

Florida High Tech Corridor Council (FHTCC) Matching Funds Research Program

University of Florida Solicitation



An economic development initiative of:



Funds for this program are available from July through June of the following calendar year.

Proposals are evaluated and awards announced on a rolling basis until the annual funds are fully committed.

Program Information current as of February 2016

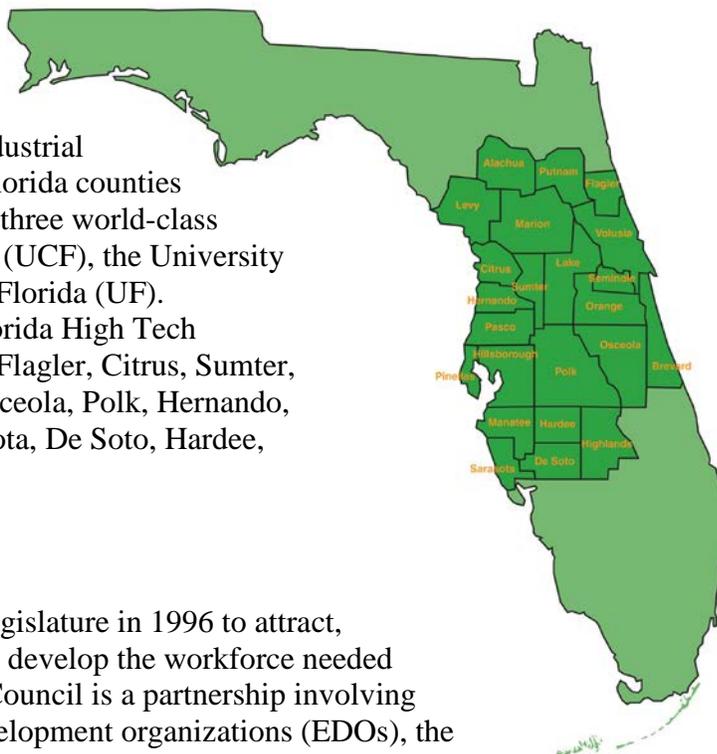
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I. PROGRAM DESCRIPTION:

Proposals are sought for collaborative research and development projects between technology companies that maintain a physical presence within the 23 counties of the Florida High Tech Corridor and University of Florida (UF) faculty.

Florida High Tech Corridor

The Florida High Tech Corridor (HTC) - (www.floridahightech.com) - combines the industrial resources and entrepreneurial energies of 23 Florida counties with the academic and research capabilities of three world-class universities - the University of Central Florida (UCF), the University of South Florida (USF), and the University of Florida (UF). The 23 contiguous counties included in the Florida High Tech Corridor are Alachua, Putnam, Levy, Marion, Flagler, Citrus, Sumter, Lake, Volusia, Seminole, Brevard, Orange, Osceola, Polk, Hernando, Pasco, Hillsborough, Pinellas, Manatee, Sarasota, De Soto, Hardee, and Highlands Counties.



Florida High Tech Corridor Council (FHTCC)

The FHTCC was established by the Florida Legislature in 1996 to attract, retain, and grow high tech industry and to help develop the workforce needed within the state to support this industry. This Council is a partnership involving more than 20 local and regional economic development organizations (EDOs), the three universities mentioned above, and 14 colleges - all serving the Corridor's 23-county region. The Council itself is made up of the presidents of the three partner universities, presidents of two of the colleges - who serve on a rotating basis, the president of Florida Institute of Technology (FIT), and up to 24 representatives of high tech industry. The Council's integrated approach has resulted in a strategic focus on all aspects of high tech economic development – including matching funds for research, workforce development, cultivation of technology communities, and a marketing program leveraging governmental, EDO and corporate budgets on a regional rather than local basis.

The FHTCC's primary focus is to foster applied research between high technology companies and academic collaborators at UF, UCF, and USF. The majority of the Council's funding has been allocated to this effort. Since its inception, the FHTCC has provided more than \$58 million in funding to projects in which over 350 companies and institutions have participated. These projects have resulted in collaborations between these companies and over 350 professors and 2,400 graduate students across UF, UCF, and USF. This funding has been leveraged by an additional \$160 million in funding from either industrial or government sponsors.

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Since joining the FHTCC in 2005, UF has established two Matching Funds Research Program areas. The first funding opportunity is a General Solicitation for all technology companies located in the FL HTC region. The second opportunity is open to Corridor companies of less than 500 employees seeking SBIR/STTR Phase II awards from a federal agency. Both of these matching funds opportunities are targeted at expanding technology-based research activities that promote collaborations between companies and UF. Projects submitted under either program should support the following FHTCC goals:

- Contribute to attracting, retaining, and growing technology-based companies in the Florida High Tech Corridor
- Increase the impact UF researchers have on developing technology industries in Florida
- Increase competitive external funding for UF/industry collaborative research
- Provide UF students with industrial research experiences and increase the student pipeline to industry in the Florida High Tech Corridor and across Florida

Award sizes will vary depending on the program area and specific funding requests. Table 1 below provides an overview of the major program requirements associated with these awards.

