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FACULTY DEVELOPMENT & TECHNOLOGY TRANSFER INCENTIVE PROGRAMS

2018 REQUEST FOR PROPOSALS

RFP Number: 18-6135

RFP Released: October 19, 2018

PROPOSALS DUE: November 28, 2018 BY 2:00 P.M.

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Table of Contents

I. Program Overview and Requirements.....	1
A. Program Goals and Objectives	1
B. Anticipated Funding and Contract Period	2
C. Grants Gateway	2
D. Eligibility and Program Requirements.....	5
E. Activities to be Supported with ESD Funds.....	7
F. Matching Funds Requirement	8
G. Reporting and Monitoring Requirements.....	9
H. Sample Contract	10
II. Submission Information.....	10
A. Timetable.....	10
B. Questions Regarding the RFP	10
C. Submission Instructions	11
D. Proprietary Information.....	12
III. Proposal Components	13
A. Proposal Cover Page, Checklist, and Certification	13
B. Table of Contents	13
C. Glossary of Terms Used.....	13
D. Executive Summary (limited to 1 Page).....	13
E. Faculty Development Proposal Narrative (limited to 12 pages excluding required forms and appendices).....	14
F. Technology Transfer Incentive Proposal Narrative (limited to 12 pages excluding required forms and appendices)	17
G. Budget Forms.....	18
H. Appendices to the Proposal	18
IV. Review Criteria and Process	19
A. Review Criteria – Faculty Development Program	20
B. Review Criteria – Technology Transfer Incentive Program	21
C. Review Process.....	21
D. Protests and Appeals	22
V. Appendices to the RFP.....	23

I. Program Overview and Requirements

A. Program Goals and Objectives

NOTE: Refer to Appendix A for a glossary of terms used throughout this RFP

Faculty Development Program:

The Faculty Development Program is governed by Section 209 of the Executive Law and Part 6500 of Title 9 of the Official Compilation of Codes, Rules and Regulations of the State of New York (9 NYCRR 6500). Contractors will be bound by and responsible for complying with any and all future statutory changes relating to the Faculty Development Program and must retain a copy of the RFP, which is incorporated by reference in the contract.

The Faculty Development Program provides interim State assistance to either attract distinguished faculty from throughout the world to New York's academic institutions of higher education; or retain leading researchers already working in academic institutions of higher education in New York. Top scientists and scholars are more successful in acquiring financial support for research and draw the best junior researchers and graduate students to New York's research institutions, and research conducted by topflight scientists generates the greatest interest from the business and investment communities.

Faculty receiving funding from this program are expected to develop, define, and conduct nationally and internationally recognized research with strong commercial potential; act as the focal point for multidisciplinary research teams in the institution; attract additional external funding from federal, foundation, and other public and private sources; and participate in entrepreneurial enterprises that will benefit New York State. Awards granted from the Faculty Development Program are expected to benefit the economy of New York by:

- Contributing to the growth of new high-technology industries and jobs as a result of the transfer and commercialization of research;
- Contributing to the growth in the number of entrepreneurial endeavors generated by New York's research institutions;
- Increasing the number and amount of federal, foundation, and other research grants received in New York;
- Increasing corporate and venture capital investments in high-technology research and development; and
- Further strengthening the research capabilities of New York's research institutions.

Technology Transfer Incentive Program:

The Technology Transfer Incentive Program is governed by Section 209 of the Executive Law. Contractors will be bound by and responsible for complying with any and all future statutory

changes relating to the Technology Transfer Incentive Program and must retain a copy of the RFP, which is incorporated by reference in the contract.

The Technology Transfer Incentive Program (TTIP) statute requires that funds be provided to an institution of higher education or not-for-profit research institution. The intent of this funding and the primary goal of the program are not to further academic research but to accelerate commercialization of technologies at New York companies within the State.

The Technology Transfer Incentive Program accelerates the commercialization of technology developed or enhanced at an institution of higher education or not-for-profit research institution by providing short-term, interim State assistance to the Applicant Institution working in collaboration with a New York Company Partner to commercialize intellectual property or research from the Applicant Institution to market.

Other goals of the TTIP include creating other economic impacts in New York State by:

- Helping companies bring new products and services to market;
- Increasing federal, corporate and venture capital investments in companies and high-technology research and development; and
- Creating new companies around promising technology.

B. Anticipated Funding and Contract Period

Funding levels for both programs will be as follows:

- Faculty Development Program. ESD anticipates making four awards under this program. Applicant institutions may request up to **\$100,000** over a period of up to **three years** to support the activities described in Section I.E.
- Technology Transfer Incentive Program. ESD anticipates making four awards under this program. Applicants may request up to **\$62,500** over a period of up to **eighteen months** to support the activities described in Section I.E.

See timetable (Section II.A.) for initial contract start dates. Awards may be modified based on availability of funds or as determined by the Advisory Board in the best interest of the State.

C. Grants Gateway

In 2013, New York State launched Grants Gateway, a web-based grants management system designed to improve the way grants are administered by the state. Grants Gateway allows not-for-profit organizations to browse, search and review anticipated grant opportunities and apply for available grant opportunities. Before applying for an ESD grant, not-for-profits should have been prequalified in the Grants Gateway. Prequalification is a system that allows organizations to complete many of the administrative tasks that are included in applying for grants prior to the actual grant application process. Prequalification allows for the early identification and correction of any deficiencies or gaps in materials before responding to an RFP. Once organizations are registered in the Grants Gateway, they can begin the prequalification process.

Once prequalified, not-for-profits can store all of their documents and information in a secure data vault. Only the not-for-profit and other state agencies will have access to the information. This will eliminate redundant submission of this data for each New York State (NYS) grant opportunity. All prequalification application information will be maintained in the vault for up to three years.

Registration and prequalification instructions are provided on the following pages. Additional registration and prequalification information, including a video tutorial, is available on the Grants Reform website at <http://grantsreform.ny.gov>.

GRANTS GATEWAY REGISTRATION AND PREQUALIFICATION

All NYS grant applicants must be registered in the NYS Grants Gateway to be eligible to:

- Apply for a NYS grant opportunity;
- Enter into a grant contract, an amendment to an existing contract or a letter of agreement; and,
- Apply for future grant payments.

In addition to registering, not-for-profit organizations must also complete the Vendor Prequalification process in the Grants Gateway to be considered eligible to apply for this grant opportunity. Government entities and public authorities are currently not required to complete the Vendor Prequalification process.

GRANTS GATEWAY REGISTRATION INSTRUCTIONS

Registration is NOT an online process. Register now to allow time for processing.

1. On the Grants Reform website at <http://grantsreform.ny.gov>, download a copy of the Registration Form for Administrator.
2. Complete the form according to the instructions provided. You must sign and notarize the completed form.
3. Mail the signed and notarized original form to:
NYS Grants Reform
99 Washington Avenue
Room 1530
Albany, NY 12210-2814
4. After the form is received and reviewed, you will be provided with a username and password allowing you to access the Grants Gateway.

5. Log in to the Grants Gateway at <https://grantsgateway.ny.gov>. You will be prompted to change your password at the bottom of your profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page. If you have previously registered and do not know your username, please email grantsgateway@its.ny.gov. If you do not know your password, please click the *forgot password* link from the main login page and follow the prompts.

CREATING ROLES IN THE GRANTS GATEWAY SYSTEM

Once your organization is registered and prequalified in the Grants Gateway, the user with the delegated administrator role must create additional roles to initiate, complete and submit the application in the Grants Gateway. Refer to Section 4.2 of the “Grantee User Guide” located on the Grants Reform website at <http://grantsreform.ny.gov> for instructions on creating user roles in the Grants Gateway system. This step MUST be completed to submit an application in the Grants Gateway.

NOT-FOR-PROFIT PREQUALIFICATION INSTRUCTIONS

Pursuant to the New York State Division of Budget Bulletin H-1032, dated June 7, 2013, New York State has instituted key reforms to the grant application and contract processes. These initiatives require not-for-profit organizations to complete the vendor prequalification process to be considered eligible to apply for a grant. Below is a summary of the steps to complete the prequalification requirements. The Vendor Prequalification Manual on the Grants Reform website at <https://grantsgateway.ny.gov> provides additional information and instruction.

1.) **Complete** your Prequalification Application.

- Log in to Grants Gateway at <https://grantsgateway.ny.gov>. If this is your first time logging in, you will be prompted to change your password at the bottom of your profile page. Enter a new password and click the SAVE button located on the top, right-hand side of the page.
- Click the *Organization(s)* link at the top of the page and complete the required fields including selecting the State agency you have the most grants with. This page should be completed in its entirety before you SAVE. A *Document Vault* link will become available near the top of the page. Click this link to access the main Document Vault page.
- Answer the questions in the *Required Forms* and upload the *Required Documents*. This constitutes your Prequalification Application. Optional Documents are not required unless specified in this Request for Proposals.
- Specific questions about the prequalification process should be referred to your agency representative or to the Grants Reform team at grantsgateway@its.ny.gov.

