation Institute (the Innovation Institute), a Division of the Massachusetts Technology Collaborative, is pleased to issue this Request for Proposals (RFP) for funding from the *Regional Priority Grant Program*. This is the first of three solicitations to be issued under the Innovation Institute's Innovation Institute Fund programs.

The *Regional Priority Grant Program* represents a uniquely creative and comprehensive approach to supporting technology-based economic development across the Commonwealth. This program is designed to solicit the most creative ideas from regional leaders and challenge them to work together, raise their region's economic profile, and capture the growth possibilities that technology can bring to every economic sector and cluster in the Commonwealth.

The Innovation Institute is committed, through the *Regional Priority Grant Program*, to seek out and support a cross section of exceptional regional initiatives. The goal is to support economic growth in technology clusters that will benefit a region as a whole, rather than individual projects, which, while excellent, may only benefit project stakeholders.

Regional Priority Grant Awards are ideally suited to support initiatives whose primary goal is to understand existing and/or emerging technology markets, and then organize and align resources to enable regions to compete for state, national and global market opportunities. Fundable projects should advance opportunities for the development, retention, and growth of regional employment in technology-based economic sectors.

In its initial phase, the *Regional Priority Grant Program* has dedicated \$3.5 million to this effort, and will award grants, ranging from \$25,000 to \$150,000, to eligible non-profit Massachusetts-based organizations. These include municipal governments, economic development agencies, industry associations, educational institutions, and other not-for-profit organizations that meet the eligibility criteria as set forth in this RFP. While for-profit businesses are not eligible to be recipients of a *Regional Priority Grant* award, the commitment and participation of industry will be evaluated as an essential element of any successful proposal.

Each region of the Commonwealth will be eligible for \$500,000 in *Regional Priority Grant* awards. *Regional Priority Grant* recipients will be eligible to compete for additional support through additional award categories within the Innovation Institute's Innovation Institute Fund Program, including *The Project Grant Award Program* to be issued in Summer/Fall 2007.

This RFP relates to financial assistance from the *Regional Priority Grant Program* only.

1.1 Applications for a *Regional Priority Grant* consist of a two-part process:

Applications for funding will consist of a two-step process:

Step 1

All interested parties must begin this application process by submitting a Concept Paper to the Innovation Institute's Innovation Institute Fund Program. Concept Papers will be considered on a rolling basis at any time during the three (3) years following the release of this RFP. Projects whose Concept Papers meet initial eligibility criteria, as set forth in this RFP, will be notified and invited to submit a Full Grant Proposal. Projects that do not meet the eligibility criteria will be notified and provided with an explanation.

Step 2

Applicants must then submit a Full Grant Proposal which will undergo a full staff review and due diligence. Based upon this review, the Director of the Innovation Institute will make funding recommendations to the Executive Director of the Massachusetts Technology Collaborative and to the Executive Committee of the Innovation Institute Governing Board. Applicants will be notified of the final decision. Approved applicants will be invited to enter into a grant agreement with the Massachusetts Technology Collaborative (see sample agreement: www.masstech.org).

It should be noted that applicants for full proposals may be asked to come and present their ideas, in person, before representatives of the Innovation Institute.

Massachusetts Technology Collaborative
John Adams Innovation Institute
Regional Priority Grant Program

2. Introduction

2.1 Background on MTC

Massachusetts Technology Collaborative is an independent economic development agency chartered by the Commonwealth to serve as a catalyst for growing the state's innovation economy. MTC brings together leaders from industry, academia, and government to advance technology-based solutions that stimulate economic growth and foster a competitive business environment in Massachusetts. MTC energizes emerging markets in the high-tech sector by filling gaps in the marketplace, connecting key stakeholders, conducting critical economic analysis and leveraging access to intellectual and financial capital. For additional information about MTC and its programs and initiatives, please visit our website at www.masstech.org.

2.2 An Overview of John Adams Innovation Institute

The John Adams Innovation Institute (the "Innovation Institute") is an operating division of the Massachusetts Technology Collaborative. The Innovation Institute was created as part of the Commonwealth's Economic Stimulus package in early 2004, through the Act to Promote Jobs, Economic Stability and Competitiveness in Massachusetts.

The goals of the Innovation Institute are to enhance institutional and industrial competitiveness, promote conditions, which enable growth throughout the Massachusetts innovation economy, and provide accurate and reliable information, data and analysis to stakeholders in the Massachusetts innovation economy. The Innovation Economy can be described as the economy which transforms knowledge into products, processes, services and systems that fuel economic development, create wealth and generate improvements in the region's standard of living.

The Innovation Institute manages two specific public investment funds:

- The Research Center Matching Fund **not** described in this RFP; and
- The Innovation Institute Fund. The Innovation Institute Fund is focused on supporting specific and creative regional initiatives that will spur technology-based economic development across the Commonwealth. This fund will administer specific programs including: the *Regional Priority Grant Program* (described in this RFP) and the *Project Grant Program*, to be issued in the Summer/Fall of 2007.

This RFP relates to financial assistance available from the *Regional Priority Grant Program* only.

3. An Overview of the Innovation Institute Fund

3.1 Context

Economic growth in the technology sectors of the US economy is predicated on a complex interaction of market forces that include ingenuity, leadership, capital, research, commercialization and other related factors. The opportunity for any community, region, state or nation to foster economic growth in a focused technology sector requires all of the above, plus a robust system of education, communication, transportation, investment, creativity and connectedness. The coherence of these systems, on a regional basis, creates a comparative economic advantage for any region, a place where the economic and social fabric promotes innovation and prosperity.

Massachusetts has many examples of successful technology-based economic development efforts. The metropolitan area of Boston is often cited as just such a place. Boston's economy in general, and the high technology economy in particular, were not predicated on an economic development plan or strategy. Instead, a complex and complimentary chemistry developed between the scientific, financial, legal, political and industrial communities, resulting in an economy that has assembled and reassembled itself time and time again.

It would be fallacious to claim that the economic and social fabric of greater Boston can be replicated throughout the Commonwealth. However, the Innovation Institute in general, and the Innovation Institute Fund in particular, are predicated on the conviction that investment in focused, collaborative efforts can foster technology-based economic development and will yield desirable outcomes. The Innovation Institute believes that other regions of the Commonwealth can leverage their growth and foster an innovation economy uniquely suited to their region.

Technology-based economic development does not happen with one or two major events; instead, it takes place over time. The right mix of organizations and individuals, public and private, who share a common vision and contribute complimentary areas of expertise, must come together with determination and focus, and create a series of smaller efforts. These efforts build on each other and, taken as a whole, can move communities, counties, and regions forward toward a stronger technology-based economic infrastructure and future.