Table 1 - FHTCC Matching Funds Research Program Overview for the University of Florida

	General Solicitation	SBIR/STTR Phase II Solicitation
Eligible Companies	All technology companies in the HTC region	SBIR/STTR Phase II applicants of <500 employees located in the 23 county HTC region
Company Match	2:1 Cash & 2:1 In-Kind for large companies (>100 employees) 1:1 Cash & 1:1 In-kind for small companies (<100 employees) Any second proposal between a company and the same UF researcher(s) typically requires a 50% increase in both company cash and in-kind match relative to the first collaboration	1:1 Cash 1:1 In-Kind A second proposal between a company and the same UF researcher(s) typically requires a 1.5/1 cash and 1.5/1 in-kind match by the company
FHTCC Award	\$20k - \$100k annual award	\$20k - \$150k total for the duration of the Phase II research project
Intellectual Property	Standard industrial sponsored research agreement terms	Standard SBIR/STTR terms
Standard Overhead	Only on industry cash	Only on industry cash

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Note that this document applies to both the General Solicitation and to the SBIR/STTR Phase II Solicitation. All solicitation aspects for the two programs are the same except:

- As outlined in Table 1; and
- General Solicitation awardees will be provided with acknowledgement of their award by the Program Manager, followed by contract finalization and initiation of the research project. SBIR/STTR Phase II Solicitation awardees will receive a letter stating FHTCC-UF's intent to provide matching funds should the SBIR/STTR grant be awarded to the company. This letter can be included by the company in their SBIR/STTR Phase II proposal submission to the federal funding agency.

Projects may be proposed in any high technology discipline, including – but not limited to:

- | | |
|---|-----------------------------------|
| ➤ Life Sciences - including
Biotechnology, Medical Device
Manufacturing, Pharmaceuticals, or
Health Care | ➤ Microelectronics |
| ➤ Information Technology - including
Products/Services, Software
Development, and Cyber-Security | ➤ Aviation/Aerospace |
| ➤ Modeling/Simulation/Training | ➤ Homeland Security/Defense |
| ➤ Photonics/Lasers/Optics | ➤ Financial/Professional Services |
| ➤ Telecommunications | ➤ Manufacturing |
| | ➤ Biomedical Engineering |
| | ➤ Nanotechnology |
| | ➤ Renewable Energy |
| | ➤ Hydrogen-Based Technologies |
| | ➤ Agribusiness |

II. PROPOSAL PREPARATION AND SUBMISSION:

A. Proposal Preparation Instructions (*Please read the entire guideline before beginning the proposal preparation process*)

1. Select an industry partner and discuss your proposed collaborative project with them. Any discussion of confidential information must be preceded by execution of a Confidentiality Agreement by the UF Office of Technology Licensing (<http://www.research.ufl.edu/otl/>; 352-392-8929) or Division of Sponsored Programs (<http://research.ufl.edu/faculty-and-staff.html>; 352-392-3516). This agreement is required to maintain UF's future intellectual property rights.
2. Once an agreement is reached with the industry partner on the scope of work and budget, prepare the standard UF documentation required for an industry sponsored research project (DSR-1, Standard Research Agreement, budget, etc. - see <http://research.ufl.edu/faculty-and-staff/forms.html> for further information). It is expected that intellectual property terms and other conditions per the UF Standard Research Agreement will be appropriate. Faculty and the industry partner are both strongly encouraged to discuss the proposal with their respective contracting or legal offices prior to submitting the proposal to the FHTCC-UF Program in order to reduce the time from award to execution of the project. Your proposal and its budget should cover the entire project and detail the proposed

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expenditures for both the industry partner and FHTCC-UF matching funds. Please clearly delineate within the statement of work what additional value/research can be accomplished by leveraging of the FHTCC-UF Program funds. Separate budget columns are required for each source of funding.