2.) **Submit** your Prequalification Application.

- After completing your Prequalification Application, click the *Submit Document Vault* button located below the Required Documents section to submit your Prequalification Application for State agency review. Once submitted, the status of the Document Vault will change to *In Review*.
- If your Prequalification reviewer has questions or requests changes, you will receive an email notification from the Gateway system.

Once your Prequalification Application has been approved, you will receive a Gateway notification that you are now prequalified to do business with New York State.

D. Eligibility and Program Requirements

In addition to general requirements, proposals must also satisfy the program-specific requirements for which the applicant institution is submitting.

1. General Requirements

- a. Only, institutions of higher education and research institutions in New York State are eligible to apply for funding. ***Effective August 1, 2013, not-for-profit organizations must be prequalified in order to do business with New York State. In order to prequalify, not-for-profit organizations must submit an online Prequalification Application through Grants Gateway at the following website address; https://grantsgateway.ny.gov/IntelliGrants_NYSGG/module/nysgg/goportals.aspx. The Prequalification Application is comprised of five components to gauge your organizational structure and the types of services you provide. The required forms and document uploads are all part of the Document Vault. Resources to complete the application and associated document vault can be found in the Quick Links Section. Applications from those NOT prequalified will be rejected without review.***
- b. Applicants must demonstrate the ability to meet the matching funds requirements for the funding period requested. Award recipients must provide all matching funds demonstrated in proposals in ensuing contracts.
- c. Any proposal that does not comply with all of the requirements of this RFP, including submission of all required documentation, shall be rejected without review.
- d. Indirect Costs are limited to 15 percent of direct personnel costs (total salaries plus fringe benefits). This Indirect Cost limit applies to ESD and Matching Funds.

2. Faculty Development Program Eligibility and Program Requirements

- a. Applicant institutions may submit one Recruitment Proposal or one Retention Proposal for consideration under the Faculty Development Program. For the purposes of this RFP, each campus of the State University of New York (SUNY) and the City University of New York (CUNY) systems is considered a separate entity, and therefore, is eligible to respond to this RFP provided all other eligibility requirements are met.
- b. The faculty Candidate must be either an out-of-state researcher being recruited for a full-time position at the applicant institution or a full-time employee of the applicant institution being recruited by an institution outside New York State.
- c. The Candidate must have a demonstrated history of pursuing entrepreneurial endeavors as evidenced by developing new products, creating new companies, and/or constructively benefiting existing companies.
- d. An applicant institution submitting a Recruitment Proposal must complete the Letter of Attestation–Recruitment (located in Appendix B to the RFP) that documents both the interest of the Applicant Institution in recruiting the Candidate and the interest of the Candidate in seeking employment with the Applicant Institution. The letter must be signed by the designated Authorized Organizational Representative.
- e. An Applicant Institution submitting a Retention Proposal must complete the Letter of Attestation–Retention (located in Appendix B to the RFP) that documents both the commitment of the Applicant Institution to retaining the Candidate and that a non-New York State institution has expressed specific interest in recruiting the Candidate within six months of the proposal submission deadline. The letter must be signed by the designated Authorized Organizational Representative.
- f. No Recruitment proposal shall be for the purpose of recruiting a faculty member from another institution of higher education in New York State unless the Applicant Institution can demonstrate to ESD’s satisfaction that it is in the best interest of the State.
- g. Each proposal must identify only one Candidate for whom funding is requested. The written Employment Solicitation associated with the Candidate must have occurred within six months of the proposal submission deadline.
- h. No Applicant Institution faculty member can be compensated from ESD funds, unless that faculty member is the Candidate named in the Applicant’s proposal.
- i. Awards will be granted to support the allowable activities and items described in Section I.D. only. Funds may not be used to reimburse the Applicant Institution for expenses incurred in the recruitment or retention process including, but not limited to, staff travel, supplies, and consultant recruiter contracts.
- j. The Advisory Board may take into account an Applicant Institution’s past performance on previous projects administered by ESD, or its predecessor; and other information relevant to determining whether an award is in the best interests of the State.

3. Technology Transfer Incentive Program Eligibility and Requirements

- a. Applicant Institutions may submit no more than one proposal. For the purposes of this RFP, each campus of the State University of New York (SUNY) and the City University of New York (CUNY) systems is considered a separate entity, and therefore, is eligible to respond to this RFP provided all other eligibility requirements are met.
- b. Proposals must be submitted by an active faculty member (PI) or research staff / student with support from a faculty sponsor.
- c. Proposals including outside and cross-disciplinary collaborations are strongly encouraged.

E. Activities to be Supported with ESD Funds

1. Faculty Development Program

ESD funds are intended to provide additional incentives for a Candidate to conduct his or her research in an institution of higher education or research institution in New York State. Faculty Development Program funds are expected to be part of the incentive package offered to the Candidate. Allowable uses of ESD funds include, but are not limited to:

- Compensation for the Candidate's Research Team, including Graduate Fellowships;
- Equipment necessary for conducting the Candidate's research;
- Preparation of the Candidate's workplace and research space;
- Costs associated with the publication, documentation, or dissemination of the Candidate's research findings/results; and
- Other items and activities explicitly approved in writing by ESD prior to being incurred.

2. Technology Transfer Program

ESD funds are intended to support expenses incurred in commercialization activities described in the proposal which demonstrably enhance the Company Partner's and/or New York industry's economic activity in New York; including but not limited to patent applications, creation of business and marketing plans, development of a prototype, venture capital conferences and non-capital costs associated with the development of real property owned by such institution of higher education or research institution for research and development purposes. Allowable uses of ESD funds include, but are not limited to:

- Travel directly related to the project;
- Services subcontracted to the Applicant Institution; or to an appropriate New York incorporated not-for-profit organization such as an ESD-designated Innovation Hot Spot; Certified Business Incubator; Manufacturing Extension Partnership Centers; and/or other entities; and
- Other items and activities explicitly approved in writing by ESD prior to being incurred.

F. Matching Funds Requirement

In addition to General Matching Fund Requirements, proposals must also satisfy the program-specific Matching Fund Requirements for the program to which the Applicant Institution is submitting.

1) General Matching Fund Requirements

- a. The primary purpose for the Matching Funds requirement is to serve as an indicator of the Applicant Institution's commitment to the program. Matching Funds are a non-reimbursable component of the proposal's total cost.
- b. For Year One of the budget, 100 percent of the required Matching Funds must be committed.
- c. The following five general categories of funding are eligible to be used as Matching Funds:
 - Funds or In-Kind Support from the Applicant Institution;
 - Federal grants and awards;
 - Funds or In-Kind Support from industry;
 - Funding from not-for-profit organizations; and,
 - Donations from other sources.
- d. No other New York State government funds are eligible to be used as Matching Funds; however, individual campuses within the State University of New York or the City University of New York systems may use a portion of their respective operating funds as Matching Funds.
- e. No funds used as Matching Funds in other New York State government programs are eligible to be used as Matching Funds in this program.

2) Faculty Development Program Specific Matching Funds Requirements

Applicant Institutions are required to match ESD funding with institutional resources or other non-New York State government funds (e.g., industrial partners, grants and/or awards from the federal government and foundations). All Matching Funds demonstrated in the proposal must be expended during the appropriate contract year. Pursuant to 9 NYCRR 6500.5, the level of Matching Funds must increase over the duration of the award, as reflected in the schedule below:

- In year one of the award, for each dollar of State assistance payment, the Applicant Institution is required to demonstrate one dollar of Matching Funds.
- In year two of the award, for each dollar of State assistance payment, the Applicant Institution is required to demonstrate 1.25 dollars of Matching Funds.
- In year three of the award, for each dollar of State assistance payment, the Applicant Institution is required to demonstrate 1.5 dollars of Matching Funds.

3) Technology Transfer Incentive Program Specific Matching Fund Requirements

- a. **No less than 50 percent of the total project cost must be supported by Matching Funds.**
- b. At least 50 percent of the total required Matching Funds must be provided by the Company Partner and up to 50 percent of the total required Matching Funds may be provided by Other Sources of Support. Of the 50 percent minimum Matching Funds required from the Company Partner, the required amount of cash Matching Funds varies (with the remaining required match being made up of in-kind match) as follows:

Number of Employees*	Minimum Company Cash	Allowable In-Kind Match
0-25	0%	100%
26-50	10%	90%
51-75	20%	80%
76-100	35%	65%
101-500	50%	50%
500+	75%	25%

* Total full-time employees at the Company Partner as of the proposal submittal deadline, including any parent companies or subsidiaries.

- c. Partner companies are not allowed to claim indirect costs on in-kind contributions.
- d. Given the nature of large equipment purchase transactions, an Applicant Institution may choose to order necessary and substantial equipment before an award is made at its own risk and with the full understanding that it may not receive an award. Large equipment orders that are made after the proposal deadline but before an award is announced may be eligible for Matching Funds consideration. However, in such circumstances only payments made after an award is announced may be eligible to count as Matching Funds. Any equipment purchase submitted for such Matching Funds consideration is not eligible for ESD cost sharing arrangements as part of the award. These determinations will be made on a case-by-case basis.

