

# New Hampshire Industrial Research Center



[www.nhirc.unh.edu](http://www.nhirc.unh.edu)

## The New Hampshire Industrial Research Center

### Announcement

The New Hampshire Industrial Research Center is soliciting proposals for funding partnership projects between New Hampshire companies and academic institutions via the Granite State Technology Innovation Grant. The purpose of the New Hampshire Industrial Research Center (NHIRC) is to expand the research activities of an industry partner by providing funds for collaboration with university faculty and laboratories. A copy of the FY07 RFP is enclosed.

While projects may be proposed in any discipline, applications are particularly encouraged in the following areas: Bioinformatics, Computational Tools, Environmental Technologies, Geospatial Analysis, Information Technology, Materials Science, Medical Technologies, Nanotechnology, Optics, Precision Engineering, Robotics, Sensors.

Please note a few important dates (see the RFP for detailed information):

1. March 15, 2007. Letter of intent due: a one-page description on company letterhead including research, concept or topic, technology area and commercial aspect.
2. March/April 2007. A workshop will be held to provide assistance in writing the proposal and research budget. Date to be determined.
3. March 15 – May 1, 2007 Draft proposals may be submitted to the NHIRC Director for review and comment.
4. May 2, 2007. Last day to submit proposal for review and comment.
5. May 15, 2007. Full proposal due.
6. July 2, 2007. Notification of award.

We are happy to answer any questions you may have about the Granite State Technology Innovation Grant and the application process. Please contact Paula Pelletier, Program Coordinator, at [paula.pelletier@unh.edu](mailto:paula.pelletier@unh.edu) or 603-862-0123.

New Hampshire Industrial Research Center

Gregg Hall Durham, New Hampshire 03824 603-862-4125 603-862-0329 fax

# The New Hampshire Industrial Research Center

Announces the

## Granite State Technology Innovation Grant

# *Request for Proposals*

### IMPORTANT DATES

Letter of Intent	<i>March 15, 2007</i>
Full proposal	<i>May 15, 2007</i>
Notification of Award	<i>July 2, 2007</i>



UNIVERSITY of NEW HAMPSHIRE



# New Hampshire Industrial Research Center

**Purpose:** In 1991 the New Hampshire Industrial Research Center (NHIRC) was created by the New Hampshire Legislature for the purpose of providing a mechanism to increase collaboration between New Hampshire businesses and university-based research to promote applied and basic scientific research, engineering, and associated marketing and technology transfer, and to support the New Hampshire industrial and business community for the purpose of creating high quality jobs through technology development and innovation.

**Goal:** The NHIRC's mission is to assist New Hampshire industry in becoming more competitive, and thereby retain and increase industrial employment. By providing state support and cooperation, the NHIRC helps New Hampshire companies upgrade old products or develop new products. With NHIRC support, university-industry collaboration will foster innovation and help to preserve and increase the number of jobs in New Hampshire.

**Oversight Committee:** The NHIRC Oversight Committee was established to oversee the operations of the center and is composed of twelve representatives from industry, academia and state government. The NHIRC Oversight Committee meets quarterly and makes final decisions on awarding funds. Funding is awarded to the partnering university or college.

## SUMMARY

### New Hampshire Industrial Research Center Granite State Technology Innovation Grant

Key Dates	March 15, 2007 Letter of Intent Due May 15, 2007 Final Proposal Due
Eligible Companies	New Hampshire companies
NHIRC/EPSCoR Contribution	\$20,000 - \$100,000 per grant Proposals in excess of \$100,000 will be considered.
Total Awards Expected	5-8 grants
Industry Commitment	There is a 1:1 match requirement. For each dollar the NHIRC awards, the company must match one dollar in company cash or in kind. Funds are distributed to academic institutions only.
Cash and In Kind Contribution Schedule	Cash match is paid monthly for the duration of the project. (For example, the cash match for a two-year project would be paid in 24 equal payments.) In kind reports must be submitted on a monthly basis.
Administrative Fee	The academic institution will charge the company a 5% fee on the total project cost, less any federal funding allocated to the project, to help cover its overhead expense in undertaking the project. This fee is payable in full to the institution at the time the Cooperative Agreement is signed, and may not be deducted from company match.
Reporting Requirements	A final report is required within 30 days after the project ends. The PI and industry partner are required to jointly submit this report, which will outline research, educational activities, and accomplishments. The NHIRC may request that the industry partner participate in surveys following project completion to measure the project's impact.
Intellectual Property / Publicity and Information Transfer / Publication / Indemnity	Dartmouth and UNH project agreements will include standard language as specified on page 12 of this RFP.
Equipment	The institution will retain title to any equipment purchased by the academic institution with both NHIRC and EPSCoR and company funds. The company will retain title to equipment purchased by company.

