

John Adams Innovation Institute
**Collaborative R&D Partnership Development Grants
Request for Proposals**

Background, Application Forms, Terms and Instructions
RFP No. 2005-JAII-05

Attachment A

Application Forms and Instructions

John Adams Innovation Institute
Collaborative R&D Partnership Development Grants RFP (2005-JAII-05)
Application Instructions

Complete the forms provided by saving this MS Word file (Development Grants 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);
- A 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);
- A Budget as described in Section 6.2 of the Development Plan Narrative Outline; and
- Appropriate attachments in an appendix related to (but not limited to) qualifications, partnership general information, policies, agreements, management CVs, and detailed budgets.

Please see Section 3.1 in the RFP ("How to Apply") for submission instructions.

Collaborative R&D Partnership Development Grant Program
RFP No. 2005-JAII-05
Massachusetts Technology Collaborative
Innovation Center
75 North Drive
Westborough, MA 01581-3340
JAII@masstech.org

John Adams Innovation Institute
Collaborative R&D Partnership Development Grants RFP (2005-JAII-05)
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 Partnership Focus			
5. Funding Sought from Collaborative R&D Partnership Development Grant Program (optional for applications submitted as concept papers)			
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	

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 understand 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 further agree to the reporting requirements set forth in Section 3 of the RFP.

I agree to either (i) execute the General Terms and Conditions or provide it with this submission; or (ii) specifically set forth any exceptions and counter proposals to The General Terms and Conditions upon submission of my 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 General Terms and Conditions shall not be subject to further negotiation.

In signing this certification, I acknowledge the limitation on funding set forth in the FRA that restricts any institution (or campus if a multi-campus institution) to no more than one active Development Grant at any period of time.

(signature of authorized individual)

(date)

(printed name)

Outline for Development Plan Narrative

1. Summary

Provide a brief summary of the proposed partnership, including:

1. A description of the Partnership, industry focus, and core technology (as appropriate)
2. The challenge/problem that the core technology to be developed by the partnership addresses, and the global market opportunity addressed by the partnership's activities
3. The benefits to Massachusetts if the partnership is successful. Quantify the market, economic, and employment impacts to the extent possible
4. The funding/internal growth objectives that the partnership is attempting to achieve with support from a Development Grant
5. The project team - applicant, academic partners and key industry participants
6. Key individuals who should be considered champions of the partnership in the academic research community and in industry.

The summary should be no longer than one page in length.

2. Threshold Eligibility Criteria (This section should be no longer than one page in length.)

- 1) Identify any Massachusetts universities, colleges, community colleges, academic health centers, non-profit research institutions, or federal laboratories that will participate in the partnership as a partner or collaborator
- 2) Is the proposed partnership considered an *eligible project* under the terms of the RFP?
 - a) For a prospective partnership:
 - i) Will the prospective partnership conduct research in collaboration with industry? In particular, will industry participate in the development of the research agenda? Briefly describe the nature of that collaboration.
 - ii) Is there an initial strategic vision and framework for developing an integrated research agenda that will guide the activities of the partnership? 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.
 - iii) Will the project result in the development and validation of a strategy to establish and fund the partnership?
 - b) For an existing partnership:
 - i) Does the partnership conduct research in collaboration with industry? If not briefly describe how the project will result in such collaboration.
 - ii) Has the partnership been successful in executing its existing research agenda? Describe major accomplishments to date.
 - iii) Has the partnership created value for its current members? Describe how.
 - iv) Will the project result in the development and validation of a strategy to expand the partnership?
 - c) Describe the extent to which Massachusetts companies or industry associations participate in or support the partnership.

3. Partnership Overview and Competitive Positioning (not required for Concept Papers) (This section should be no longer than 2 pages in length.)

3.1 General Information

Briefly describe:

1. Partnership background, mission, and strategic vision
2. The competitive advantage or strategy that is expected to lead to growth or expansion of the partnership
3. The rationale for the teaming strategy of the partnership and the extent to which it creates a competitive advantage
4. The institutional priority and commitment to support the partnership's activities, including any investment the applicant(s) expect to make in partnership activities.

4. Significance of the Market Opportunity and Rationale for Innovation Institute Support (not required for Concept Papers) (This section should be no longer than 2 pages in length)

4.1 Significance of the Market Opportunity

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

- What industries/clusters produce products/services that will be impacted by the technology developed through the partnership?
 - Will the technology developed within the partnership contribute to significant growth of these industries/clusters?
- Who are the end-users of the products/services that will be impacted by the technology developed within the partnership?
 - What will be the economic impact of their adoption of this technology?