G. Reporting and Monitoring Requirements

- a. Award recipients must submit semi-annual progress and financial reports to ESD using specific reporting guidelines and forms.
- b. Award recipients must maintain an accounting system in conformance with generally accepted accounting principles (GAAP) that permits identification of all expenditures and revenues.
- c. Contract payments are contingent on ESD’s receipt, review and approval of required reports.
- d. Failure to fulfill RFP and contract requirements or failure to submit timely reports may result, at ESD’s discretion, in contractor having to repay funds previously provided by ESD.

- e. ESD may conduct site visits as necessary throughout the contract period to provide technical assistance, monitor contract compliance, evaluate work plan progress, and assess fiscal accountability.

H. Sample Contract

A sample contract can be found at the [Grants Reform Webpage](http://www.grantsreform.ny.gov/) (<http://www.grantsreform.ny.gov/>). Terms and conditions of an executed contract may vary.

II. Submission Information

A. Timetable

The following deadlines **must** be met for a proposal to be considered for funding. **Any proposal received after the deadline will be rejected without review.**

TIMETABLE	
Milestone	Date
RFP released	October 19, 2018
Written questions on proposals accepted through	November 5, 2018, 5:00 p.m.
Proposals received by ESD	November 28, 2018, 2:00 p.m.
(For Faculty Development ONLY) Recruitment candidates cannot accept employment offer before	November 28, 2018
(For Faculty Development ONLY) Recruitment candidates cannot commence employment before	January 1, 2019
Initial contract year expected to begin on or after	January 1, 2019
Initial contract year expected to begin no later than	July 1, 2019

B. Questions Regarding the RFP

All questions must be submitted in writing via email to rfpfaq@esd.ny.gov with “**Faculty Development & Technology Transfer Program**” in the subject line. **Please do not contact ESD by telephone. Questions must be received by ESD no later than November 5, 2018, 5:00 p.m.** All inquiries must cite the particular RFP section in question. All questions and answers will be uploaded in the Grants Gateway for all applicants to view.

C. Submission Instructions

Grant applications must be electronically submitted in the NYS Grants Gateway no later than **2:00 p.m. U.S. Eastern Standard Time, on November 28, 2018**. The Grants Gateway will not allow an application to be submitted after the 2:00 p.m. deadline. Applicants will be unable to make changes to a submitted application after the deadline has passed. Applicants are encouraged to finish the online application at least one week prior to the deadline, allowing time to double check that all mandatory documents have been completed and to address any technical errors. Additionally, once the application is complete, applicants are **strongly encouraged** to submit their application at least **48 hours prior to the deadline**. This will allow sufficient opportunity for the applicant to obtain assistance and take corrective action should there be a technical issue with the submission process. Both ESD and Grants Reform staff are available to answer applicant's technical questions and provide technical assistance prior to the application due date and time. Paper applications are no longer accepted by ESD.

NOTE: Although ESD and the Grants Reform staff will do their best to address concerns that are identified less than 48 hours prior to the due date and time, there is no guarantee that they will be resolved in time for the application to be submitted and considered for funding.

To apply for this opportunity:

1. Log into the Grants Gateway as either a "Grantee" or "Grantee Contract Signatory."
2. Click on the "View Opportunities" button under "View Available Opportunities."
3. In the Search Criteria, enter the Grant Opportunity name "Centers for Advanced Technology" and select the Department of Economic Development as the funding agency.
4. Click on "Search" button to initiate the search.
5. Click on the name of the grant opportunity from the search results grid and then select the "APPLY FOR GRANT OPPORTUNITY" button located bottom left of the main page of the grant opportunity.

The Grants Gateway will always notify applicants of successful submission. If a prospective grantee does not receive a successful submission message assigning their application a unique ID number, it has not successfully submitted an application. During the application process, please pay particular attention to the following:

- Not-for-profit applicants must be prequalified by the due date for this application submission. Be sure to maintain prequalification status between funding opportunities. Three of a not-for-profit's essential financial documents—the IRS990, Financial Statement, and Charities Bureau filing—expire on an annual basis. If these documents are allowed to expire, the not-for-profit's prequalification status expires as well, and it will not be eligible for State grant funding until its documentation is updated and approved, and prequalified status is reinstated.
- Only individuals with the roles "Grantee Contract Signatory" or "Grantee System

Administrator” can submit an application.

- Prior to submission, the system will automatically initiate a global error checking process to protect against incomplete applications. Be sure to allow time after pressing the submit button to clean up any global errors that may arise. You can also run the global error check at any time in the application process. (See p.66 of the Grantee User Guide.)
- Grantees should use numbers, letters and underscores when naming their uploaded files. There cannot be any special characters in the uploaded file name. Also be aware of the restriction on file size (10 MB) when uploading documents.

The following table provides a snapshot of which roles are allowed to initiate, complete and submit the grant application(s) in the Grants Gateway.

Role	Create and Maintain User Roles	Initiate Application	Complete Application	Submit Application	Only View the Application
Delegated Admin	X				
Grantee		X	X		
Grantee Contract Signatory		X	X	X	
Grantee Payment Signatory		X	X		
Grantee System Administrator		X	X	X	
Grantee View Only					X

D. Proprietary Information

Some information contained in a proposal may be considered sensitive and the applicant may wish it not to be disclosed if possible. If this is the case, the applicant must clearly identify such information and request that it be protected.

ESD will take efforts to safeguard proprietary, confidential and sensitive information as allowed under the law, including the Freedom of Information Law (FOIL) (see Article 6 of the Public Officer’s Law). However, all information will be made available to those who are conducting the review of the proposals.

To request an exception to FOIL, an applicant must submit a letter included as **Appendix 4 (for Faculty Development applications); or Appendix 5 (for Technology Transfer applications)** to the proposal specifically identifying the sensitive information and reasons it should be protected. The applicant must identify the information with a CONFIDENTIAL,

PROPRIETARY or SENSITIVE stamp in the margin of each paragraph containing proprietary information and check the appropriate box on the cover page. An entire proposal cannot be excepted; only the paragraphs that contain confidential proprietary information can be excepted.

III. Proposal Components

Sections must follow the page limits specified below. **Proposals exceeding these lengths and/or not complying with formatting requirements may be rejected without review or consideration for funding. Applicants must ensure that proposals have been thoroughly reviewed for clarity and professional presentation.**

In addition to General Proposal Components (A through D), proposals must also satisfy the program-specific Proposal Component (E) for the program to which the Applicant Institution is applying.

A. Proposal Cover Page, Checklist, and Certification

Complete the Proposal Cover Page, Checklist, and Certification.

B. Table of Contents

Include a table of contents delineating major headings, sub-headings, and required appendices.

C. Glossary of Terms Used

Include an alphabetized glossary of acronyms and technical terms used in the proposal and a brief definition of each.

D. Executive Summary (limited to 1 Page)

Include an Executive Summary that sets forth a self-contained description of the activities and benefits that would result if the proposal were funded. **The Executive Summary must not contain any proprietary information and must be suitable for publication.**

E. Faculty Development Proposal Narrative (limited to 12 pages EXCLUDING required forms and appendices)

The narrative portion of the proposal must address the specific review criteria as elaborated on below. All visual materials (such as charts, graphs, maps, photographs, and other pictorial presentations), footnotes, and endnotes must be included within the narrative. The proposal narrative is to follow the outline presented below.

1. Candidate Expertise (25 Points)

Discuss the faculty Candidate's experience, expertise, and reputation in the targeted area of research. Provide an overview of the Candidate's current and proposed research, as well as an explanation of the validity and feasibility of the research and how it will contribute to scientific knowledge and technology transfer to industry in New York State. Include a description of the proposed research; identifying potential obstacles and how these potential obstacles will be addressed to successfully complete the research. Discuss each individual working on the Candidate's Research Team, including each individual's title (Undergraduate Student, Graduate Student, Postdoctoral Student, or Other Professional Staff), duties, and activities. Identify the appropriate interdisciplinary collaborators, if any, with whom the Candidate will need to interact to complete the research described in the proposal.

2. Applicant Institution's Plan for Research (20 Points)

Discuss how the Applicant Institution's current research priorities relate to those of the faculty Candidate's proposed research and the extent to which the Candidate will enhance the research capabilities and reputation of the Applicant Institution (e.g., improving and/or enhancing the Applicant Institution's existing research programs, creating new research programs, and/or increasing the Applicant Institution's ability to attract external funding and other leading researchers). Describe the role of the Candidate and his or her proposed research in the Applicant Institution's overall strategic plan to establish and maintain leading research in the proposed area of research that will result in economic impact in New York State. Discuss the Applicant Institution's commitment to building a critical mass of expertise in the Candidate's area of research in order to establish or expand leading research in that area, including ongoing support for the Candidate and his or her Research Team beyond the time frame of the requested Faculty Development Program grant.