## PROGRAM DESCRIPTION

Proposals are sought for partnership projects between New Hampshire companies and academic institutions. The primary goal of these projects is to attract, grow, and retain companies in the State of New Hampshire.

NHIRC matching funds are specifically designed to expand the research activities of an industry partner by providing funds for research collaborations between industry and academia. While projects may be proposed in any discipline, applications are particularly encouraged in the following areas:

- Bioinformatics
- Computational Tools
- Environmental Technologies
- Geospatial Analysis
- Information Technology
- Materials Science
- Medical Technologies
- Nanotechnology
- Optics
- Precision Engineering
- Robotics
- Sensors

Approximately \$600,000 has been designated to fund five to eight awards in the current fiscal year, to be matched 1:1 by partner companies for a total \$1,200,000.

NHIRC funding is contingent upon New Hampshire State Appropriations and funding from the NSF EPSCoR Program. Should the funding to the NHIRC not be available, this RFP may be terminated.

## **AWARD ADMINISTRATION**

The UNH Office of Sponsored Research will administer awards. Upon award approval, the academic institution will enter into a Cooperative Agreement with the company for the project. NHIRC funds are distributed only to academic institution. A Cooperative Agreement must be executed between the company and the academic institution within 60 days of the award. Failure to do so could result in the cancellation or reallocation of matching funds to other projects.

The Principal Investigator (PI) and industry partner will be required to jointly submit a final report outlining research, educational activities, and accomplishments. This report must be submitted within 30 days of project completion.

## **LETTER OF INTENT**

The Letter of Intent is due March 15, 2007 and will allow the NHIRC to help companies find a research partner, if needed.

- Must be on company letterhead and signed by an officer of the company.
- One page description including:
  - Problem/opportunity needing grant assistance, including what has been tried to date and with what results and how outside resources will help.
  - Project description
  - Institutional affiliation or research partner, if identified
  - Technology area
  - Estimated project budget, if known
- Submit the Letter of Intent as a Word document or PDF file to [paula.pelletier@unh.edu](mailto:paula.pelletier@unh.edu) by 3/15/2007.

## **WORKSHOP**

The NHIRC will host a workshop to assist companies with proposal preparations and to answer questions. The workshop will be held in March or April 2007, date and location to be determined.

## **PROPOSAL PREPARATION AND SUBMISSION**

The final proposal will describe the company, the problem needing NHIRC help, the potential impact of this help on the company (sales, NH jobs), the project plan and budget, and the amount of NHIRC matching funds requested. *The NHIRC's Director will critique the proposal and offer suggestions before its submission to the NHIRC Oversight Committee for consideration.*

The NHIRC maintains the confidentiality of these proposals. Please mark all pages containing sensitive or proprietary information with "CONFIDENTIAL" or "PROPRIETARY." The NHIRC Oversight Committee members are required to sign and adhere to confidentiality agreements.

**Submission**

Submit the complete proposal by May 15, 2007 in electronic form as a Word document or PDF file to [paula.pelletier@unh.edu](mailto:paula.pelletier@unh.edu), the program coordinator. The project budget may be submitted as an Excel document or PDF file.

**Program Contact**

Robert L. Dalton  
Director  
New Hampshire Industrial Research Center  
Gregg Hall  
35 Colovos Road  
Durham, NH 03824  
603-862-4130  
[robert.dalton@unh.edu](mailto:robert.dalton@unh.edu)

The NHIRC will notify applicants of the award decision via email.

A press release will be issued after the awards. It will include the company name, name of the PI, and the academic institution. The name of the project and the amount of the award will not be included.

## **PROPOSAL APPLICATION FORMAT**

Four to six pages of text are sufficient for the proposal, not including appendices, with font size no smaller than 12 point and margins no smaller than one inch on all sides.