3.2 Specific Funding Opportunities

The Innovation Institute Fund recognizes that building a technology-based economy is a multi-level and multi-phased process, and has therefore established three distinct programs dedicated to support projects at various levels of development:

- The *Regional Priority Grants Program* represents the Innovation Institute's first effort to identify early stage, small to medium scale projects that can move a region or an economic cluster forward. The Innovation Institute has allocated \$500,000 for each of seven regions of the Commonwealth, and expects to fund multiple projects in each

region under this program. Individual proposals offered under this award category are not to exceed \$150,000.

- The *Project Grants Program*, to be launched in the summer/fall of 2007, will, through a competitive process, provide up to \$500,000 to individual applicants to support unique, full-scale technology-based economic development initiatives that move larger, promising projects forward in a significant way.

It is useful for applicants to understand these three, multi-level programs, and the Innovation Institute's commitment to seek out unique and focused proposals that work to expand regional economic development capacity.

3.3 The Innovation Institute Fund Regional Priority Grants Program

The Innovation Institute Fund seeks to support projects that emerge at the regional/local level. At their core, these projects must demonstrate and catalyze technology-based economic development. Resources from the Innovation Institute Fund will be invested to advance opportunities for the development, retention and growth of employment in technology-based, economic sectors across the Commonwealth.

The objective of the Regional Priority Grants Program is to advance promising projects that advance economic growth opportunities for the innovation economy in regions. The success of this program will be measured by our collective abilities to enhance institutional and industry competitiveness in regions through improved strategies and purposeful activities that strengthen and grow assets within regions. Successful projects, supported by this program, will result in improved conditions for job growth; business expansion and new business formation; and other indicators of commercial growth in the innovation economy of regions (i.e. capital formation; increased export product and services; and increased wages).

Regional leaders can utilize Priority Grants to act upon specific initiatives whose goals and objectives will result in a stronger infrastructure for technology-based economic development. The Priority Grant program places a premium on creative proposals, which align business, networks with regional leadership, engage public and private institutions to work together, and identify existing and new economic assets for the expressed goal of growing and retaining technology sector jobs.

Resources from the Innovation Institute Fund will enable eligible award recipients to undertake a wide range of initiatives including, but not limited to: cluster development services and assistance, technology development programs and partnerships, regional improvements in technology-based infrastructure, and other investments that accelerate the growth of employment opportunities in technology sectors.

Grants are restricted to not-for-profit organizations. While for-profit businesses and organizations are not eligible to be a recipient of funds, the Innovation Institute recognizes

their critical importance and will look for and encourage their participation as a key component in every successful Regional Priority Grant project.

Grants from the Regional Priority Fund category will range from \$25K - \$150K; each region is limited to an absolute total of \$500K during the three-year period following the initial application.

3.4 Regional Impact

The Innovation Institute's Innovation Institute Fund is explicitly intended to impact favorably upon the innovation economy on regions across the commonwealth. Applicants are invited to define the region they are impacting and should speak to those impacts as part of their proposal. The Innovation Institute does not prescribe the definition an applicant should use to describe a region in their proposal, will look favorably upon broad based definitions of a region as well as broad based impacts from projects.

There will be times when it makes sense for an applicant to submit a proposal that includes partners from more than one region. In these instances, applicants will still need to describe the regional impacts of the specific project.

The Innovation Institute will make every effort to coordinate and integrate duplicative projects within regions and to support collaborative learning among regions. It will encourage approved applicants to participate in statewide conferences and demonstrate how their project is bringing energy and change to their region's economy.

3.5 Distribution of Resources

The Innovation Institute has allocated up to \$500,000 for distribution in each of seven regions across the Commonwealth. For funding purposes, Innovation Institute has adopted the regional classification of communities utilized by University of Massachusetts' "Benchmarks", a quarterly journal of the Massachusetts economy. This classification aligns well with the Innovation Institute's enabling statute and captures every municipality in each of seven regions. The regions are: Berkshires; Cape and Islands; Central; Greater Boston; Northeast, Pioneer Valley; and Southeast. (See Attachment A for a complete description)

The Innovation Institute will apply the dollar amount associated with each grant against the allocation provided to the region that receives the economic benefit.

4.0 Priorities and Guidelines

4.1. Priorities

In considering this Request for Proposal (RFP), it is important for applicants to understand those attributes that will warrant a favorable review and merit likely funding, as well as those that will not be favorably reviewed. While these are not set in stone, they do reflect the intent of the enabling legislation and are worth describing briefly:

(a) Focus on A Specific Industry or Technology Sector

The Innovation Institute believes it is important that Regional Priority Grant projects identify a specific industry or technology sector that holds promise for the region, and work to support/expand/impact this sector.

(b) Demonstrate Understanding of the Region's Economic Development Goals

Regional Priority Grants are designed to help a region realize its economic potential and individual projects should positively impact the region's long-term goals.

(c) Small vs. Large Projects

The Innovation Institute believes it is more important to fund multiple smaller dollar requests, of \$50,000 and under in each region, rather than one or two larger requests of \$100,000 or more. The rationale is as follows:

- No one group or grant can capture all that is possible within a region and indeed, multiple inter-connected programs, over several years, can often produce the best results;
- Innovation Institute Fund money can serve as economic development venture capital and can be used to "seed" new projects rather than bring them to a more mature implementation level;
- Each region is limited to a total of \$500,000 over three years, by enabling Legislation, and should work collaboratively to maximize this funding support;
- Larger awards will be available through the Innovation Institute's *Regional Project Award Program* to be issued in Summer/Fall of 2005.

(d) Job Creation

The overriding rationale that motivated the Massachusetts political leadership to create the John Adams Innovation Institute was their strong belief that regions will grow and prosper only when economic development has a direct, positive impact on the creation or, at the very least, the retention of well paying, high-skilled jobs. MTC shares this belief and will be looking for projects that describe how grant funding will support technology-based job creation efforts and will focus on the outcomes of proposed projects.

(e) Market Opportunities

Economic development is most successful when it is directly linked to specific market opportunities. MTC will look to see whether proposals identify specific markets, describe their needs, and explain how the Regional Grant will help the applicant and the region penetrate and/or meet these specific market demands to positively impact the region's economy.

(f) Implementation vs. Analysis

The Regional Grants are designed to help regions take highly focused steps to move their local economy forward. MTC believes this is more likely to be accomplished by proposals that identify market opportunities and action steps rather than those that request support for planning, basic research or analysis. It is possible that applicants may request financial support to undertake specific analysis studies, but MTC will look closely at whether and how this work can create a direct economic impact.

