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Dr. F. Fred Choobineh, P.E.

**Phase I and II
University-Industry R&D Partnership Program
Request for Proposals**

July 25, 2011

TO: Department Chairs/Heads and Research Administrators
(Please notify appropriate faculty)

FROM: F. Fred Choobineh, Director, Nebraska EPSCoR

RE: Request for proposals:
**Phase I & II Nebraska EPSCoR University-Industry R&D
Partnership Program**
Deadline: 5 p.m., January 20, 2012

Scientific and technological collaborations between industry and universities enrich the academic experiences of faculty and students while facilitating economic growth. Nebraska EPSCoR's University-Industry R&D Partnership Program is a cost-share program designed to foster new partnerships or strengthen existing partnerships between faculty of Nebraska research universities and state industries. This program will subsidize a portion of the cost of an industry R&D project when a faculty member is contracted by the industry to participate in the project. Proposals will be selected on a competitive basis. The R&D partnership program supports two types of proposals, Phase I and Phase II proposals. The Phase I proposal is intended for new partnerships and the Phase II proposal is intended for more mature partnerships.

Benefits to Nebraska Companies

- Cost-effective research through university partnering
- Access to expert university faculty, students, state-of-the-art facilities, laboratories and equipment
- Efficient transfer of technology from university to companies

Benefits to Nebraska Faculty

- Research leads directly to new product development
- Potential for published papers and improved university facilities
- Students gain valuable experience working on commercial technologies

Industry Eligibility

Any Nebraska business enterprise is eligible to participate in the program.

Faculty Eligibility

Any tenured or tenure-leading faculty member affiliated with a Nebraska university is eligible to participate in the program.

Eligible Projects

Any science or technology-based research or development project deemed important to the economic growth of the company is eligible. A project must have at least two PIs; one from academia and one from industry.

Phase I Proposal Requirements

The Phase I proposal is intended to explore benefits of collaboration on a smaller scale than the Phase II Program. A company with no or little prior collaboration with a particular university faculty is eligible to submit a Phase I proposal. The maximum cost share provided for a Phase I proposal is \$10,000. All Phase I proposals must include the two-page Nebraska EPSCoR Budget and Approval Form available from our web site: <http://epscor.unl.edu/forms.shtml>.

Phase I proposals should be less than 10 pages and clearly address the nature and importance of the partnership. The proposal should have a one-page executive summary, and a section addressing future plans, how this new partnership is envisioned to evolve, and the sources of funds to sustain the partnership. In addition to the 10-page proposal, a two-page CV for the faculty PI and industry PI must also be included as well as the budget and budget explanation.

Once funded, a condition of the award is the submission of a final report to Nebraska EPSCoR at the completion of the project term. This report should: a) list major findings and contributions of the project and b) provide a plan for future collaborations.

Phase II Proposal Requirements

Prior participation in a Phase I grant proposal is not required for submission of a Phase II proposal. The maximum cost share provided for a Phase II proposal is \$25,000. All Phase II proposals must include the two-page Nebraska EPSCoR Budget and Approval Form available from our web site: <http://epscor.unl.edu/forms.shtml>.

Phase II proposals should be less than 20 pages (excluding the budget form) and clearly address the nature and importance of the partnership. The proposal should have a one-page executive summary, and a section addressing future plans, how this new partnership is envisioned to evolve, and the sources of funds to sustain the partnership. A two-page CV for the faculty PI and industry PI must also be included in the proposal section. In addition, an explanation of the budget must be provided.

A condition of the award is the submission of at least one grant proposal to a federal agency during the duration of the project. This proposal can be submitted to the National Science Foundation (NSF) GOALI program or any other federal SBIR/STTR program. An electronic copy of the proposal must be submitted to the Nebraska EPSCoR Office. In addition, a final

report must also be submitted to Nebraska EPSCoR. This report should list major findings and contributions of the project and must be less than six pages. Nebraska EPSCoR will retain the final 20 percent of the grant funds for release upon the receipt of the final report, the submitted federal proposal, and confirmation that all conditions of the grant have been met.

Requirements for Phase I and Phase II proposals

Cost Share Limits and Requirements

Nebraska EPSCoR provides cash funds for 50% of the direct cost of the project. The balance of the project's direct cost is financed by **cash funds** provided by the Nebraska business enterprise. The university of the participating faculty will contribute the F&A (indirect) cost of the project up to the maximum total direct cost of \$20,000 for a Phase I project and \$50,000 for a Phase II project; however, the portion of the project budget above these limits will be charged F&A cost. In addition, a binding commitment letter signed by an officer of the company agreeing to provide the **cash funds** for the project should be included with the proposal.

The proposal must be approved by the faculty's institution. The signature of the faculty member's immediate supervisor on the first page of the Budget and Approval Form signifies the institution's approval.

Project Duration

The maximum funding period for a project is 12 months. A funded project may be renewed only once under this program. A request for renewal will be treated as a new proposal.

Intellectual Property

The intellectual property agreement duly signed by the appropriate campus officer of the project's faculty PI or a letter from the campus officer stating that such an agreement is under preparation should be included with the proposal.

Proposal Funding Procedure

Proposals will be reviewed and ranked by a committee composed of industry and academic experts. Proposals to be funded will be selected by the Nebraska EPSCoR/IDeA Committee. Notification of the award is made to the submitting faculty and industry partner by the Nebraska EPSCoR Office. Faculty and industry partners whose proposals are declined will be advised as promptly as possible by Nebraska EPSCoR. Upon notification of selection, the industry partner of a selected proposal must submit a final budget to its university partner and sign a contract agreement to jointly carry out the proposed project. A copy of the final budget and formal contract agreement must be submitted to the EPSCoR Office before the EPSCoR funds are released.

Evaluation Criteria

A. What is the intellectual merit of the proposed activity?

1. Is the technical and commercial feasibility of the project reasonable?
2. Does the proposal reflect state-of-the-art advancements in the major research activities proposed?
3. Are state-of-the-art advancements likely?

B. What are the broader impacts of the proposed activity?

1. What may be the commercial and/or societal benefits of the proposed activity?
2. Does the proposal lead to enabling technologies (instrumentation, software, etc.) for further discoveries?
3. Does the outcome of the proposed activity lead to a marketable product or process?
4. How well is the proposed activity positioned to attract further funding from federal sources once the University-Industry R&D project ends?
5. Can the product or process developed in the project advance Nebraska EPSCoR's goal of increasing university-industry collaborations and technology transfer?

Proposal Submission and Deadlines

Proposals must be submitted electronically and in hardcopy form.

1. The proposal must be submitted electronically by the faculty member via the Nebraska EPSCoR web site at <http://ucommxsrv1.unl.edu/epscor/proposal.php> no later than **5 p.m., Friday, January 20, 2012**. Note that, per web-site instructions for electronic submission, the *Budget and Approval Form* must be submitted **as one file**. The *proposal body* (consisting of the *main body*, *two-page CVs*, and *intellectual property agreement*) must be submitted also **as one file** (separate from the budget file); it is preferable that these files be submitted in PDF format.
2. The original proposal, **in print and with appropriate signatures**, also must be received no later than **5 p.m., Friday, January 20, 2012**, in the Nebraska EPSCoR office at W192 Nebraska Hall, Lincoln, NE 68588-0557.

Please contact the Nebraska EPSCoR Office if you have any proposal format questions (epscor@unl.edu or 402-472-8946).