## **HOW WILL THE NHIRC OVERSIGHT COMMITTEE REVIEW MY PROPOSAL?**

The NHIRC is primarily focused on technology-based economic development for companies in the state of New Hampshire. NHIRC and EPSCoR funds are specifically designed to expand research activities through collaborations between industry and academia.

Evaluation criteria to be used by the Oversight Committee in the award process are marked with an asterisk (\*). All proposals will undergo a scientific/technical review.

**Cover Page:** Complete cover page (included at the end of this document).

### **Section I. Company Information**

Tell us about your company. This should include a brief company history, product lines, facilities, annual sales, number of New Hampshire employees, CEO, officers, board of directors, contact person. What is the past experience in working with the PI and/or with the NHIRC? Publicly traded companies should attach SEC 10-9 and 10Q forms and most recent annual report.

### **Section II. Problem / Opportunity**

Tell us about the problem / opportunity needing NHIRC assistance including what has been tried to date and with what results and how outside resources will help.

- \* Does the opportunity or proposed activity require or result in technological innovation/
- \* Does the opportunity require a partnership between industry and academia?
- \* What is the impact on the academic institution's research and opportunities for students?
- \* Preference will be given to projects collaborating with New Hampshire institutions.

### **Section III. Business Plan and New Hampshire Job Impact**

Tell us how NHIRC assistance will impact your company. For new product or product improvement projects, this could be a discussion of the business plan to commercialize the product (if successful) including the market, competition, your strategy, projected sales and New Hampshire employment over the next few years. For operation improvement projects this could be a discussion on how the project (if successful) will enable your company to become more competitive and thus retain / increase sales and New Hampshire jobs.

Briefly describe how you (the Company) will measure the project's success.

- \* Will the proposed activity likely result in the transfer of technology from academia to industry?
- \* Will the technology transfer be achievable?
- \* Will the activity cause the creation or maintenance of high quality jobs within New Hampshire that leverage the initial Innovation Award investment?
- \* Does the proposed activity leverage funds from other sources (example: SBIR/STTR)?
- \* Can the results of the award be tracked and measured over time by some objective means?
- \* Preference will be given to projects collaborating with New Hampshire institutions.
- \* Student involvement in the proposed research. Industry funds may include tuition for students involved, but it is not required.
- \* Quality and amount of matching funds.

## Section IV. Project Plan and Budget

Tell us about the overall project plan and timetable including commercializing the results. Also, give a summary of the project budget for the required NHIRC technical assistance with a request for some specific level of matching grant support. Larger firms will be expected to pay a larger share.

*Please note that in considering your proposal, the NHIRC Oversight Committee may approve it: (1) as submitted; or (2) subject to some mutually agreeable, higher level of company cost sharing. In any event, the company's portion of the project cost will be invoiced in equal monthly increments as the project proceeds. **The academic institution will also charge the company an administrative fee, 5% of the total project cost, less any federal funding allocated to the project, to help cover its overhead expense in undertaking the project. This fee is payable in full at the time the Cooperative Agreement is executed.*** For example, there would be a \$5,000 administrative fee on a \$100,000 project (\$50,000 grant / \$50,000 match).

## Section V. Appendices

This section should include:

✓ **Detailed work plan**

Provide technical description of the project in no more than 5 pages. Please delineate within the statement of work what additional value/research can be accomplished by leveraging the NHIRC Program funds. Additionally, include up to two pages describing resultant products or services that the project or follow-up collaborative research might produce and potential avenues to commercialization. You may include up to two additional pages for references.

✓ **Budget**

Include a detailed budget for the NHIRC match request and the industry partner cash and in kind funds using the attached spreadsheet. Separate budget columns are required for each source of funding.

All cash and in kind commitments should be listed on the NHIRC proposal budget and on the NHIRC industry partner's letter of commitment executed by a company representative authorized to commit funding. For example, if you are requesting a \$30,000 cash match from the NHIRC Granite State Technology Innovation Grant Program, then you should have obtained a signed letter of commitment from the industry partner committing \$30,000 in cash and/or in kind contributions.

In kind expenses are direct costs incurred by the company in support of the project. In kind expenses may include salaries, fringe benefits, materials, travel, equipment and equipment usage during the project period. In kind expenses are certified and must be auditable. The template for monthly reporting of in kind match is on page 11 of this RFP. Do not complete this form at this time.