In a **Recruitment Proposal**, describe the Applicant Institution's commitment to the Candidate including the level of internal funds dedicated to the Candidate and his or her research, including funding *beyond* this grant period; accessibility to other researchers; and the scope, quality, and availability of facilities, equipment, and support services that will be made available to the Candidate.

In a **Retention Proposal**, describe the Applicant Institution's commitment to the Candidate including quantifiable past and current levels of support. Review of Retention Proposals will

consider the level of funds the Candidate has received in the past as well as proposal funds and funding *beyond* this grant period; past and anticipated accessibility to other researchers; and the scope, quality, and availability of facilities, equipment, and support services.

Letters of Attestation

The Applicant Institution must submit the appropriate Letter of Attestation (in Appendix B to the RFP) for a Recruitment or Retention Proposal. The letter must be signed by the Authorized Organizational Representative identified on the proposal cover page, unless the institution of higher education's president signs the appropriate letter in accordance with policies and/or practices of the institution, and submitted as **Appendix 2** to the proposal. The Letter of Attestation is designed to demonstrate that the Applicant Institution and the Candidate for a **Recruitment** Proposal have both shown interest in the relocation of the Candidate to the Applicant Institution or the Applicant Institution and the Candidate for a **Retention** Proposal demonstrate an interest to have the Candidate, who is being recruited by an out-of-state institution, remain employed by the Applicant Institution. Submission of a Letter of Attestation does not require that a written offer of employment has been or will be made to the Candidate by the proposal submission deadline.

An Applicant Institution is not legally bound to implement the proposal for the Candidate without receipt of a Faculty Development Program award and an executed agreement between ESD and the Applicant Institution.

3. Commercial Potential of the Technology Field and Commercialization of the Research (13 Points)

Describe the Commercial Potential of the Candidate's area of research, as demonstrated by documented data from independent research and/or industry experts (examples of documented data include, but are not limited to, citations from industry and/or government reports, scientific and/or professional journals, or conferences). Discuss the potential of the proposed research to create and/or expand business in New York State based upon a current assessment of the Candidate's proposed research. Discuss the extent to which the Candidate's research will enhance the commercialization capabilities of the Applicant Institution. **Specifically** describe how the Candidate's proposed research will enhance and/or expand the Applicant Institution's technology transfer and commercialization efforts. Describe the degree to which companies have worked with, and found value in, the Candidate's research and discoveries, including the identification of specific companies with which the Candidate has conducted research, entered into licensing agreements, etc. during the past ten years, and, which companies, if any, are located within New York State.

Describe the **specific** steps to be undertaken by the Applicant Institution to work with the Candidate to commercialize the results of the research described in the proposal. Retention Proposals must include information concerning specific past actions and/or endeavors to Commercialize the Candidate's research. Within this description, identify the individuals at the Applicant Institution who will work with the Candidate and what they will do, specific

potential licensing partners that will be pursued for commercializing technology developed by the Candidate, and/or the potential for creating start-up companies.

4. Entrepreneurial Experience of Applicant Institution (12 Points)

Describe both the Applicant Institution's and the Candidate's entrepreneurial endeavors, demonstrated by the history of entrepreneurial success as measured by the number of licensing agreements entered into, small business innovation research (SBIR) or small business technology transfer (STTR) grants or similar funding received; businesses created; and other transfer technology activities with the same technological focus as the Candidate's field of research.

5. Entrepreneurial Experience of the Candidate (20 points)

Describe industry support the Candidate has received for targeted research leading directly to the transfer of technology to the marketplace (provide specific examples including a brief discussion of the work performed, funds received, and outcome of the work). Describe and discuss any companies that the Candidate has created and/or been involved with that generated economic impact through successful technology transfer and/or commercialization. Provide specific examples including the technology focus of the Company, the product offerings of the Company, the work performed, impact of the research upon existing product lines and/or the creation of new products.

6. Use of Funds (10 Points)

Provide a justification for the requested funding. Describe how both the requested funds from this program and the demonstrated Matching Funds will support the Candidate's research, including what will happen to the proposed research if this award is not granted. Identify and discuss the future funding needs of the Candidate and specify how future funding needs will be met. Describe the workspace and equipment that will be made available to the Candidate for conducting his or her proposed research.

Equipment and personnel to be acquired with ESD funds must be described in sufficient detail, including specific correlation between each piece of equipment or each staff member and the research benefiting from the equipment or staff member, to allow a comparison of capabilities against the needs of the proposed research. Identify comparable equipment already at the Applicant Institution and explain why additional equipment is needed.

The budget will be evaluated as it pertains to each section of the proposal for assessing the requested funding.

F. Technology Transfer Incentive Proposal Narrative (limited to 12 pages excluding required forms and appendices)

These grants are intended to develop advanced working prototypes, conduct customer and market trials, and refine business plans over a period of up to 18 months. The narrative portion of the proposal must address the specific Review Criteria presented in this RFP and elaborated on below. All visual materials (such as charts, graphs, maps, photographs, and other pictorial presentations), footnotes, and endnotes must be included within the proposal narrative. The proposal narrative is to follow the outline presented below.

1. Commercialization and Economic Impact Potential (70 points)

- Explain the novel or potentially disruptive technology and highlight any broad fundamental implications.
- Summarize the proof of concept.
- Explain the path to success – for example, creating an advanced working prototype, improving code, customer outreach, market trials, etc.
- Highlight the plan for spinning out the technology within 18 months after receiving this award.
- Detail the market need or potential impact of this technology.
- Explain the business model.
- Demonstrate how this award will help the technology move towards commercialization.

2. Staff Expertise and Physical Resources (20 points)

Include an organizational chart identifying roles and responsibilities of Applicant Institution and Company Partner personnel as **Appendix 1** to the proposal. Do not include personal information in the proposal.

For the Company Partner: Where applicable, identify the management team and include a resume of each member involved as **Appendix 2** to the proposal.

For the Applicant Institution: Briefly describe key equipment and facilities that will be available for the project and unmet needs that must be addressed. Discuss the Applicant Institution's experience during the past five years in transferring similar technologies to industry. Identify individuals at the Applicant Institution with significant responsibility to accomplish the project and briefly describe his or her expertise. Include a resume or brief biographical sketch providing relevant information for the principal investigator **only** as **Appendix 3** to the proposal. **Do not submit** curriculum vitae, resumes, or biographical sketches for any other Applicant Institution personnel.

Identify any potential conflicts of interest that Applicant Institution staff may have with the Company Partner, including financial interests of immediate family members. Any potential conflicts of interest must not violate the Applicant Institution's conflict of interest policy.

A Principal Investigator may hold ownership or a management position with the Company Partner provided the Principal Investigator may not serve as the authorized organizational or Company representative. The interests and authority of each entity must be independently represented and all faculty-Company relationships, including conflicts of interest or potential conflicts of interest, must be disclosed. ESD funds cannot be used for compensating faculty, students and/or administrative staff who have a vested and/or financial interest in the Company Partner(s).

3. Use of Funds (10 points)

Provide a justification for the requested funding. Describe how both the requested ESD funds and matching funds will support the project, including plans if this award is not granted. Identify and discuss future funding needs for the project and specify how needs will be met. Describe facilities and equipment that will be available for use on the project.

Equipment and personnel to be paid with ESD funds must be described in sufficient detail, including specific correlation with project activities, to allow a comparison of capabilities against needs. Identify comparable equipment already at the Applicant Institution and explain why additional equipment is needed.

Ensure that the Proposal Narrative regarding use of funds is consistent with the budget forms included in **Appendix 4** to the proposal.

The budget will be evaluated as it pertains to each section of the proposal for assessing the requested funding and use of funds.

G. Budget Forms

Applicant Institutions must use the forms provided in Appendix B to the RFP for the respective opportunity being applied for; either Faculty Development or Technology Transfer Incentive.

H. Appendices to the Proposal

The organization of Appendices to the proposal must satisfy the program-specific requirements for which the Applicant Institution is submitting.

Faculty Development Program Proposal Appendices

Ensure that the following forms and appendices are complete and accurate and are included with the proposal being submitted. Anyone unable to download or use any of the forms in Appendix B must contact ESD via email to: rpfpaq@esd.ny.gov for instructions.

Appendix 1

- **Candidate's Curriculum Vita (CV):** Submit the Candidate's standard CV, which must contain a complete history of his or her education; employment history; publications and presentations; research funding and awards received, including amounts and time period of awards; patents applied for and received, and a list of relevant editorial positions held, including the time positions were held. CVs are not to be submitted using the Biographical Sketch form.
- **Biographical Sketches:** Provide biographical sketches for each member of the Candidate's Research Team and each individual identified in the proposal using the Biographical Sketch form included in Appendix B to this RFP.

Appendix 2

- **Letter of Attestation:** Provide the appropriate Letter of Attestation (Recruitment or Retention) for the proposal being submitted.