4.2 Rationale for Innovation Institute Support

Describe the rationale for Innovation Institute support of the proposed partnership.

- What are the funding/growth objectives that the partnership expects to achieve as a result of activities supported by the Development Grant?
- Does the technology that the partnership addresses represent a strategic growth opportunity for Massachusetts companies, clusters, or regions?
 - If so, briefly document the opportunity through reference to market assessments, cluster development strategies, regional assessments, technology road maps, etc.
 - 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
- Does the partnership represent collaboration between two or more academic or non-profit research institutions?

5. Partnership Development Plan (not required for Concept Papers) (This section should be no longer than 6 pages in length.)

5.1 Partnership Development Framework

Briefly describe:

- Key funding opportunities that are expected to drive the growth of the partnership
- Key issues/challenges (including known funding gaps) that need to be addressed by the partnership in order to move to the next level of investment or funding
- The extent to which the partnership will employ a collaborative approach to undertaking the activities proposed in the project

5.2 Partnership Development Activities

What are the development activities that the partnership 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:

- Development or refinement of a strategic vision and integrated research agenda that will guide the formation or expansion of the partnership;
- Identification and validation of market opportunities that are relevant to the research to be carried out by the partnership ;
- Development and validation of a funding strategy to establish or expand the partnership
- Outreach, particularly to Massachusetts companies, that will expand industry participation in the partnership
- Execution of initial business development activities leading to the next stage of funding/investment for the partnership

5.3 Work plan and Projected Outcomes

For each activity identified in Section 5.2, provide a narrative description of what the partnership will do, who will be responsible for directing the activity, and what the expected outcomes will be. 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 result in the formation or significant expansion of a partnership and whether the project will produce a good return on the Commonwealth's investment.

6. Organizational Information and Budget (not required for Concept Papers)

6.1 Management and Policies

Describe the reporting relationships of the partnership within the host institution(s). In the case of multi-institutional/multi-campus partnerships, describe the management structure of the partnership.

In an Appendix, provide:

1. Organization chart for the partnership
2. CVs of key personnel
3. To the extent known, list of members of Governing Boards, Advisory Boards, etc. (identify those members representing Massachusetts institutions)

6.2 Budget Summary

Using the forms appended hereto, provide a budget for partnership activities identified in this application, including the total requested from MTC, total provided by participating research institutions, and total contribution expected from industry. Distinguish between cash and in-kind contributions.

1. Provide individual task summaries (Table 1).
2. Identify at minimum estimates for direct labor, materials, subcontracting, travel, overhead costs for the activities being supported by the program (Table 2).
3. Indicate source, amount and type (e.g., in-kind or cash) of matching funds.



John Adams Innovation Institute
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Budget Template – Table 1

Task No.	Task Name	Total Costs	MTC Cost	Other	
				In-kind	Cash

John Adams Innovation Institute
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Budget Template – Table 2

Please insert lines as necessary for a concise response.

General Cost Information	
Applicant:	Title of Proposed Project:
	Total Project Cost:
	MTC Funding Requested:

Cost Elements: (see instructions)						
I. Direct Labor						
<i>name/title</i>	<i>hours</i>	<i>rate/hr</i>	<i>Total Cost</i>	<i>MTC Cost</i>	<i>In-kind Match</i>	<i>Other Match</i>
Total Direct Labor						
II. Subcontractors/Consultants						
<i>name/title</i>	<i>hours</i>	<i>rate/hr</i>	<i>Total Cost</i>	<i>MTC Cost</i>	<i>In-kind Match</i>	<i>Other Match</i>
Total Subcontractors/Consultants						
III. Travel			<i>Total Cost</i>	<i>MTC Cost</i>	<i>In-kind Match</i>	<i>Other Match</i>
IV. Other Direct Costs (list by type)			<i>Total Cost</i>	<i>MTC Cost</i>	<i>In-Kind Match</i>	<i>Other Match</i>
Total Other Direct Costs						
V. General & Administrative Expense/Overhead	<i>Rate (% of DL only):</i>	<i>Total Cost</i>	<i>MTC Cost</i>	<i>In-Kind Match</i>	<i>Other Match</i>	

Total Costs	
Total Project Costs	
Total \$ amount of funding sought from MTC:	
Total funding sought from MTC as % of total project cost:	
Total Matching Funds	
Cost Sharing:	
<i>Source</i>	<i>Amount</i> <i>Type (In-Kind/Cash/Other)</i>