✓ **Pertinent company literature (brochures, production information, etc.)**

✓ **Industry Commitment**

Include evidence of commitments from an industrial partner. A letter on company letterhead signed by an authorized representative of the company listing the project title, amount, and type of support (i.e., cash and in kind) is required.

# New Hampshire Industrial Research Center Granite State Technology Innovation Grant Cover Page

**Company Name:** \_\_\_\_\_

**Proposal Title:**  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Academic Institution

\_\_\_\_\_  
Principal Investigator

\_\_\_\_\_  
Department

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Contact Info (Phone and E-mail)

\_\_\_\_\_  
Co-Principal Investigator(s)

\_\_\_\_\_  
Department(s) / Academic Institution

\_\_\_\_\_  
Signature(s)

\_\_\_\_\_  
Contact Info (Phone and E-mail)

\_\_\_\_\_  
Industry Contact and Title

\_\_\_\_\_  
Company, Division/Group, # of Employees

\_\_\_\_\_  
Street Address, City, State and Zip Code

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Contact Info (Phone and E-mail)

**Project Length.** Anticipated start date \_\_\_\_\_ and anticipated end date \_\_\_\_\_

Support Requested from Industry Partner and NHIRC Matching Funds Research Program:

Industry Cash	NHIRC Grant	Industry In-Kind Match	<b>Project Total</b>

**SAMPLE BUDGET**

	Project Budget		NHIRC	Company Cash Match	Company In Kind
Salary PI	\$20,000		\$10,000	\$10,000	
Engineering/Technical Support	\$5,000				\$5,000
Undergraduate student labor	\$4,000		\$2,000	\$2,000	
Fringe Benefits	\$7,000		\$4,000	\$3,000	
Travel	\$4,000		\$4,000		
Supplies	\$1,000			\$500	\$500
Equipment	\$4,000				\$4,000
Total	\$45,000		\$20,000	\$15,500	\$9,500
Administrative fee (5% of total project less any federal funding allocated to the project)				\$2,250	

**NEW HAMPSHIRE INDUSTRIAL RESEARCH CENTER  
IN-KIND CONTRIBUTION REPORT FOR NHIRC PROJECTS**

**SAMPLE ONLY – DO NOT COMPLETE THIS FORM AT THIS TIME.  
This form will be completed and submitted on a monthly basis  
as inkind expenses are incurred by the company.**

COMPANY NAME: \_\_\_\_\_

PROJECT TITLE: \_\_\_\_\_

ACCOUNTING PERIOD: From: \_\_\_\_\_ to: \_\_\_\_\_

**COSTS:**

1. Direct Labor \$ \_\_\_\_\_
2. Fringe Benefits at \_\_\_\_\_ % \$ \_\_\_\_\_
3. Non-expendable Items \$ \_\_\_\_\_
4. Materials & Supplies \$ \_\_\_\_\_
5. Travel \$ \_\_\_\_\_
6. Miscellaneous \$ \_\_\_\_\_
7. Overhead at \_\_\_\_\_ % \* \$ \_\_\_\_\_

Total Period Costs \$ \_\_\_\_\_

Previously Reported \$ \_\_\_\_\_

**TOTAL COSTS TO DATE** \$ \_\_\_\_\_

Commitment \$ \_\_\_\_\_

**AMOUNT REMAINING** \$ \_\_\_\_\_

\* \_\_\_\_\_ % of sum of costs items 1-6 excluding fringe benefits (item 2) Limited to 10% unless appropriate approval documentation for a greater amount has been submitted and is on file with the NHIRC.

**WE CERTIFY THAT ALL OF THE ABOVE COSTS ARE AUDITABLE AND THAT NO STATE GOVERNMENT FUNDS HAVE BEEN USED TO PAY FOR THESE COMPANY COSTS.**

SIGNATURE \_\_\_\_\_

NAME (please print) \_\_\_\_\_

Telephone Number \_\_\_\_\_

Submit to: Susan Sosa, Senior Grant and Contract Administrator  
Office of Sponsored Research  
Service Building  
University of New Hampshire  
Durham, NH 03824

## **INTELLECTUAL PROPERTY / PUBLICITY AND INFORMATION TRANSFER / PUBLICATION / INDEMNITY /**

### **Intellectual Property**

Intellectual Property. All rights and title to Intellectual Property arising from the development under the Project, conceived solely by UNIVERSITY employees, shall be assigned to UNIVERSITY, and all Intellectual Property conceived solely by the COMPANY employees shall be assigned to COMPANY. For Intellectual Property that is conceived jointly by UNIVERSITY and COMPANY employees, UNIVERSITY and COMPANY will hold joint title.