(g) Demonstration of Collaboration and Regional Support

Economic development is most successful when multiple entities come together, share a vision, pool their particular expertise and work to create a greater whole. The Innovation Institute will, therefore, look for proposals that have the support and buy-in from multiple organizations, across the spectrum, including a combination of public, non-profit and private for profit organizations. To demonstrate this support, the Institute would look for indications of support, in both Concept Papers and Full Proposals, from several of the following entities:

- . Key business leaders/CEOs in local communities
- . Local and/or regional economic development groups
- . President of a local or statewide industry association
- . President of local institution of higher education
- . Members of Regional Competitiveness Councils
- . Municipal and governmental officials
- . Other individuals and organizations the applicants deem appropriate

(h) Generating Public or Private Match

The Institute will look positively upon Concept Papers and Full Proposals that identify either cash or in-kind match from their participating partners.

While match is not required, it can be a strong indicator that the proposed project has regional support, can leverage additional investment and demonstrate a broad-based commitment to the effort. In addition, matching resources may create a more robust project that has a higher likelihood of success.

The Institute reserves the right to require a cash match in those instances where the commitment of one or more major partners can best be measured by their direct financial contribution.

It is equally important for applicants to understand the kinds of grant requests that will most likely not be considered for funding. These would include requests for funding to support:

- (a) Existing projects and services. The Regional Priority Grants are not designed to provide funding to maintain existing projects and cannot serve to support an organization's existing operating expenses.
- (b) Projects where funding is available from other sources. Innovation Institute Funds are designed to fund new and unique collaborative efforts that existing state and/or federal funds do not currently support.
- (c) The advance or expansion of a single company or entity. Regional grants must have a broad based impact, which benefits the region as a whole, rather than any one individual entity.
- (d) The development or expansion of real estate projects or parks; bricks and mortar funding is not part of this effort.
- (e) Planning Grants. Regional Priority Grants are designed to foster and impact market development and growth and are not available for basic planning studies.
- (f) Capital Intensive Requests. Regional Priority grants are not designed to support requests for major capital, infrastructure or equipment needs.

4.2. Examples of Fundable Projects

The John Adams Innovation Institute is encouraging creative, focused, innovative and energetic proposals. Based on the Innovation Institute's experience in economic development, in submitting both a Concept Paper and a Full Proposal, applicants are encouraged to propose a variety of initiatives. The following suggestions are designed to describe the scope of what the Innovation Institute is looking for rather than specific projects:

- Assemble regional expertise, from multiple organizations, to develop and/or advance new market opportunities for one or more local business/technology clusters;
- Organize a region's existing economic strengths to meet the needs of another market and, in the process, grow revenues and employment.
- Assemble a region-wide effort to introduce a new technology – examples could include telecommunications, health/IT, high value manufacturing, environmental sciences, etc – that will help local businesses grow their market position;

- Identify activities that are required for a regional economy to obtain national stature in an identified market and thereby grow technology-based employment;

4.3 Eligible Applicants

Eligible applicants must be not-for-profit organizations which can include municipal governments, economic development agencies, industry associations, educational institutions and other not-for-profit organizations engaged in the business of local and regional economic development.

5.0 Application and Awards Process

5.1 Concept Paper

Applicants are asked to submit a **Concept Paper**, which includes a description of the project. The Concept Paper will be subject to review by staff of the Innovation Institute to determine the merits of project, benefit to region, likelihood that project will succeed, number of jobs that will be created, degree to which the project will stimulate innovation in the region, the chances that the effort can be sustained beyond the duration of the grant, and the applicant's readiness to move toward a full application. (See Appendix B for complete application).

5.2 Full Proposal

If the Concept Paper described is deemed eligible, the Innovation Institute's director will issue a formal written request to the applicant to submit a **Full Proposal**, and set forth the specific steps and timetables required. Full proposals will be reviewed, to determine the extent to which they meet the objectives and criteria of the Regional Priority Grant program, and applicants will most likely be invited to come and present their idea in person to Innovation Institute staff. An invitation to submit a formal proposal does not guarantee the applicant a *Regional Priority Grant Program* award. The Innovation Institute's Governing Board will make final funding decisions. (See Appendix C for complete application).

5.3 Limitations on Submissions

The Innovation Institute has allocated \$500,000 to support grant applications in each of seven regions, over the three-year period. Depending on the number and quality of proposals submitted, a region may utilize its total allocation in the first or second year, although the Innovation Institute expects to expend the \$500,000 over the three-year time period. It is also important to note that regions will receive the full \$500,000 only if they have enough quality

proposals; the Innovation Institute does not guarantee that \$500,000 must be spent in each region if the projects proposed do not merit funding.

5.4. Evaluation Criteria

Applications will be reviewed against specific criteria to determine the extent to which they meet the objectives of the Regional Priority Grant Program as outlined above. Applicants should meet the following criteria and describe the extent to which:

- The Project demonstrates knowledge and understanding of the region’s economy and demonstrates the opportunity for technology based economic growth;
- The proposed Project is part of – and integrated into - a comprehensive strategy for economic development with a realistic plan for long term sustainability;
- The Project focuses on one or more technology-based industries or sectors and identifies the market opportunities that can benefit the region;
- The funds will be used to support the creation of jobs in technology-based sectors;
- There is a specific and compelling concept for enhancing the region’s ability to grow and sustain an existing or emerging sector of the innovation economy, and the work outline represents the likelihood of a high degree of success;
- The plan for the use of funds articulates milestones and can produce measurable economic development outcomes in the given timeframe;
- There is a plan to monitor the Project’s progress;
- The Project provides a clear decision making process along with the appropriate project governance;
- The Project specifies whether participating institutions provide match, the nature of the match and its impact on the project;
- The Project provides validating support from regional leadership, both public and private;
- The Project selects highly qualified individuals to do the work and substantiates the local leadership’s expertise and qualifications in the proposed effort.

5.5 Use of proceeds

Applicants must specifically state the proposed use of grant funds in their application. Construction of facilities and similar capital expenditures are not allowable uses of proceeds under this RFP.

The Innovation Institute has allocated \$3.5M to the Regional Priority Grant award program. The entire \$3.5M will be reserved in equal shares for each of seven regions (i.e. 7 x \$500K= \$3.5M). This allocation will remain in force for a period of three years from the issuance of this RFP or until all funds are expended. Any funds remaining at the end of the three-year period may be re-allocated within the Innovation Institute Fund at the discretion of the Executive Committee of the MTC Board of Directors.

An individual award can range from \$25K to \$150K. Awards can be made for up to three years. Applicants may propose terms for issuance of the award; however, MTC reserves the right to determine specific terms and conditions for each award.

