Frequently Asked Questions (Received through 11/8/2024 5:00 PM)

2025 Request for Proposals Centers for Advanced Technology (CAT) Program RFP # 24-6172

Question: Will the deadline for questions be extended as a result of the extension of the submission date?
Answer: *No, the deadline for receiving questions is still November 8, 2024 5:00 PM.*

Question: Are there font, line spacing, page margins or any other format requirements?
Answer: *Applicant institutions are to ensure proposals have been thoroughly reviewed for clarity and professional presentation, refer to font and point size settings within the forms/templates cited as Appendices to RFP Number 24-6172; which is Arial 12 pt.*

Question: Who should sign the following forms: Diversity Practices Questionnaire; OSCD – 1 Policy Statement; OCSD – 2 – Staffing plan – 07-16-24; and OCSD -4 Utilization Plan?
Answer: *Each form should be completed according to their instructions.*

Question: Can the Center that is submitting a re-compete proposal change the name of the existing Center?
Answer: *Yes, the name may be changed.*

Question: Can two centers who collaborate with each other on projects with the same industry partner include those project summaries in each of their proposals?
Answer: *Yes. Each center can include a project summary. Each center should describe their center's role (a description of the research to be performed by their center) and specific anticipated deliverables*:

Question: For Section III E.3 Use of Funds (p.22), there are four (4) sub-sections totaling 20 points. However, in the review criteria only three of the sub questions have points allotted to them. How is question 3D scored?
Answer: *Section III E.3(d) "Discuss the CAT's capacity to secure private and other non-New York State government funds in amounts at least equal to the matching funds requirements for the total support sought from ESD" is scored as part of Review Criteria 3.(b) "Quality and quantity of the applicant institution's matching funds against ESD funding. (8 Points) ".*

Question: Will the reporting requirements for the contract (see template contract at Attachment D) be quarterly or will progress and financial reports still be due every 6-months?
Answer: *Progress report narratives and financial reports will be required for semi-annually for the periods ending December 31 and June 30.*

Question: Does the Project Summary Template, Section III E 2.d (p. 21) have a direct correlation with the Center budget for the first year? Do the CAT funds committed on the Project Summary Templates (up to 10) for the first year have to align with the total project line item in the first year budget? Or is it OK that the Project Summary Template budgets add up to more than allotted first year project budget as it is understood that only a portion of the potential projects will advance to a "real" project in year 1?
Answer: *When budgeting for project cost share, the committed and proposed project costs should be considered, remembering also that the maximum amount of ESD funding that can be used for project cost share is 25% of the annual budget.*

Question: Does the requirement, Section I F. 2 bullet #5 (p. 9), that "no ESD funds may be expended on salaries for university faculty, staff or administration that have a vested and/or financial interest in any company benefiting from an applied research contract with the CAT" preclude the CAT from entering into any type of project with a company where a salaried CAT staff member has a vested and/or financial interest in said company, even if the CAT staff is not involved in the project in any way?
Answer: *No. The CAT may enter into a project with a company where a salaried CAT staff member has a vested and/or financial interest in said company BUT no ESD funding can be expended on that project.*

Question: Is a Project Summary Template, Section III E 2.d (p. 21), a de-facto contract/agreement between the applicant and the industry partner to engage in said project upon CAT award? Or does it reflect a strong potential pipeline opportunity being used for budgeting and planning purposes?
Answer*: For existing designated centers the project summary template should describe the most recent* ***committed projects*** *the CAT will conduct with industry during its first year of operations.* ***A committed project is one that has been agreed to by the company with the dollar amount of support and CAT deliverables identified.*** *If the proposal is for a new CAT, provide project summary templates for five potential projects where the company partner has agreed to consider the project and up to five committed projects; or any combination thereof that amounts to ten.*

Question: Will the CAT or NY State entertain a response to this RFP focused on using AI to increase capacity at healthcare institutions in the NY state for an organization looking to expand from California to New York State?
Answer*: An eligible applicant for this RFP is a New York Private or State University, University-Affiliated Research Institute, or a Consortium of such institutions.*

Question: Current contracts allow that up to 25% of ESD funds may be expended on project cost sharing with industry (do the companies need to be NYS companies?). What is the total amount of, or % of ESD funds that may be expended per year on project cost sharing under the RFP? Section I F. 2, last bullet (p. 9)
Answer*: ESD funds used for project cost share must be used for projects with NYS companies. Cats may establish projects with out-of-state companies but no ESD funding can be spent on these projects. The total amount of ESD funds that may be expended per year on project cot sharing will be 25% ($225,989 based on the annual funding of $903,954).*