License Rights. Upon notice, UNIVERSITY will offer COMPANY the option of a world-wide, royalty-bearing license to UNIVERSITY's Intellectual Property or UNIVERSITY's rights in joint Intellectual Property as defined in Article 8.1, to make, have made, use and sell (in a designated field of use, where appropriate) the products embodying or produced through the use of UNIVERSITY's Intellectual Property or joint Intellectual Property at reasonable terms and conditions as the parties may agree; except to the extent of any rights required to be granted to the Government of the United States of America pursuant to 35 U.S.C. §§200-211. COMPANY shall have forty-five (45) days after the expiration of the Project Period to exercise this option. If within ninety (90) days from the option exercise after good faith negotiations parties fail to reach an agreement on the license terms, or if COMPANY decides to forgo the option, UNIVERSITY shall be free to offer commercial license rights to any third party or to dispose of its Intellectual Property or other rights resulting therefrom in any other way it deems appropriate.

Patents and Patent Expenses. COMPANY will reimburse UNIVERSITY for all costs associated with obtaining and maintaining UNIVERSITY patent rights. Provided, however, if COMPANY decides that it is not appropriate to apply for UNIVERSITY patent rights, COMPANY shall have no obligation to reimburse UNIVERSITY for such costs and in such event the option granted under previous paragraph to COMPANY by UNIVERSITY shall lapse in respect to the UNIVERSITY patent rights for which COMPANY declines to reimburse the cost to UNIVERSITY. UNIVERSITY shall also have the right to obtain patent protection on its own and at its own expense for joint patent rights in the names of UNIVERSITY and COMPANY in case COMPANY decides not to support such filings, in which event the option granted under previous paragraph to COMPANY by UNIVERSITY shall lapse in respect to UNIVERSITY's rights under joint patent rights.

### **Publicity and Information Transfers**

Neither UNIVERSITY nor COMPANY will identify the other in any products, publicity, promotion, promotional advertising, or other promotional materials to be disseminated to the public, or use any trademark, service mark, trade name, logo, or symbol that is representative of the other party or its entities, whether registered or not, or use the name, title, likeness, or statement of any employee, or student, without the other party's prior written consent. Any use of names shall be limited to statements of fact and shall not imply endorsement by one party of the other party's research, products, or services. UNIVERSITY retains the right to use the name of COMPANY for publicity, advertising, or news releases relevant to the NHIRC and/or other statutory reporting requirements including but not limited to internal UNIVERSITY reporting. This statement notwithstanding, UNIVERSITY will not use the name of COMPANY, nor any employee of COMPANY, for any other purpose without the prior written approval of COMPANY.

During the term of this Agreement, UNIVERSITY and COMPANY may exchange and/or develop information which is considered to be of a proprietary or confidential nature. When such information is exchanged and/or developed, it will be appropriately identified in writing by the party asserting the proprietary or confidential nature. The receiving party agrees to protect such information for a period of five (5) years from the date of receipt or a period of three (3) years from completion or termination of this Agreement, whichever is longer, and to use such information only in the performance of Project.

No information shall be within the protection of this provision where such information:

- A. Is or becomes publicly available;
- B. Is released by the originating party to anyone without restrictions;
- C. Is rightfully obtained from third parties; or
- D. Is known to the receiving party at the time of receipt, as shown by its prior written records.

Upon request by either party to this Agreement, information accepted as proprietary and confidential by the receiving party will be returned at the conclusion of the Project Period to the disclosing party.