Appendix 3

- **Budget Forms**

Appendix 4

- **Proprietary Information**, if applicable: Letter requesting FOIL exception for proprietary information with a description of the proprietary information and reason for the request. If no proprietary information is included in the proposal, this appendix does not need to be included with the proposal. Note: In addition to the letter, ensure that the correct Proprietary Information box on the Cover Page has been checked.

No sections, appendices, and/or supporting information to the proposal beyond that required by ESD in the instructions will be accepted or reviewed.

Technology Transfer Incentive Program Proposal Appendices

Include the following appendices:

- Appendix 1 – Organizational Chart (required)
- Appendix 2 – Company Partner Management Team Resumes (required)
- Appendix 3 – Principal Investigator's Resume or Brief Biographical Sketch (required)
- Appendix 4 – Budget Forms (required)
- Appendix 5 – Proprietary Information Exception Request (if applicable)

No sections, appendices, and/or supporting information to the proposal beyond that required by ESD in the instructions will be accepted or reviewed.

IV. Review Criteria and Process

For the review of eligible proposals, ESD has established the following criteria to be applied in accordance with the review process set forth in Section IV.A for Faculty Development proposals

and Section IV.B for Technology Transfer Incentive proposals. In addition to addressing the review criteria stated below, refer to the respective proposal instructions in Section III of this RFP for specific items that must also be addressed.

A. Review Criteria – Faculty Development Program

1. Candidate’s Expertise (25 Points)

- a. The Candidate’s experience, expertise and reputation in the targeted area of research. (12 Points)
- b. The Candidate’s current and proposed research. (8 Points)
- c. The Candidate’s research team and interdisciplinary collaborators. (5 Points)

2. Applicant Institution’s Plan for Research (20 Points)

- a. The Applicant Institution’s alignment and synergy with Candidate’s proposed research. (10 Points)
- b. Role of the Candidate; and their proposed research, in Applicant Institution’s overall strategic plan. (6 Points)
- c. The Applicant Institution’s commitment; including ongoing support, beyond the grant. (4 Points)

3. Commercial Potential of the Technology Field & Commercialization of Research (13 Points)

- a. Commercial potential of Candidate’s area of research; including the potential to create and/or expand business in New York State. (7 Points)
- b. Degree to which companies have worked with; and found value in working with, the faculty Candidate. (3 Points)
- c. Applicant Institution efforts to commercialize results of Candidate’s research. (3 Points)

4. Entrepreneurial Experience of the Applicant Institution (12 Points)

- a. Degree of Applicant Institution’s entrepreneurial success. (7 Points)
- b. Degree of Applicant Institution’s technology transfer activity within the technological focus of Candidate’s field of research. (5 Points)

5. Entrepreneurial Experience of the Candidate (20 Points)

- a. Degree of past industrial support to Candidate. (12 Points)
- b. Degree of Candidate’s performance creating/launching companies. (8 Points)

6. Use of Funds (10 Points)

- a. Quality of Applicant Institution’s justification/rationale for the funding. (8 Points)

- b. Quality of Applicant Institution's Matching Fund expenditure plan. (2 Points)

B. Review Criteria – Technology Transfer Incentive Program

1. Commercialization and Economic Impact Potential (70 Points)
 - a. Novel or potentially disruptive technology with broad fundamental implications. Cross – disciplinary application is especially desirable. (14 points)
 - b. Strong proof of concept. (14 points)
 - c. Clear path to success – for example creating an advanced working prototype, improving code, customer outreach, market trials, etc. (14 points)
 - d. Technology likely to be spun-out within 18 months. (7 points)
 - e. Strong market need or potential impact. (7 points)
 - f. Solid business model. (7 points)
 - g. Strong likelihood of technological success. (7 points)
2. Staff Expertise and Physical Resources (20 Points)
 - a. Degree of capability by Company Partner team to effectuate technology transfer. (10 Points)
 - b. Degree of Applicant Institution's performance commercializing similar technologies through companies. (10 Points)
3. Use of Funds (10 Points)
 - a. Proposed budget is realistic and in the context of the project scope (5 points)
 - b. Award will help the technology move towards commercialization (5 points)

C. Review Process

Reviewers will include individuals selected from the faculty development and technology transfer advisory council. The reviewers will adhere to the process described in this section and will apply the review criteria detailed above. ESD may limit the number of proposals a reviewer is required to evaluate.

Scoring: Reviewers will independently evaluate and assign a preliminary score to proposals that have been accepted by ESD. The *preliminary scores* for a proposal will be combined to provide an *initial average score* for that proposal.

After the initial average scores are provided to the group, reviewers will convene as a group to review the preliminary scores and discuss the proposals in accordance with the review criteria. At the conclusion of the discussions, each reviewer will individually provide *final scores* for each proposal based upon the panel's discussions.

ESD reserves the right to reject any and all proposals. ESD may recall this RFP at any time prior to award announcement and may also reject proposals for deficiencies; waive technicalities,

irregularities, and omissions; or solicit new proposals. ESD reserves the right to act in accordance with the best interests of the people of New York in its interpretation of this RFP.

Applicants and/or their surrogates are prohibited from contacting any ESD staff; or members of the faculty development and technology transfer advisory council, to advocate on behalf of a proposal submitted in response to this RFP. Violation of this restriction will disqualify an Applicant's proposal from the competition.

D. Protests and Appeals

- **Protests**

Any interested party may file a protest with the director of ESD's Division of Science, Technology & Innovation (NYSTARSupport@esd.ny.gov) within fifteen business days from the date of the notice of the contract award, except:

- where a protest concerns the terms and conditions of the solicitation (or other matters that would be apparent to an interested party prior to the date set in the solicitation for the receipt of bids), in which case that protest must be filed on or before the date set in the solicitation for the receipt of bids or proposals; or
 - where ESD determines that sufficient circumstances exist and has set forth a different time period for filing protests.
- a) The director of ESD's Division of Science, Technology & Innovation shall refer any protest either to an individual employee or group of employees of ESD. No such employee will have been actively involved in the procurement process being protested. ESD will provide a copy of any protest filed to the successful bidder.
 - b) ESD may summarily deny a protest that fails to contain specific factual or legal allegations, or where the protest raises only issues of law that have already been decided.
 - c) ESD shall issue a determination within ten (10) business days of the filing of the protest. The answer to the protest should address all the factual and legal allegations contained in the protest. A copy of the answer shall be simultaneously delivered to the protester and the successful bidder.
 - d) During the time period in which a protest may be filed, or during the resolution of a pending protest, ESD may negotiate terms and conditions of the contract or grant award with the successful bidder. However, a contract or grant award will not be approved by the ESD prior to the expiration of the time period for filing a protest, or, if a protest has been filed, before the ESD issues a determination of the protest.
 - e) The person or persons designated by ESD to consider the protest shall prepare a written recommendation addressing all of the issues that have been raised by the protest.
 - f) ESD may accept, modify or reject such recommendation.
 - g) In making his or her determination with regard to the protest, the ESD designee may, in his or her sole discretion, consider any additional information from any source relating to the

allegations set forth in the protest.

- h) All parties that have participated in the protest, as well as the original successful bidder, shall be provided with a copy of the final determination of ESD. The determination shall be made part of the procurement or grant award record.

- **Appeals**

All parties receiving a copy of the ESD final determination will also receive a copy of the current [“Contract Award Protest Procedure For Contract Awards Subject To The Comptroller’s Approval.”](#) This document explains the time periods and procedure for filing a protest with the Office of the State Comptroller.

An interested party has ten (10) business days from the date it receives ESD’s determination to file an appeal with the Bureau of Contracts in the Office of the State Comptroller.

V. Appendices to the RFP

RFP Appendix A - Glossary of Terms used in this RFP.

RFP Appendix B – Required Forms

APPENDIX A Glossary of Terms Used Throughout the RFP

The following definitions apply to the terms used in this RFP. Terms defined herein are capitalized throughout the text of the RFP. Terms used within a definition that are also defined in this Appendix are noted in italics.

Administrative Contact: The person at the *Applicant Institution* who has been designated to interact with ESD on administrative issues regarding the *Proposal* and who will interact with ESD in executing a contract if the *Applicant Institution* receives an award.

Anticipated Matching Funds: The *Matching Funds* demonstrated by an *Applicant Institution* in a *Proposal* that are not *Committed Matching Funds* but that the *Applicant Institution* has a high degree of confidence will be available to support the *Candidate* and his or her research.

Applicant Institution: The New York State institution of higher education, including community colleges, requesting funding under this RFP.

Authorized Organizational Representative: A representative authorized by the President or Chief Executive Officer of the *Applicant Institution* with authority to enter legal agreements on behalf of, and commit resources of, the *Applicant Institution*.

Authorized COMPANY Representative or ACR: An individual authorized by the President or Chief Executive Officer of THE COMPANY PARTNER to enter legal agreements on behalf of, and commit resources of, the Company Partner.

Award Recipient: An *Applicant Institution* that is awarded an ESD Program grant.

Candidate: An experienced researcher who satisfies the eligibility criteria in Section I.B. of this RFP.