3. Include as part of your proposal the information requested in Sections II B/C and Attachment I of this solicitation - including a signed, written commitment letter from the industry partner for the cash and in-kind funding requirement. Please review Section II C of this solicitation for specific guidance concerning matching funding requirements.
4. The proposal must be submitted by a UF faculty member. All required UF Division of Sponsored Programs forms and accompanying signatures must be included with the proposal submission.
5. Submit the completed proposal to Cherrie Hughes, the Assistant Director for Industrial Outreach at UF. You are strongly encouraged to submit your application in electronic form (MSWord or PDF file) by email attachment to cherriehughes@ufl.edu. If you cannot submit an electronic copy, then provide a completed hard copy version to:

Cherrie Hughes
Assistant Director for Industrial Outreach
Office of Research
University of Florida
239 Grinter Hall
P.O. Box 115500
Gainesville, FL 32611-5500
Phone (352) 273-3052 E-mail: cherriehughes@ufl.edu

B. Proposal Application Format (Also see Attachment I of this Solicitation)

Please be advised that if the page limitation is exceeded or any component listed below is excluded, your proposal may be returned without review. This requirement is in place to ensure equity among proposals.

- I. Cover Page: Complete cover page given in Attachment I of this Solicitation.
- II. Technical Description: Provide: 1) a three-sentence layman's abstract that will be published if your project is awarded; 2) a maximum of five pages describing the technical project scope; and 3) up to two pages describing both the resultant products or services that the project or follow-up collaborative research might produce and any potential avenues to commercialization for the research being conducted during this project. You may include up to two additional pages for related references.

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- III. Budget: Include a detailed budget for the FHTCC-UF match request and the industry partner cash funds. Indirect costs are not applicable for the FHTCC matching portion, but must be included in the industry partner cash funds. It is preferred that FHTCC-UF matching funds be used for faculty and student support rather than equipment, travel, etc. whenever possible. Please include a list of the in-kind match from the company partner at the bottom of the budget for evaluation purposes.
- IV. Industry Commitment: Include evidence of commitment from a Florida High Tech Corridor industrial partner (see company eligibility requirements in Section I of this solicitation). A letter on company letterhead, signed by an authorized representative of the company and listing the project title, amount, and type of support (i.e., cash and in-kind), is required.
- V. Follow-on Collaborative Research – FHTCC-UF program funds are provided to seed longer term collaborative research between UF and the Industry Partner. The program’s objective is to fund projects that will attract follow-on funding from external sources – including, but not limited to, industry, federal or state agencies, and/or private sector sources such as private investment or venture capital. As such, provide as much detail as possible on plans for attracting follow-on funding for future collaborative research with UF researchers. This description may include high-potential federal programs to which the team may apply for funding.
- VI. Special Terms and Conditions: It is expected that intellectual property terms and other conditions per the UF Standard Research Agreement will be appropriate. In rare instances, deviations from these terms and conditions may be negotiated between the Industry Partner and UF. In such cases, clearly identify deviations that have been approved by the authorized UF and company representatives and provide justification for why these deviations are necessary. The FHTCC-UF Evaluation Committee reserves the right to agree with or challenge these proposed deviations when approving FHTCC-UF matching funding.
- VII. Resumes: Include CVs for the Principal Investigator and any Co-Principal Investigators. Include a list of recent publications dealing with the proposed research.

C. Industry Match/Budgetary Information

1. FHTCC-UF Program funding is provided to match industry funding. Proposals submitted under this program will provide FHTCC-UF matching funding up to:
- General Solicitation for companies of greater than 100 employees - 50% of the industry level of effort, i.e., every \$2 of industry cash support is eligible to apply for \$1 of FHTCC-UF matching cash support
 - General Solicitation for companies of less than 100 employees - 100% of the industry level of effort, i.e., every \$1 of industry cash support is eligible to apply for \$1 of FHTCC-UF matching cash support

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- SBIR/STTR Phase II Solicitation for companies of less than 500 employees - 100% of the industry level of effort, i.e., every \$1 of industry cash support is eligible to apply for \$1 of FHTCC-UF matching cash support
 - For a second proposal between a company and the same UF researcher(s) - these typically require the company to provide a 50% greater cash and in-kind match than was required for the first award. Examples of second proposal funding models include:
 - i. *General Solicitation* – Every \$1 of FHTCC-UF matching cash support must be matched by \$3 of larger company (> 100 employees) or \$1.50 of smaller company (< 100 employees) cash support
 - ii. *SBIR/STTR Phase II Solicitation* - Every \$1.50 of company cash support proposed in the SBIR/STTR proposal is eligible for \$1 of FHTCC-UF matching cash support
2. UF's standard overhead rate must be included in the budget for the industry partner's cash funding portion. No overhead is required on the FHTCC-UF matching funds.
 3. It is strongly preferred that FHTCC-UF Program matching funds be used for faculty and student support rather than equipment, travel, etc. whenever possible.
 4. All industry partners, independent of size, are also required to provide in-kind support equal in value to the industry partner's cash support. Examples of in-kind support include the staff time spent on project, equipment usage, or lab usage.
 5. All cash and in-kind commitments must be listed on both the submitted budget and the industry partner's letter of commitment – which must be executed by a company representative authorized to commit funding. For example, if the industrial partner has more than 100 employees, that partner must provide a signed letter of commitment for \$60,000 in cash and \$60,000 of in-kind support for the project when requesting a \$30,000 cash match from the FHTCC Matching Funds Research Program General Solicitation. Additional cash match may be substituted in place of in-kind support, as long as overall program requirements for total support are still met.