5.6 Award Determination

The Innovation Institute is overseen by a Governing Board, appointed by the MTC Board of Directors. The Governing Board will be consulted on all funding opportunities and will make all final funding decisions. The Governing Board has been specifically constituted to include a cross section of professionals who are experienced in technology-based economic development. Governing Board membership can be found by visiting the MTC's website, www.masstech.org.

Finally, as stated in the enabling legislation, the Innovation Institute will consult with the appropriate Regional Competitiveness Council (RCC) not less than 15 business days prior to the execution of any grant award. RCC's have developed thoughtful perspectives on economic development in their regions and their input and expertise will be solicited and valued.

5.7 Notification of Award

The applicant will be notified in writing of the status of their application. A Grants Officer of the Innovation Institute will make notification of the award to the submitting applicant. Organizations whose applications are declined will be notified in writing as well, as promptly as possible.

5.8 Award Conditions

Recipients who are awarded a grant from the Regional Priority Grant program will receive:

- The award letter, which includes any special provisions applicable to the award,
- A Grant Agreement included with the letter which details reporting requirements

- The budget, which indicates the amounts on which the Innovation Institute has based its support.

All Awardees must provide the following minimum deliverables to the Innovation Institute, as more fully described in this Agreement:

- Quarterly progress and financial reports;
- Annual reports detailing investment and related activities; and
- Information on associated economic benefits.

All funds will be distributed on a cost reimbursement basis, consistent with MTC operating procedures.

In accordance with the Commonwealth's Public Records Law, Awardees will be required to agree that MTC shall have the unlimited right to make use of and disseminate all periodic reports, case studies and any other deliverables and work products.

Awardees may also be required to host project site visits by MTC staff and contractors and participate in interviews by MTC or its designees for purposes of monitoring and evaluation.

For all multi-year grants, the applicant must submit an annual project report to the program manager at least 90 days before the end of the current budget period. In addition, the applicant is required to submit a final project report within 90 days after the expiration of an award.

John Adams Innovation Institute
Regional Priority Grant Program

6.0 Application Requirements

Application requirements for both Concept Papers and Full Proposals can be found in Appendix B and C.

In submitting a Concept Paper, applicants are required to use the following format:

- One bound document with original signatures;
- An electronic copy (in MSWord/Excel or Adobe Acrobat format).

In submitting a Full Proposal, applicants are required to use the following format:

- One bound document with original signatures;
- Three (3) bound copies (no three-ring binders) of the document;
- One unbound copy of the document; and
- An electronic copy (in MSWord/Excel or Adobe Acrobat format).

It is the sole responsibility of the Applicant to ensure that its response to this RFP is complete and is properly submitted to MTC. Full proposals will be accepted only after the Director of the Innovation Institute has approved the original Concept Paper.

Concept Papers and Full Proposals must be submitted to:

Christopher Scranton, Investment Funds Manager
RFP # 2005-JAII-03
John Adams Innovation Institute
Massachusetts Technology Collaborative
75 North Drive
Westborough, MA 01581-3340
scranton@masstech.org

Questions regarding this RFP must be submitted by e-mail to the official contact listed above. All inquiries should reference the Regional Priority Grant Program RFP (No. 2005-JAII-03). MTC will provide a link on its website: (<http://www.masstech.org/institute/grant/index.htm>) to a listing of all questions and answers. All questions and answers will be posted as a standard operating practice.

6.1 RFP Schedule

The schedule for this RFP is outlined below in Table 1. The target dates following the Application due date are subject to change at MTC's sole discretion. Applicants are advised to periodically visit our web site at www.masstech.org for updates to the schedule.

Opening Date for Concept Papers: February 8 2005

Full Proposals: as invited

7.0 MTC Policies/ Procedures

General Conditions

7.1 The Massachusetts Technology Collaborative Policy and Procedures Regarding Submission of “Sensitive Information”

The Massachusetts Technology Collaborative and the John Adams Innovation Institute which it administers (collectively referred to herein as “MTC”) is subject to the requirements concerning disclosure of public records under the Massachusetts Public Records Act, M.G.L. c. 66 (the “Public Records Act”), which governs the retention, disposition and archiving of public records. For purposes of the Public Records Act, “public records” include all books, papers, maps, photographs, recorded tapes, financial statements, statistical tabulations, or other documentary materials or data, regardless of physical form or characteristics, made or received by MTC. As a result, any information submitted to MTC by a grant applicant, recipient grantee, respondent to a request for response (including, but not limited to an RFQ, RFP and RFI), contractor, or any other party (collectively the “Submitting Party”) is subject to public disclosure as set forth in the Public Records Act.

The foregoing notwithstanding, "public records" do not include certain materials or data which fall within one of the specifically enumerated exemptions set forth in the Public Records Act or in other statutes, including MTC's enabling act, M.G.L. Chapter 40J. One such exemption that may be applicable to documents submitted by a Submitting Party is for any documentary materials or data made or received by MTC that consists of trade secrets or commercial or financial information regarding the operation of any business conducted by the Submitting Party, or regarding the competitive position of such Submitting Party in a particular field of endeavor (the "Trade Secrets Exemption").

It is MTC's expectation and belief that the overwhelming percentage of documents it receives from a Submitting Party does not contain any information that would warrant an assertion by MTC of an exemption from the Public Records Act. Submitting Parties should therefore take care in determining which documents they submit to MTC, and should assume that all documents submitted to MTC are subject to public disclosure without any prior notice to the Submitting Party and without resort to any formal public records request.

In the event that a Submitting Party wishes to submit certain documents to MTC and believes such a document or documents may be proprietary in nature and may fall within the parameters of the Trade Secrets Exemption and/or some other applicable exemption, the following procedures shall apply:

1. At the time of the Submitting Party's initial submission of documents to MTC, the Submitting Party must provide a cover letter, addressed to MTC's General Counsel, indicating that it is submitting documents which it believes are exempt from public disclosure, including a description of the specific exemption(s) that the Submitting Party contends is/are

applicable to the submitted materials, a precise description of the type and magnitude of harm that would result in the event of the documents' disclosure, and a specific start date and end date within which the claimed exemption applies. If different exemptions, harms and/or dates apply to different documents, it is the Submitting Party's responsibility to provide detailed explanations for each such document.

2. At the time of the Submitting Party's initial submission of documents to MTC, the Submitting Party must also clearly and unambiguously identify each and every such document that it contends is subject to an exemption from public disclosure as "Sensitive Information." It is the Submitting Party's responsibility to ensure that all such documents are sufficiently identified as "Sensitive Information," and Submitting Party's designation must be placed in a prominent location on the face of each and every document that it contends is exempt from disclosure under the Public Records Act.

Information submitted to MTC in any form other than a hard copy document will not be subject to the procedures set forth herein. For example, information submitted by e-mail, facsimile and/or verbally will not be subject to these procedures and may be disclosed at any time without notice to the Submitting Party.