Commercial Potential: The potential of the project to enhance the formation, attraction, and retention of high-technology industries and businesses.

Commercialize, -izing, -ization: All activities leading to the transfer of technology from the lab to the marketplace, including prototype development, applying for/receiving patents; entering into licensing agreements; applying for/receiving Small Business Innovation Research (SBIR) grants, Small Business Technology Transfer (STTR) grants, or similar funding; and/or creating start-up companies.

Committed Matching Funds: *Matching Funds* that are immediately available to support the project upon execution of a contract or guaranteed to be available during the contract term.

Company Partner: can be a startup New York Company that is financed by out of state businesses provided the Company Partner is a for-profit enterprise with a permanent place of business located in New York State employing a full-time workforce and the money is provided

from the New York business and the business in New York will demonstrably benefit from the combined efforts.

Employment Solicitation: Written correspondence expressing a desire to employ a *Candidate*. An Employment Solicitation is **not** a written employment offer.

Entrepreneurial Endeavors: Activities the *Candidate* and *Applicant Institution* will engage in that will directly lead to the development of new businesses, products and processes, and jobs in New York State.

Graduate Fellowship: Tuition fees and/or salary paid in whole or part with *Matching Funds* or requested ESD funding for a *Graduate Student*.

Graduate Student: A part- or full-time student who holds at least a bachelor's degree, is enrolled in a degree program leading to an advanced degree, and is working on the project in a research capacity.

In-Kind Support: Non-cash funding in the form of equipment, materials, and/or supplies provided during the term of the contract.

Indirect Costs: Personnel costs (salaries and fringe benefits) incurred for common or joint objectives that, therefore, cannot be identified specifically with a particular project.

Institution of Higher Education: An educational institution in New York State that offers post-secondary education and awards associates, bachelors, masters, and/or doctoral degrees and may also offer post-doctoral education.

Institutional Research Contact: The person at the *Applicant Institution*, such as the Provost, Dean, or Department Chair, who is in charge of the department where the research described in the *Proposal*, will be conducted if the *Applicant Institution* receives an award.

Matching Funds: A non-reimbursable component of a project's total cost that is reflective of the *Applicant Institution's* commitment to the *Candidate*. Refer to Section I.E. of this RFP for specific Matching Funds requirements.

New York Company: A for-profit enterprise with a permanent place of business located in New York State employing a full-time workforce.

Other Professional Staff: A person who may or may not hold a doctoral degree or its equivalent, who is considered a professional but is not the *Candidate*, faculty associate, or *Postdoctoral Student*. Examples of persons included in this category are other faculty members, professional technicians, physicians, veterinarians, system experts, computer programmers, and design engineers.

Postdoctoral Associate/Fellow/Student: An individual who has held a doctoral degree for no longer than five years and who is working at the *Applicant Institution* but is not a member of its faculty.

Proposal: A response to this Request for Proposals submitted by an *Applicant Institution*.

Recruitment Proposal: A response to this RFP for a *Candidate* being recruited for a full-time position at the *Applicant Institution*.

Research Team: *Undergraduate Students, Graduate Students, Postdoctoral Students, and/or Other Professional Staff* working directly for or with the *Candidate*.

Retention Proposal: A response to this RFP for a *Candidate* currently employed at the *Applicant Institution* who is being recruited by an institution outside New York State.

Undergraduate Student: A part- or full-time student who is enrolled in a degree program leading to a bachelor's or associate's degree.

APPENDIX B

PROPOSAL FORMS (Faculty Development Program Applications)

- **Proposal Cover Sheet, Checklist, and Certification**
 - **Biographical Sketch**
 - **Letter of Attestation—Recruitment**
 - **Letter of Attestation—Retention**
 - **Budget Forms**
 - ◆ **Budget Form One—Use of Funds: Total Amount of ESD Funding Requested and Matching Funds Demonstrated**
 - ◆ **Budget Form Two— Use of Funds: Year One Amount of ESD Funding Requested and Matching Funds Committed***
 - ◆ **Budget Form Three—Equipment**
 - ◆ **Budget Form Four—Contributions of Matching Funds for the Overall Budget**
 - ◆ **Budget Form Five—Contributions of Matching Funds for Year One***
- *For multi-year Proposals only

Notes:

- Use the templates that follow for each of these items. Do not change any text or formatting set on these templates.
- Section references refer to the specific sections in the Faculty Development & Technology Transfer Incentive Programs 2018 Request for Proposals (RFP Number 18-6135).

PROPOSAL FORMS (Technology Transfer Applications)

- **Proposal Cover Forms**
 - ◆ **Proposal Cover Page**
 - ◆ **Company Partner Information Page**
 - ◆ **Checklist**
 - ◆ **Proposal Certification**
- **Budget**
 - ◆ **Budget Form One—Projected Budget**
 - ◆ **Budget Form Two—Matching Funds Sources**

Notes:

- Use the templates that follow for each of the respective items. Do not change any of the formatting of text on the template.
- Section references refer to the specific sections in the Faculty Development & Technology Transfer Incentive Programs 2018 Request for Proposals (RFP Number 18-6135).

2018 Faculty Development – Technology Transfer Incentive Program
Faculty Development Proposal Cover Page

Candidate's Name:	<input type="checkbox"/> Recruit <input type="checkbox"/> Retain
Technology Focus:	<input type="checkbox"/> Biotechnology <input type="checkbox"/> Energy / Environmental <input type="checkbox"/> Nanotechnology <input type="checkbox"/> Computational Sciences <input type="checkbox"/> Material Sciences
Project Title: Brief, descriptive title in layman's terms.	
Applicant Institution:	
Administrative Contact for Proposal: (Cannot be Candidate)	Name: Title: Street: City: State: Zip: Phone: E-mail:
Authorized Organizational Representative:	Name: Title: Phone: E-mail:
Institutional Research Representative:	Name: Title: Phone: E-mail:
Total Requested NYSTAR Funding:	\$
Total Committed and Anticipated Matching Funds Demonstrated for Entire Proposal:	\$
Requested Period of Funding:	
Proprietary Information: Indicate whether the Proposal contains any proprietary information.	<input type="checkbox"/> No , this Proposal contains no proprietary information. <input type="checkbox"/> Yes , this Proposal contains proprietary information that is identified in accordance with Section II.D. of the RFP.

2018 Faculty Development – Technology Transfer Incentive Program
Proposal Checklist

Each of the following items is required. Failure to include any of these items in accordance with the RFP may result in the Applicant Institution's Proposal being rejected without review. A check indicates that the Authorized Organizational Representative has reviewed the Proposal and determined that the required item is included in both original Proposals and each copy. **Each of these required boxes must be checked.**

- The Proposal is in compliance with the Matching Funds requirements of the RFP; and, the requested Matching Funds amounts increase per the schedule; and, the amount of requested NYSTAR funds decrease when funding period is more than one year.
- 100 percent of Matching Funds for year one is **Committed**.
- Faculty Development – Technology Transfer Incentive Program (Faculty Development) funds have been budgeted only for the allowable activities to be supported with NYSTAR funds identified in the RFP.
- Up to \$100,000 of NYSTAR funds have been requested for a period of no more than five years. The Applicant Institution understands that funds awarded may differ from the requested amount.
- The individual identified on the Proposal Cover Page as the Authorized Organizational Representative has reviewed the Proposal and this Checklist and signed the Certification that follows this Checklist.
- A Table of Contents prepared in accordance with the RFP is included.
- An alphabetized Glossary of Terms Used (as described in the RFP) including a brief definition of each item follows the Table of Contents.
- A non-proprietary, **one-page** Executive Summary in layman's terms is included. The Executive Summary has been prepared in accordance with the RFP and is suitable for publication.
- A narrative section not exceeding 12 pages is included. The narrative addresses all the required items prescribed in the RFP. All visual materials (charts, graphs, maps, photographs, and other pictorial presentations), footnotes, and endnotes are included in the 12-page limit; required forms and appendices are not counted in the 12 pages.
- The Candidate's Curriculum Vita containing the required information delineated in the RFP is included in **Appendix 1** to the Proposal.
- A brief biographical sketch of each member of the Candidate's Research Team has been completed using the Biographical Sketch form and is included in **Appendix 1** to the Proposal.
- The appropriate Letter of Attestation has been completed and signed by the designated Authorized Organizational Representative and is included as **Appendix 2** to the Proposal.
- Appropriate, complete, and mathematically accurate Budget Forms are included as **Appendix 3** to the Proposal.

- If applicable, all proprietary information contained in the Proposal has been identified and a letter requesting FOIL exception, prepared in accordance with the RFP, is included as **Appendix 4** to the Proposal.
- No other sections, appendices, and/or supporting documentation have been included with the Proposal.

Certification:

I certify that each required section and template described above is included in the Proposal submitted. I understand that failure to include any required item or failure to follow the required format or use the templates provided may result in this Proposal being rejected without review. I certify that the Applicant Institution has monitored the Faculty Development Program Frequently Asked Questions page of the ESD/NYSTAR Web site and this Proposal is in compliance with any pertinent information posted there. I certify that no funds from other New York State government sources are used as Matching Funds in this Proposal and that no funds used as Matching Funds in other New York State government programs are used as Matching Funds in this Proposal.