Question: If the proposing organization is a certified Minority Business Enterprise (MBE) in the State of California, do we have to seek recertification in New York state as MBE?
Answer: *Yes, the California company would need to seek certification through New York State to be considered an MWBE company in NYS. Only utilization of New York State-certified Minority-owned Business Entreprise ("MBE") New York State-certified Women-owned Business Entreprise ("WBE") and New York State-certified Service-Disabled Veteran-Own Business ("SDVOB") will be credited toward MWBE and SDVOB participation goals.*

Question: Are the diversity practices questionnaires/OCSD forms just for prime site to complete or do subawards and/or partners need to complete them as well (Section III. G., p. 23)?
Answer: *The OCSD forms are to be completed only by the applicant, or if in a consortium the forms will be completed by all consortium members.*

Question: Is the proposal required to include 30% MWBE and 6% SDVOB goals to align with those of ESD as mentioned in the RFP? (ie why is this goal left blank in the OCSD-1 form)?
Answer: *ESD has an agency-wide overall 30% MWBE goal, including 15% for MBE and 15% for WBE participation, as well as a 6% SDVOB participation goal. Contracts resulting from this RFP will be assessed for MWBE and SDVOB goals based on the scope of work and project description. Regarding OCSD-1, the respondent may leave the goals on page 3 blank until the MWBE and SDVOB goals are assessed by ESD.*

Question: Can a portion of a company's matching funds commitment to support a technology co-development project with the CAT be used to secure an option to the technology that is the subject of the collaboration?
Answer: *No. Company matching funds must be used to expand the applied research capacity of each CAT.*

Question: Can client funds from a CAT collaboration be returned to a company client if not needed or used?
Answer: *How client matching funds are to be spent and handling of excess funds should be part of the contract / agreement between the CAT and the company partner. If funds are returned they cannot be reported as matching funds to ESD.*

Question: To confirm/clarify, are Support Letters permitted in the application in the Appendices? If so,
Answer: *No. Per Section H. (Appendices to the Proposal) No sections, appendices, and/or supporting information of the proposal beyond those items required by ESD in this RFP will be accepted or reviewed.*

Question: Can solely a university (as defined on page 28), a university-affiliated research institute (as defined on page 28), and a lead institute/institution for a consortium (as defined on page 28) apply for this RFP?
Answer: *Yes*

Question: Per the RFP page 7, "Limitations: A university or its university-affiliated research institute may submit up to two proposals for which it is the single applicant or lead institution of a consortium. No university or its university-affiliated research institute, or consortia thereof, may host more than two CATs." This statement uses the word or as underlined above. Our question is if a university and its university affiliated research institute submit applications (1 each, 2 in total), is this allowable?
Answer*: No. Either the university or its university-affiiated research institute may apply*

Question: Per the RFP page 7, "Limitations: A university or its university-affiliated research institute may submit up to two proposals for which it is the single applicant or lead institution of a consortium. No university or its university-affiliated research institute, or consortia thereof, may host more than two CATs." Can an applicant (organization A) be a lead for an application with a university as our affiliate? And can a university (organization B) submit two applications with other organizations (potentially with organization A as well)?
Answer: *A university or its university-affiliated research institute may submit up to two proposals for which it is the single applicant **or lead institution** of a consortium. The university can be a sub on other applications.*

Question: A Consortia, Consortium, or Consortium Members are defined (on page 27) as "A collaborative effort comprised of a University(s) and/or University-Affiliated Research Institute(s) working together to perform the tasks identified in the proposal. A Lead Institution must be identified". Does the agency expect the consortia or consortium to be a legally recognized consortia/consortium? OR Can the consortia/consortium be formed by MOU for the purposes of this application to implement the work?
Answer: *The consortia or consortium can be formed by an MOU.*

Question: Can a not-for-profit use this application to become a University-affiliated research institute to carry out the work of the RFP? OR Does the University-Affiliated Research Institute need to have as defined by its articles of incorporation the requisite requirements at the time of application submission?
Answer: *A university-affiliated research institution has to be affiliated through its articles of incorporation with the requisite requirements to support, supplement, and/or extend the basic and applied research, development and technology transfer in one or more technological areas of the University to which it is affiliated at the time of application submission.*