3. Documents that are not accompanied by the written notification to MTC's General Counsel or are not properly identified by the Submitting Party as "Sensitive Information" at the time of their initial submission to MTC are presumptively subject to disclosure under the Public Records Act, and the procedures for providing the Submitting Party with notice of any formal public records request for documents, as set forth below, shall be inapplicable.

4. At the time MTC receives documents from the Submitting Party, any such documents designated by Submitting Party as "Sensitive Information" shall be segregated and stored in a secure filing area when not being utilized by appropriate MTC staff. By submitting a grant application, request for response, or any other act that involves the submission of information to MTC, the Submitting Party certifies, acknowledges and agrees that (a) MTC's receipt, segregation and storage of documents designated by Submitting Party as "Sensitive Information" does not represent a finding by MTC that such documents fall within the Trade Secrets Exemption or any other exemption to the Public Records Act, or that the documents are otherwise exempt from disclosure under the Public Records Act, and (b) MTC is not liable under any circumstances for the subsequent disclosure of any information submitted to MTC by the Submitting Party, whether or not such documents are designated as "Sensitive Information" or MTC was negligent in disclosing such documents.

5. In the event that MTC receives an inquiry or request for information submitted by a Submitting Party, MTC shall produce all responsive information without notice to the Submitting Party. In the event that the inquiry or request entails documents that the Submitting Party has previously designated as "Sensitive Information", the inquiring party shall be notified in writing that one or more of the documents it has requested has been designated by the Submitting Party as "Sensitive Information", and that a formal, written public records request must be submitted by the requesting party to MTC's General Counsel for a determination of whether the subject documents are exempt from disclosure.

6. In the event that MTC receives an inquiry or request for information submitted by a Submitting Party, MTC shall produce all responsive information without notice to the Submitting Party. In the event that the inquiry or request entails documents that the Submitting Party has previously designated as “Sensitive Information”, the inquiring party shall be notified in writing that one or more of the documents it has requested has been designated by the Submitting Party as “Sensitive Information”, and that a formal, written public records request must be submitted by the requesting party to MTC’s General Counsel for a determination of whether the subject documents are exempt from disclosure.

7. Upon the General Counsel’s receipt of a formal, written public records request for information that encompass documents previously designated by Submitting Party as “Sensitive Information”, the Submitting Party shall be notified in writing of MTC’s receipt of the public records request, and MTC may, but shall not be required to provide Submitting Party an opportunity to present MTC with information and/or legal arguments concerning the applicability of the Trade Secrets Exemption or some other exemption to the subject documents.

8. The General Counsel shall review the subject documents, the Public Records Act and the exemption(s) claimed by the Submitting Party in making a determination concerning their potential disclosure. *The General Counsel is the sole authority within MTC for making determinations on the applicability and/or assertion of an exemption to the Public Records Act. No employee of MTC other than the General Counsel has any authority to address issues concerning the status of “Sensitive Information” or to bind MTC in any manner concerning MTC’s treatment and disclosure of such documents. Furthermore, the potential applicability of an exemption to the disclosure of documents designated by the Submitting Party as “Sensitive Information” shall not require MTC to assert such an exemption. MTC’s General Counsel retains the sole discretion and authority to assert an exemption, and he may decline to exert such an exemption if, within his discretion, the public interest is served by the disclosure of any documents submitted by the Submitting Party.*

9. MTC shall provide the requesting party and Submitting Party with written notice of its determination that the subject documents are either exempt or not exempt from disclosure.

10. In the event that MTC determines that the subject documents are exempt from disclosure, the requesting party may seek review of MTC’s determination before the Supervisor of Public Records, and MTC shall notify the Submitting Party in writing in the event that the requesting party pursues a review of MTC’s determination.

11. In the event the requesting party pursues a review of MTC’s determination that the documents are exempt from disclosure and the Supervisor of Public Records concludes that the subject documents are not exempt from disclosure and orders MTC to disclose such documents to the requester, MTC shall notify the Submitting Party in writing prior to the disclosure of any

The Submitting Party's submission of documentation to MTC shall require a signed certification that Submitting Party acknowledges, understands and agrees with the applicability of the foregoing procedures to any documents submitted to MTC by Submitting Party at any time, including but not limited to the acknowledgements set forth herein, and that Submitting Party shall be bound by these procedures.

All documents submitted by Submitting Party, whether designated as "Sensitive Information" or not, are not returnable to Submitting Party.

7.2 MTC Policy and Procedures for Holding Parties in Possession of Sensitive Information

From time to time, consultants, contractors, grantees, as well as other third parties interacting with MTC (collectively, the "Holding Party") may receive, have access to or create confidential, proprietary or otherwise sensitive information regarding MTC, its activities, its employees and/or third parties, such as applicants, consultants, grantees, recipients or respondents under MTC programs, which information is not generally known by or disseminated to the public as a matter of course. Information of this nature is sometimes referred to in this Agreement as "Sensitive Information." MTC expects all Holding Parties to maintain the highest degree of professionalism, integrity and propriety with respect to Sensitive Information at all times. In addition, the Massachusetts Conflict of Interest Statute, M.G.L. Chapter 268A, prohibits current and former state employees (defined in the statute to include regular full-time and part-time employees, elected or appointed officials and independent contractors) from improperly disclosing certain categories of Sensitive Information or using it to further their personal interests, and the Massachusetts Fair Information Practices Act, M.G.L. Chapter 66A, contains numerous legal requirements aimed at protecting "personal data" from improper disclosure. MTC's policy regarding a Holding Party's possession of Sensitive Information has two key elements:

1. Holding Parties should not request or accept any more Sensitive Information -- whether of a business or personal nature -- than is reasonably necessary under the circumstances; and
2. In the absence of a specific legal requirement compelling disclosure of Sensitive Information in a particular instance, all Holding Parties are expected to take appropriate measures to safeguard such information from improper use and disclosure.

Because the relevant legal requirements and the nature and scope of the information in question can create uncertainty, Holding Parties are urged to confer with MTC's General Counsel if they have any questions about confidentiality, the scope or proper treatment of Sensitive Information, or MTC's policies or procedures with respect to such topics. Holding Parties shall not substitute their own judgment for that of MTC's General Counsel in deciding whether particular information is innocuous data or Sensitive Information that should be handled with care, or the advisability or sufficiency of safeguards with respect to particular types of information.

Failure to comply with the policies and procedures relating to Sensitive Information and MTC's obligations pursuant to the Public Records Act and other legal disclosure requirements can result in immediate termination of this Agreement, and/or potential legal liability. It should be noted that the obligations under these policies continue even after MTC's relationship with a particular applicant, recipient or other third party ends or this Agreement terminates.