### **Publication**

COMPANY recognizes that, exclusive in Publicity and Information Transfer above, under UNIVERSITY policy the results of UNIVERSITY's participation in this Project must be publishable and agrees that personnel engaged in Project shall be permitted to present at symposia or professional meetings, and to publish in journals, theses or dissertations, or otherwise of their own choosing, methods and results of Project, provided, however, that COMPANY shall have been furnished copies of any proposed publication or presentation at least sixty (60) days in advance of the submission of such proposed publication or presentation to a journal, editor, or other third party. During this time COMPANY shall have the opportunity to comment upon such proposed presentation or publication and take necessary steps if there is subject matter which needs patent protection. If COMPANY objects to the publication disclosing confidential information protected under the Publicity and Information Transfer above, said personnel shall refrain from making any publication, presentation, or other disclosure until such confidential information is removed.

### **Indemnity**

COMPANY shall defend and indemnify and hold UNIVERSITY and its employees harmless for any judgments and other liabilities based upon claims or causes of action against UNIVERSITY or its employees which arise out of (i) the design, production, manufacture, sale, use in commerce, lease or promotion by COMPANY, its Subsidiaries and Licensees, affiliates or agents of COMPANY of any product, process or service relating to, or developed pursuant to, this Agreement or (ii) any other activities to be carried out pursuant to this Agreement, provided that UNIVERSITY promptly notifies COMPANY of any such claim coming to its attention and that it cooperates with COMPANY in the defense of such claim. If any such claims or causes of action are made, UNIVERSITY shall be defended by counsel to COMPANY, subject to UNIVERSITY's approval, which shall not unreasonably be withheld.

**UNIVERSITY MAKES NO WARRANTIES, EXPRESS OR IMPLIED, CONCERNING THE RESULTS OF RESEARCH PERFORMED UNDER THE RESEARCH PLAN OR OF THE MERCHANTABILITY, OR FITNESS FOR A PARTICULAR PURPOSE OF SUCH RESEARCH OR RESULTS**

## PROPOSAL SUBMISSION CHECKLIST

1. **Cover Page on form provided. Signatures are required.**
2. **Proposal (4-6 pages, 12 point font, 1 inch margins)**
  - ✓ Company Information
  - ✓ Problem/Opportunity
  - ✓ Business Plan and New Hampshire Job Impact
  - ✓ Project Plan
3. **Appendices**
  - ✓ Detailed work plan, technical description of the project (5 page maximum)
  - ✓ Resultant products or services and potential commercialization (2 page maximum)
  - ✓ References, optional (2 page maximum)
  - ✓ Budget on template provided
4. **Letter of commitment from industrial partner.**

Signed commitment on company letterhead listing the project title, amount and type of support (cash and in kind).

## IMPORTANT DATES

1. March 15, 2007. Letter of intent due: a one-page description on company letterhead including research, concept or topic, technology area and commercial aspect.
2. March/April 2007. A workshop will be held to provide assistance in writing the proposal and research budget. Date to be determined.
3. March 15 – May 1, 2007 Draft proposals may be submitted to the NHIRC Director for review and comment.
4. May 2, 2007. Last day to submit proposal for review and comment.
5. May 15, 2007. Full proposal due.
6. July 2, 2007. Notification of award.

# **New Hampshire Industrial Research Center Granite State Technology Innovation Grant Frequently Asked Questions**

## **Q. Who writes the proposal?**

A. This is a collaboration between the company and a university researcher. The university faculty member is the principle investigator (PI) and the funds come to the university to pay for the research project there. The PI typically writes the research plan and the budget sections of the proposal. The industry partner provides the information about the company, the problem to be solved and the business plan.

## **Q. I don't know any university researchers. How do I find one?**

A. The NHIRC will assist with "matchmaking". The company must define the research problem that needs to be solved in this project. The NHIRC will try to find the right fit of expertise, facilities and equipment at a NH university (usually UNH or Dartmouth) and will contact the faculty researcher to see if there is interest in a collaboration.

## **Q. I've read the RFP and I still have questions. What can I do?**

A. The NHIRC will hold a workshop on how to prepare a proposal in March/April 2007. The date and time will be determined.

## **Q. What's the first step?**

A. Read the RFP. Define your problem. Submit a letter of intent. Attend the workshop. Keep track of the deadlines.

## **Q. Can I get some feedback on my proposal before the deadline?**

A. Yes, the NHIRC director will review your proposal and offer advice, but cannot offer this service at the last minute, so plan ahead – the deadline for review by the director is May 2, 2007.