I certify that the information provided in this Proposal is accurate and no misrepresentations have been made in any part of this submission. I also certify that any internal policies of the Applicant Institution including, but not limited to, those related to conflict of interest, collaboration with industry, collaboration with not-for-profit organizations, confidentiality, and intellectual property matters are consistent with the goals of the Faculty Development Program as outlined in the RFP and will not impede the Applicant Institution's ability to achieve the objectives described in this Proposal. Copies of the Applicant Institution's policies and procedures will be maintained on site and available for inspection by NYSTAR or its designee upon request. Finally, I certify that the Applicant Institution has the ability to meet and, if an award is granted, intends to meet the commitments described in the Proposal.

Signature of Authorized Organizational Representative

Date

Candidate: _____

Applicant Institution: _____

Project Title: _____

Candidate's Field of Research: _____

Biographical Sketch

Provide the following information for each member of the candidate's research team.
 This form may not exceed **two pages**.

NAME

Education/Training. Beginning with most recent, include baccalaureate or other initial professional education through postdoctoral training.

INSTITUTION AND LOCATION	DEGREE	YEAR	FIELD OF STUDY

Employment History. List positions in chronological order, beginning with present position.

INSITUTION AND LOCATION	TITLE	DATES

Patents. List any patents received or applied for, including patent number and date received (if applicable).

PATENT TITLE/DESCRIPTION	PATENT NUMBER	DATE RECEIVED

Selected Peer-Reviewed Publications. List any recent relevant publications.

Honors and Awards. List honors or awards received in chronological order, beginning with the most recent.

Professional Activities and Organizations.

Letter of Attestation — Recruitment
(Appendix 2 to Proposal)

date

Empire State Development
Division of Science, Technology & Innovation
625 Broadway; 8th Floor
Albany, NY 12207

Attention: Contract Manager

Subject: Letter of Attestation for applicant institution Faculty Development
Candidate, candidate name

Dear Contract Manager:

Regarding our candidate for the 2018 Faculty Development Program competition, I am writing to certify that Dr. candidate name, currently affiliated with institution, a non-New York State institution, has received a date of letter letter from this institution that indicates our desire to have him / her consider a full-time faculty position at applicant institution. I also certify that Dr. candidate name has expressed, in a letter dated date of letter, his / her desire to obtain a full-time position at our institution.

Dr. candidate name is being considered for a full-time Assistant Professor / Associate Professor / Professor / Other Title position at our institution, which will allow him / her to be considered for promotion in the future should the employment offer be accepted and his / her performance be satisfactory. I also certify that Dr. candidate name will not accept his / her official employment offer prior to April 24, 2008, that he / she will not commence employment before July 1, 2008, and that he / she will fulfill the requirements of NYSTAR's Faculty Development Program as delineated in the 2018 Request for Proposals.

Sincerely,

printed name
Authorized Organizational Representative

Letter of Attestation — Retention
(Appendix 2 to Proposal)

date

Empire State Development
Division of Science, Technology & Innovation
625 Broadway; 8th Floor
Albany, NY 12207

Attention: Contract Manager

Subject: Letter of Attestation for applicant institution Faculty Development
Candidate, candidate name

Dear Contract Manager:

Regarding our candidate for the 2018 Faculty Development Program competition, I am writing to certify that Dr. candidate name is a full-time employee in good standing at this institution. I also certify that this institution has written documentation that Dr. candidate name has received a bona fide solicitation of employment from a non-New York State higher education institution within six months of the Proposal submission deadline, and he / she is seriously considering the employment opportunity.

I certify that Dr. candidate name will be considered for promotion in the future and that he / she will fulfill the requirements of NYSTAR's Faculty Development Program as delineated in the 2018 Request for Proposals.

Sincerely,

printed name
Authorized Organizational Representative

Directions for Completing the Faculty Development - Technology Transfer Incentive Program Budget Forms (for Faculty Development Applications)

(type in pale yellow highlighted cells only; pale blue cells will be automatically completed)

For the first year of the budget, 100 percent of required Matching Funds must be COMMITTED. For the overall budget, show both Committed and Anticipated Matching Funds. In addition to demonstrating the yearly increase of Matching Funds as described in Section I.E.1., the Applicant Institution must also demonstrate a yearly reduction in the requested ESD grant amount budgeted as required by statute.

Complete the appropriate budget forms as indicated below and submit them with the Proposal as Appendix 3. Applicant Institutions submitting Proposals for a funding period of ONE YEAR ONLY must complete up to three forms:

Budget Form One* - Use of Funds: Total Amount of ESD Funding Requested and Matching Funds Demonstrated;
Budget Form Three - Equipment (include form only if applicable); and

Budget Form Four - Contributions of Matching Funds For the Overall Budget (all Matching Funds must be COMMITTED).

Applicant Institutions submitting Proposals for a period of MORE THAN ONE YEAR must also complete the remaining two budget forms:

- Budget Form Two - Use of Funds: Year One Amount of ESD Funding Requested and Matching Funds Committed; and
- Budget Form Five - Contributions of Matching Funds for Year One (all Matching Funds must be COMMITTED).

Forms are to be complete and mathematically correct to be accepted and reviewed. Funding requests must cover the entire proposed contract period and directly relate to activities described in the Proposal. Only costs directly related to the proposed research activities will be considered for funding. All matching funds demonstrated in the Proposal will be in the ensuing contract for the award recipient.

Budget Form Three—Equipment (Complete form only if applicable)

1. Enter the amount of Matching Funds Contribution and NYSTAR Requested Funding for each piece of equipment to be purchased. The total of Matching Funds Contribution and NYSTAR Requested Funding must equal the total price of the piece of equipment.
2. The total from Budget Form Three will automatically be entered on the Equipment line under Requested NYSTAR Funding on Budget Form One. Note that any changes on Budget Form Three may also affect Budget Form One.

Budget Form Four—Contributions of Matching Funds for the Overall Budget

1. Candidate Grants Column: Identify all currently active grants including the total grant amount received by the Candidate, whether being used as Matching Funds for this Proposal or not. If the grant is being used as Matching Funds for this Proposal, enter the amount of the grant to be used for Matching Funds in the Matching Funds column.
2. Period Column: Enter period in terms start month and year – end month and year (6/00 – 8/05).
3. Cash or In-Kind: Enter full text of “Cash” or “In-Kind” or choose from drop-down list.
4. Committed or Anticipated: Matching Funds for the overall budget may be either Committed or Anticipated. Enter full text of “Committed” or “Anticipated” or choose from drop-down list.
5. Total Funds: The Total of the Matching Funds column must equal the total Matching Funds Contribution (Total Personnel + Indirect Costs + Total Non-Personnel Costs) from Budget Form One. If the totals are not equal, Budget Form One will indicate Error in the Validation line. Note that any changes on Budget Form Four may also affect Budget Form One.

Budget Form Five—Contributions of Matching Funds for Year One

Follow the directions for Budget Form Four, with the following exceptions:

1. There is no Candidate Grants column, enter only the Matching Funds contributions.
2. In the Committed or Anticipated column, only Committed will be accepted. Enter the full text of "Committed" or select from drop-down list.
3. Total Funds: The Total of the Amount column must equal the total Matching Funds Contribution (Total Personnel + Indirect Costs + Total Non-Personnel Costs) from Budget Form Two. If the totals are not equal, Budget Form Two will indicate Error in the Validation line. Note that any changes on Budget Form Five may also affect Budget Form Two.