In the absence of a specific legal requirement necessitating disclosure of particular information in a specific instance, Holding Parties are expected to protect Sensitive Information from improper use and disclosure at all times. The following are examples of the kinds of protective procedures that should be followed:

- **Limited Communication to MTC Personnel:** Sensitive Information should not be communicated to other MTC employees or consultants, except to the extent that they need to know the information to fulfill their MTC mission-related responsibilities and their knowledge of the information is not likely to result in misuse or a conflict of interest.
- **Limited Communication to Non-MTC Personnel:** Sensitive Information should not be communicated to anyone outside MTC, including family members, except to the extent outside parties need to know the information in order to provide necessary services to MTC, its Holding Parties or as otherwise directed by the General Counsel to comply with legal requirements necessitating disclosure, such as proper requests under the Public Records Act.
- **Notification of Confidentiality:** When Sensitive Information is communicated to any person outside MTC, the individual receiving such information should be informed of its sensitive nature and the need to safeguard such information from improper use and disclosure. When Sensitive Information is communicated to parties inside MTC, the procedures set forth in Attachment B-1 are applicable. MTC may require that Holding Parties execute a confidentiality agreement that has either been provided or approved by the General Counsel before Sensitive Information is disclosed to them.
- **MTC Use Only:** Sensitive Information should only be used for MTC purposes. Under no circumstances may a present or former Holding Party "trade on" such information or otherwise use it, directly or indirectly, for personal gain or for the benefit of any party other than the owner of such information.
- **Prevention of Eavesdropping, Unauthorized Viewing, etc.:** Sensitive matters should not be discussed in restaurants, on public transportation or in other public places or in locations, such as hallways, elevators and building lobbies, where unauthorized individuals could overhear the discussion. Similarly, Sensitive Information should not be exchanged or discussed via cordless or cellular phones or similar "non-secure" communication lines. Speaker phones can amplify conversations and should be used with care when discussing Sensitive Information. Common sense precautions should also be taken with respect to Sensitive Information in written form, such as stamping or marking such documents "CONFIDENTIAL" to flag them for special handling, limiting access to files to those with an MTC-related "need to know," locking documents that contain Sensitive Information in desk

drawers or file cabinets when you are away from your desk, carefully limiting the circumstances in which (and exercising appropriate care when) such materials leave MTC's office, delivering sensitive materials to others in sealed envelopes, and limiting the addressees and "cc's" of letters, memoranda, emails and other communications containing Sensitive Information to those individuals who reasonably need to see such communications. Data stored on personal computers, and floppy disks, C/D ROMs and other electronic media containing Sensitive Information, should be properly secured to keep them from being accessed by unauthorized individuals. Documents containing Sensitive Information that are sent to printers should be picked up promptly.

• **Communications With the Public; Compulsory Legal Process:** All contacts with the media and all speeches or other oral or written public statements made on behalf of MTC, or concerning its activities, applicants or recipients, must be cleared in advance by MTC's Communications Director. In speeches and statements *not* made on behalf of MTC, proper care should be taken to avoid any implication that MTC endorses the views expressed. All disclosure requests under the Public Records Act or in the form of requests for discovery, subpoenas, court or administrative orders or the like must also be referred to the General Counsel for appropriate handling.

Questions concerning whether a given type of information or document in a Holding Party's possession is a "public record," and thus subject to disclosure under the Public Records Act, or is covered by an available exemption, should be directed to MTC's General Counsel. No other MTC employee is authorized to make such assessments or to provide any guidance to a Holding Party concerning potential disclosure of any information provided to or in possession of a Holding Party.

In addition, all communications seeking inspection or other disclosure of materials in a Holding Party's possession under the Public Records Act must be referred promptly to the General Counsel. Similarly, all subpoenas and other legal process documents requesting or seeking to compel disclosure of materials in a Holding Party's possession must be delivered or promptly forwarded to the General Counsel upon receipt.

7.3 Contractual Requirements

MTC intends to enter into a Project Grant Agreement (the "Agreement") containing substantially the same provisions as those available at www.masstech.org/Grants_and_Awards/JAII/Info.htm. *Applicants are required to specify in their Application any exceptions to the Agreement and to make any suggested counterproposal with their Application. Applicants will be deemed to have accepted any terms of the Agreement to the extent that the Eligible Applicant does not identify specific exceptions to those terms or does not make any specific counterproposal in their Application. Provisions of the Agreement for which no exception and counterproposal are submitted with the Application shall not be subject to any further negotiation once an award is made, and this prohibition shall be strictly enforced. MTC reserves the right to amend the Agreement without further issuance of another*

RFA. Provision of funding is not intended to make MTC a contract party to the agreement between the federal government and the center.

7.4 Waiver Authority

MTC reserves the right, at its sole discretion, to waive minor irregularities in submittal requirements, to request modifications of the Application, to accept or reject any or all Applications received, and/or to cancel all or part of this RFP at any time prior to awards.

7.5 Disclaimer

This RFP does not commit MTC to award any funds or pay any costs incurred in preparing an Application. MTC reserves the right to accept or reject any or all Applications received, to negotiate with all qualified Applicants, to cancel or modify the RFP in part or in its entirety, or to change the Application guidelines when it is in MTC's best interests. Provision of funding is not intended to make MTC a contract party to the agreement between the federal government and the center.

7.6 Changes/Amendments to RFP

This RFP has been distributed electronically using MTC's website. It is the responsibility of Applicants to check MTC's website for any addenda or modifications to a RFP to which they intend to apply. MTC, the Commonwealth of Massachusetts, and its subdivisions accept no liability and will provide no accommodation to Applicants who submit a response based on an out-of-date RFP document. MTC, the Commonwealth of Massachusetts, and its subdivisions maintain the right, at their own discretion, to cancel this Request for Proposals at any time and without prior notice.

7.7 MTC Contract Language

The MTC contract language may be seen by going to the MTC website: www.masstech.org/.

Attachment A

Make Up of Seven Regions of the Commonwealth

Region 1: Berkshire

Adams	Lanesborough	Richmond
Alford	Lee	Sandisfield
Becket	Lenox	Savoy
Cheshire	Monterey	Sheffield
Clarksburg	Mt. Washington	Stockbridge
Dalton	New Ashford	Tyringham
Egremont	New Marlborough	Washington
Florida	North Adams	West Stockbridge
Great Barrington	Otis	Williamstown
Hancock	Peru	Windsor
Hinsdale	Pittsfield	

Region 2: Greater Boston

Acton	Holliston	Randolph
Arlington	Hopkinton	Revere
Ashland	Hudson	Saugus
Bedford	Hull	Sharon
Bellingham	Lexington	Sherborn
Belmont	Lincoln	Somerville
Bolton	Littleton	Southborough
Boston	Lynn	Stoneham
Boxborough	Malden	Stow
Braintree	Marlborough	Sudbury
Brookline	Maynard	Swampscott
Burlington	Medfield	Wakefield
Cambridge	Medford	Walpole
Canton	Medway	Waltham
Carlisle	Melrose	Watertown
Chelsea	Milford	Wayland
Cohasset	Millis	Wellesley
Concord	Milton	Weston
Dedham	Nahant	Westwood
Dover	Natick	Weymouth
Everett	Needham	Winchester
Foxborough	Newton	Winthrop
Framingham	Norfolk	Woburn
Franklin	Norwood	Wrentham
Hingham	Quincy	
Holbrook		

Region 3: Cape & Islands

Barnstable
 Bourne
 Brewster
 Chatham
 Dennis
 Eastham
 Falmouth
 Harwich

Mashpee
 Orleans
 Provincetown
 Sandwich
 Truro
 Wellfleet
 Yarmouth
 Chilmark

Edgartown
 Gay Head
 Gosnold
 Oak Bluffs
 Tisbury
 West Tisbury
 Nantucket

Region 4: Central

Ashburnham
 Ayer
 Ashby
 Athol
 Auburn
 Barre
 Berlin
 Blackstone
 Boylston
 Brookfield
 Charlton
 Clinton
 Douglas
 Dudley
 East Brookfield
 Fitchburg
 Gardner
 Grafton
 Groton
 Hardwick
 Harvard

Holden
 Hopedale
 Hubbardston
 Lancaster
 Leicester
 Leominster
 Lunenburg
 Mendon
 Millbury
 Millville
 New Braintree
 North Brookfield
 Northborough
 Northbridge
 Oakham
 Oxford
 Paxton
 Petersham
 Phillipston
 Princeton
 Royalston

Rutland
 Shirley
 Shrewsbury
 Southbridge
 Spencer
 Sterling
 Sturbridge
 Sutton
 Templeton
 Townsend
 Upton
 Uxbridge
 Warren
 Webster
 West Boylston
 West Brookfield
 Westborough
 Westminster
 Winchendon
 Worcester

Region 5: Northeast

Amesbury
 Andover
 Beverly
 Billerica
 Boxford
 Chelmsford
 Danvers
 Dracut
 Dunstable
 Essex
 Georgetown
 Gloucester

Haverhill
 Ipswich
 Lawrence
 Lowell
 Lynnfield
 Manchester
 Marblehead
 Merrimac
 Methuen
 Middleton
 Newbury
 Newburyport

Peabody
 Pepperell
 Reading
 Rockport
 Rowley
 Salem
 Salisbury
 Tewksbury
 Topsfield
 Tyngsboro
 Wenham
 Westford

Region 5: Northeast (cont.)

Groveland
Hamilton

North Andover
North Reading

West Newbury
Wilmington

Region 6: Pioneer Valley

Agawam
Amherst
Ashfield
Belchertown
Bernardston
Blanford
Brimfield
Buckland
Charlemont
Chester
Chesterfield
Chicopee
Colrain
Conway
Cummington
Deerfield
Easthampton
East Longmeadow
Erving
Gill
Goshen
Granby
Granville

Greenfield
Hadley
Hampden
Hatfield
Hawley
Heath
Holland
Holyoke
Huntington
Leverett
Leyden
Longmeadow
Ludlow
Middlefield
Monroe
Montague
Monson
Montgomery
New Salem
Northampton
Northfield
Orange
Palmer

Pelham
Plainfield
Rowe
Russell
Shelburne
Shutesbury
South Hadley
Southampton
Southwick
Springfield
Sunderland
Tolland
Wales
Ware
Warwick
Wendell
West Springfield
Westfield
Westhampton
Whately
Wilbraham
Williamsburg
Worthington

Region 7: Southeast

Abington
Acushnet
Attleboro
Avon
Berkley
Bridgewater
Brockton
Carver
Dartmouth
Dighton
Duxbury
East Bridgewater
Easton
Fairhaven
Fall River
Freetown

Halifax
Hanover
Hanson
Kingston
Lakeville
Mansfield
Marion
Marshfield
Mattapoisett
Middleborough
New Bedford
North Attleboro
Norton
Norwell
Pembroke
Plainville

Plymouth
Plympton
Raynham
Rehobeth
Rochester
Rockland
Scituate
Seekonk
Somerset
Stoughton
Swansea
Taunton
Wareham
West Bridgewater
Westport
Whitman

ATTACHMENT B

John Adams Innovation Institute
Regional Priority Grant
Concept Paper

Background, Application Forms, Terms and Instructions
RFP No. 2005-JAII-03

Concept Paper Forms and Instructions

Applicants who wish to apply for a Regional Priority Grant from the John Adams Innovation Institute are first required to submit a *Concept Paper*. *Concept Papers* will be accepted on a rolling basis, over the next 3 years. If the *Concept Paper* meets the criteria, as described in this RFP, the Innovation Institute may then invite the applicant to submit a Full Proposal.

Concept Papers should be no more than five (5) typewritten pages attached to this cover sheet and should include the following information:

- Cover Sheet
- A description of the project to be funded by the Regional Priority Grant; This should include an identification of the economic cluster being targeted, a description of how the success of the project will catalyze technology-based economic development in the region and the size of the grant \$ request;
- Description of expected outcomes and milestones;
- Description of key individuals involved in the project, with their background and qualifications;
- Description of anticipated match, both cash and in-kind;
- Documentation that the region's leadership views the project as a priority for growing the region's technology-based economy;

Concept Papers are subject to review by the staff of the John Adams Innovation Institute and approval by the Governing Board. The Director of the Innovation Institute will issue a written notification to applicants whose projects are deemed eligible. These applicants will then be encouraged to submit a full application for a Regional Priority Grant.

Please complete the attached cover sheet and mail the Concept Paper to:

Christopher Scranton, Investment Funds Manager
The John Adams Innovation Institute
Massachusetts Technology Collaborative
75 North Drive
Westborough, MA 01581
(508) 870-0312 x 242
E-mail address: scranton@masstech.org

Please expand boxes as necessary for a concise response.