Budget Form One
Use of Funds: Total Amount of NYSTAR Funding Requested & Matching Funds Demonstrated
 (Appendix 3 of Proposal)

Candidate:	
Project Title:	
Applicant Institution:	
Requested NYSTAR Funds / Funding Period:	/
Matching Funds:	
Candidate's Field of Research:	

Expenditure Category	Matching Funds Contribution	Requested NYSTAR Funding
Personnel		
	Total Salary for Requested Period	
Salaries (Name & Title)	Academic Year	Summer
[Enter Candidate's Name Here]		
Total Salaries	\$0	\$0
Fringe Benefits		
Total Personnel	\$0	\$0
Indirect Costs (≤15% Direct Personnel)		
Non-Personnel Costs		
Equipment		\$0
Materials & Supplies		
Tuition		
Travel		
Consultant or other contractual		
Other Expenses		
Total Non-Personnel Costs	\$0	\$0
Total	\$0	\$0
Validation	\$0	

Budget Form Two
Use of Funds: Year One Amount of NYSTAR Funding Requested & Matching Funds Committed
 (Appendix 3 of Proposal)

Candidate:	
Project Title:	
Applicant Institution:	
Requested NYSTAR Funds / Funding Period:	\$0 /
Matching Funds:	\$0
Candidate's Field of Research:	

Expenditure Category	Matching Funds Contribution		Requested NYSTAR Funding
Personnel			
	Total Salary for Requested Period		
Salaries (Name & Title)	Academic Year	Summer	
[Enter Candidate's Name Here]			
Total Salaries	\$0	\$0	\$0
Fringe Benefits			
Total Personnel			\$0
Indirect Costs (≤15% Direct Personnel)			
Non-Personnel Costs			
Equipment			
Materials & Supplies			
Tuition			
Travel			
Consultant or other contractual			
Other Expenses			
Total Non-Personnel Costs			\$0
Total			\$0
Validation			\$0

2018 Faculty Development – Technology Transfer Incentive Program

Technology Transfer Incentive Proposal Cover Page

Project Title Brief, descriptive title in layman’s terms.	
Technology Focus	
Total Requested NYSTAR Funding	\$
Requested Funding Period	months
Applicant Institution	
Administrative Contact for the Proposal*	Name: Title: Street: City State: NY Zip: E-mail: Phone: Fax:
Authorized Organizational Representative*	Name: Title: Street: City State: NY Zip: E-mail: Phone: Fax:
Institutional Research Contact*	Name: Title: E-Mail: Phone:
Principal Investigator	Name: Title: E-Mail: Phone:
Company Partner Complete a Company Partner Information page for each Company Partner.	
Proprietary Information Indicate whether the Proposal contains any proprietary information.	<input type="checkbox"/> No , this Proposal contains no proprietary information. <input type="checkbox"/> Yes , this Proposal contains proprietary information that is identified in accordance with requirements prescribed in the RFP.

* Administrative Contact, Authorized Organizational Representative, and Institutional Research Contact must be Applicant Institution employees and cannot be Principal Investigator. Principal Investigator must be Applicant Institution employee.

Company Partner Information Page

Company Partner:

Company Name:

Street:

City: State: Zip:

Phone:

Fax:

Web Address:

Authorized Company Representative:

Name:

Title:

E-mail:

Phone:

Number of Company Employees:

Total number of full-time employees, including parent companies and subsidiaries, as of
Proposal Deadline: _____

This Project has been initiated by the (choose ONLY one):

- Company Partner; OR
 Principal Investigator/University Partner.

The following certification must be made by the Authorized Company Representative.

I have reviewed the components of the certification applicable to the Company Partner and certify that the information presented in this Proposal is accurate and that, if a Technology Transfer Incentive Program award is made, the Company Partner intends to provide the financial and other commitments outlined in the Proposal.

Signature of the Authorized Company Representative

(Signature)

(Date)

Company Partner Information Page

Company Partner:

Company Name:

Street:

City: State: Zip:

Phone:

Fax:

Web Address:

Authorized Company Representative:

Name:

Title:

E-mail:

Phone:

Number of Company Employees:

Total number of full-time employees, including parent companies and subsidiaries, as of
Proposal Deadline: _____

This Project has been initiated by the (choose ONLY one):

- Company Partner; OR
- Principal Investigator/University Partner.

The following certification must be made by the Authorized Company Representative.

I have reviewed the components of the certification applicable to the Company Partner and certify that the information presented in this Proposal is accurate and that, if a Technology Transfer Incentive Program award is made, the Company Partner intends to provide the financial and other commitments outlined in the Proposal.

Signature of the Authorized Company Representative

(Signature)

(Date)

Proposal Checklist

Each of the following items is required unless otherwise noted. Failure to include any of these items in accordance with the guidelines provided in the RFP may result in the Proposal being rejected. A checkmark by each item indicates confirmation by the Authorized Organizational Representative that the appropriate sections of the RFP and Frequently Asked Questions Web Page have been reviewed and that the items in the Proposal are in conformance with the requirements and are included in both original Proposals and all copies.

- The Proposal is in compliance with the Matching Funds requirements prescribed in the RFP.
- NYSTAR Technology Transfer Incentive Program funds have been budgeted only for the allowable uses identified in the RFP.
- No more than \$62,500 of NYSTAR funds have been requested for a period of not more than eighteen months.
- A completed Proposal Cover Page is included.
- The Authorized Organizational Representative identified on the Proposal Cover Page has signed the appropriate Certification following this checklist.
- A completed Company Partner Information Page is included for each Company Partner, and the Authorized Company Representative identified on the Company Partner Information Page has signed the Certification on that page.
- A Table of Contents prepared in accordance with requirements prescribed in the RFP is included.
- An alphabetized "Glossary of Terms Used," with a brief definition of each item, as prescribed in the RFP, is included in the Proposal after the Table of Contents.
- A one-page non-proprietary Executive Summary prepared in layman's terms in accordance with requirements prescribed in the RFP is included.
- A complete Proposal Narrative is included. The Proposal Narrative addresses all review criteria delineated in the RFP. The narrative, excluding the table of contents, glossary, executive summary, required forms, and appendices, **does not exceed 12 pages**.
- The entire amount of required Matching Funds is Committed.
- An organizational chart identifying relevant Applicant Institution and Company Partner personnel is included as **Appendix 1** to the Proposal.
- Resumes of the Company Partner's Management Team are included as **Appendix 2** to the Proposal.
- The Principal Investigator's curriculum vita is included as **Appendix 3** to the Proposal.
- Complete and mathematically accurate budget forms are included as **Appendix 4** to the Proposal.

- All proprietary information included in this Proposal has been identified as such in accordance with requirements prescribed in the RFP. A letter in accordance with said requirements of the RFP is included in **Appendix 5**. The Applicant Institution has checked the appropriate box on the Proprietary Information line on the Proposal Cover Page.

Certification

The following certification must be made by the Authorized Organizational Representative designated on the Proposal Information Page.

I certify that each section and template required in the Request for Proposals is included in the Proposal submitted. I understand that failure to include any of the required items or failure to follow the format or use the templates provided in the RFP may result in this Proposal being rejected without review. I further certify that the 'Technology Transfer Incentive Program Frequently Asked Questions' page of the NYSTAR Web site has been consistently checked, and this Proposal is in compliance with any pertinent information posted.

I certify that no New York State government funds other than those specified as eligible in the Request for Proposals are being used as Matching Funds in this Proposal. I certify that one hundred percent matching funds is committed for the entire period funding period.

I certify that the internal policies of the Applicant Institution including, but not limited to, policies related to conflict of interest, collaboration with industry and/or not-for-profit organizations, confidentiality, and intellectual property are consistent with the goals of the Technology Transfer Incentive Program as outlined in the Request for Proposals and will not impede on the Applicant Institution's ability to achieve the economic impacts described in this Proposal. Copies of the Applicant Institution's policies and procedures will be maintained on site and made available for inspection by NYSTAR or its designee upon request.

Finally, I certify that the information provided in this Proposal is accurate and no misrepresentations have been made in any part of this submission. I further certify that the Applicant Institution and Company Partner have the ability to meet and, if a Technology Transfer Incentive Program award is received, intend to provide the financial and/or administrative commitments outlined in the Proposal.

(Signature of Authorized Organizational Representative)

(date)

Printed Name of AOR

Directions for Completing the Faculty Development - Technology Transfer Incentive Program Budget Forms (for Technology Transfer Applications)

(type in pale yellow highlighted cells only; pale blue cells will be automatically completed)

Budget Form One—Use of Funds: Total of NYSTAR Funding Requested & Matching Funds Demonstrated:

1. Complete the Proposal information section at top of Budget Form One. This information will automatically be entered in Form Two. If an entry does not fit the space allowed, enter as much as possible.
2. Budget Table: List each member of the Applicant Institution's staff, including the individual's title, to be paid in whole or part from the NYSTAR grant and/or Matching Funds. For Research Assistants, Graduate Students, and Undergraduate Students, include only the total number of individuals and the total amount budgeted. No lines may be added to the table; if there are more entries than lines, group other similar items on one line.
3. Indirect Costs: Indirect Costs must be less than or equal to 15 percent of the Total Personnel cost for column (Matching Funds Contribution or Requested NYSTAR Funding). **Partner companies are not allowed to claim indirect costs on in-kind contributions.**
4. Non-Personnel Costs—List each non-personnel item. No lines may be added to the table; if there are more entries than lines, group other similar items on one line.

Budget Form Two—Contributions of Demonstrated Matching Funds for Overall Budget:

1. List sponsors for all committed matching funds, the amount and a description (e.g., Company XYZ, \$50,000, donated 3-year old microscope). Ensure that descriptions are adequate for Company Partner In-Kind and Other Sources of Support.
2. Committed Matching Funds: All Matching Funds must be Committed; enter full text of "Committed".

Empire State Development
 Division of Science, Technology Innovation
 Faculty Development Technology Transfer Incentive Program
 2018 Request For Proposals (RFP Number: 18-6135)

					\$0
					\$0
					\$0
					\$0
					\$0
					\$0
					\$0
Total Non-Personnel Costs Incurred	\$0	\$0	\$0	\$0	\$0
TOTAL [ELIGIBLE] EXPENDITURES	\$0	\$0	\$0	\$0	\$0