**John Adams Innovation Institute
Regional Priority Grant Concept Paper
Application Cover Sheet**

Applicant Information

Name of Applicant Organization		Funding Amount Sought (\$) Match Generated (\$)	
Mailing Address	City/Town/Zip Code	Region	Start Date: End Date:
Telephone	Fax	Applicant Web Address	
Name of Primary Contact (Individual)			
Primary Contact Title		Contact e-mail address	Direct Telephone #
Project Title		Specify Technology/Industry Focus	
Description of Project			
Economic Benefit of Project to Region: Please Itemize Expected Outcomes			
List Of Partner Organizations Involved		Match provided by each, if appropriate	

CONCEPT PAPER, SUBMISSION REQUIREMENTS

In submitting a *Concept Paper*, the Institute requests that the following information be provided, with **NO MORE** than the suggested number of pages per section as indicated:

☐ NARRATIVE/PROJECT DESCRIPTION (2-3 pages)

Please Provide a Narrative that describes the Project's focus, identifies the cluster being targeted, describes how the project will catalyze technology based economic development in the region and supports the region's economic development priorities.

☐ COVER SHEET

☐ OUTCOMES & MILESTONES (1/2 page)

Please List Expected Outcomes, Deliverables and Time Frames

☐ MATCH (1/2 page)

Please Describe Nature and Sources of Expected Match

☐ MANAGEMENT TEAM (1/2 page)

Please list the people who will drive and participate in this project and their qualifications

☐ REGIONAL PARTNER INSTITUTIONS AND ORGANIZATIONS (1/2 page)

Please List Partner Institutions/Organizations and Describe Their Involvement in the project.

ATTACHMENT C

John Adams Innovation Institute
Regional Priority Grant
Request for Full Proposal

Background, Application Forms, Terms and Instructions
RFP No. 2005-JAII-03

Proposal Forms and Instructions

Applicants whose concept paper has been approved may be invited to submit a *Full Proposal*. *Proposals* will be accepted on a rolling basis over the next three (3) years.

Please complete the attached forms by saving this MS Word file (Regional Priority Grant Proposal) under a distinguishing file name. When completing the Proposal 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 single-sided copies of proposals are submitted.

Each *Proposal* may be no more than 30 typewritten pages, plus attachments and should include the following information:

- Completed Application Cover Sheet
- A description of the project to be funded, including the area of technology focus/economic cluster being targeted, the specific actions to be undertaken, a description of how the project will catalyze technology based economic development in the region.
- Description of expected outcomes, milestones and a definition of project success;
- Description of the Project's management team, as well as other individuals, outside the lead organization, who will be directly involved;
- A listing and description of match that will support the project, if appropriate;
- Partner Institutions and organizations that will be involved in this effort, their role and responsibilities and a description of how their participation will impact and strengthen the proposal;
- Demonstration of regional support;
- The project budget, detailing costs and categories.

Full Proposals will be subject to the review of the staff of the John Adams Innovation Institution and approval by the Governing Board.

Please complete the attached cover sheet and mail the Full Proposal to:

Christopher Scranton, Investment Funds Manager

The John Adams Innovation Institute

Massachusetts Technology Collaborative

75 North Drive

Westborough, MA 01581

(508) 870-0312 x 242

E-mail address: scranton@masstech.org

Please expand boxes as necessary for a concise response.

**John Adams Innovation Institute
Regional Priority Grant Request for Proposal
Application Cover Sheet**

Applicant Information

Name of Applicant Organization		Funding Amount Sought (\$) Match Generated (\$)	
Mailing Address	City/Town/Zip Code	Region	Start Date: End Date:
Telephone	Fax	Applicant Web Address	
Name of Primary Contact (Individual)			
Primary Contact Title		Contact e-mail address	Direct Telephone #
Project Title		Area of Technology Focus	
Description of Project			
Economic Benefit of Project to Region			
List Of Partner Organizations Involved		Match provided by each, if appropriate	

FULL PROPOSAL SUBMISSION REQUIREMENTS

In submitting a *Full Proposal*, the Innovation Institute requests that the following information be provided:

- ❑ The Completed Proposal Cover Sheet
- ❑ A narrative description of the activities that will be undertaken to promote economic activity in the region. Please include:
 - A description of the project, industry focus, and technology;
 - The key technology and any identified new product(s) that will be addressed by the project;
 - The problem that the key technology solves and the market opportunity for the project;
 - The benefits to the region and to Massachusetts if the project is successful;
 - Current number of employees and possibilities for expanded employment opportunities;
- ❑ The expected outcomes, deliverables and timeframe; describe how the Applicant defines “success” and how the Innovation Institute can measure the impact and success of the project;
- ❑ A detailed description of personnel who will be involved in this project, their experience, role and contribution. Include list of management team and their responsibilities.
- ❑ A description of the amount, nature and source of the match along with its importance to the proposed project.
- ❑ A list of institutions and organizations that are partners in this proposal and describe their roles and contributions
- ❑ A detailed annual budget for activities proposed to be supported through the Regional Priority Grant Fund (see attached template).

Certification:

I certify that I am authorized to submit this application, 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 6 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 1 of the RFP.

(Signature of authorized individual)

(Date)

(Printed name)

(Title)

Applicant:		EXAMPLE TEMPLATE		For budget questions, contact JAIL Do not edit the yellow boxes- they calculate automatically.		
Project Title:		USE EXCEL FORMAT ATTACHMENT				
I. a. Direct Labor						
<i>name/title</i>	<i># of hours</i>	<i>rate/hr</i>	Grant Amount	Match Amount	Total Project cost	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
Total Direct Labor			\$0	\$0	\$0	
I. b. Direct Benefits/Fringe Costs						
Rate (% of Direct Labor)	0%		\$0	\$0	\$0	
II. General & Administrative Overhead						
Rate (% of Direct Labor):	0%		\$0	\$0	\$0	
III. Subcontractors/Consultants						
<i>Consulting /Contractor firm name(if known)/type of consultant</i>	<i># of hours</i>	<i>rate/hr</i>	Grant Amount	Match Amount	Total Project cost	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
	0	\$0	\$0	\$0	\$0	
Total Subcontractors/Consultants			\$0	\$0	\$0	
IV. Direct Materials						
			Grant Amount	Match Amount	Total Project cost	
			\$0	\$0	\$0	
			\$0	\$0	\$0	
			\$0	\$0	\$0	
Total Direct Materials			\$0	\$0	\$0	
V. Travel						
			\$0	\$0	\$0	
VI. Other Direct Costs (list by type)						
			Grant Amount	Match Amount	Total Project cost	
			\$0	\$0	\$0	
			\$0	\$0	\$0	

	\$0	\$0	\$0
Total Other Direct Costs	\$0	\$0	\$0
Total Cost of Project	\$0	\$0	\$0
Total funding sought from MTC as a percentage of total project cost:	#DIV/0!		

<i>Sources of Cash Matching Funds</i>	<i>Amount</i>
<i>(ex. Partner Organization 1)</i>	
<i>(ex. Partner Organization 2)</i>	