D. Deadline Dates

Proposals will be accepted on a rolling basis and reviewed on a first come, first serve basis. Awards will be granted until the annual funds available each year are exhausted. This program retains the right to reject proposals that do not meet its criteria. The funding available for this program may also limit the ability to fund projects at any time.

III. MERIT REVIEW CRITERIA

An Evaluation Committee consisting of the UF Vice-President for Research, UF Associate Dean for Research, College of Engineering, Director of UF's Office of Technology Licensing, and a

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sub-committee of the Florida High-Tech Corridor Council (or their designees) will evaluate each new proposal on a monthly basis. Criteria for selection of awards (in order of priority) include:

1. The Evaluation Committee's rating of the proposal's technical merit
2. Alignment of the proposal with the goal of the Florida High Tech Corridor - to attract, grow, and retain technology-based industries in the HTC region
3. Demonstrated probability to attract follow-on funding for collaborative research from an external source – including, but not limited to, federal or state agencies or private sector sources such as private investment or venture capital
4. Amount of cash and in-kind match provided
5. Strength of partnerships. Joint projects with the University of Central Florida and the University of South Florida are encouraged
6. Student involvement in the proposed research. Industry funds should include tuition for students involved, but is not required

Multi-year proposals will be considered. Funding beyond year 1 is not guaranteed and will be based on progress made during the current year, the amount of industry funds obtained, the merit of the work proposed for the second year, and Principal Investigator qualifications.

IV. AWARD ADMINISTRATION

Industry contracts should be executed and work begun under the contract within two months of award notice. Failure to do so could result in the cancellation or reallocation of matching funds to other projects.

The PI and industry partner will be required to jointly submit to the FHTCC-UF Program Director semi-annual progress reports of 5-10 pages in length - outlining research and education activities, budget expenditures, and accomplishments.

V. PROGRAM CONTACT

Cherrie M. Hughes
Assistant Director or Industrial Outreach
Office of Research
University of Florida
239 Grinter Hall
P.O. Box 115500
Gainesville, FL 32611-5500
Phone (352) 273-3052
E-mail: cherriehughes@ufl.edu

Attachment I
FHTCC Matching Funds Research Program

University of Florida

General Solicitation
and
SBIR/STTR Phase II Solicitation

Proposal Form

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I. Cover Page

Proposal Title:

Indicate General Solicitation or SBIR/STTR Phase II Solicitation _____

UF Principal Investigator

Department

Signature

Contact Info (Phone, E-mail)

UF Co-Principal Investigator(s)

Department(s)

Signature(s)

Contact Info (Phone, E-mail)

Industry Partner Contact and Title

Company, Division/Group, # of Employees

Address including County in the Florida High Tech Corridor

Signature

Contact Info (Phone, E-mail)

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

Industry Partner Cash	FHTCC-UF Cash	Total Cash	Cash Equivalent of Industry Partner In-Kind

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II. Technical Description

- Include a three-sentence layman's abstract that will be published if your project is awarded
- Provide a technical description of your proposed project. Maximum of 5 pages, single spaced, 12-point font and one-inch margins on top, bottom, left and right
- Include up to two pages describing resultant products or services that the project or follow-up collaborative research might produce, as well as potential avenues to commercialization
- You may include up to two additional pages for references

III. Budget: Include a detailed budget for the FHTCC-UF match request and the industry partner cash funds. UF standard indirect costs are not applicable for the FHTCC-UF matching portion, but must be included in the industry partner cash funds. It is preferred that FHTCC-UF matching funds be used for faculty and student support rather than equipment, travel, etc. whenever possible. Please include a list of the in-kind match from the HTC industrial partner on the bottom of the budget for evaluation purposes. See Section IIC of this solicitation for further detail.

IV. Industry Commitment: Include evidence of commitments from a Florida High Tech Corridor industrial partner (see HTC eligible counties in Section I of this solicitation). A letter on company letterhead - signed by an authorized representative of the company – that lists the project title, amount, and type of support (i.e., cash and in-kind) is required.

V. Follow-on Collaborative Research: FHTCC-UF program funds are provided to seed longer-term collaborative research between UF and the Industry Partner that will attract follow-on funding from external sources – including, but not limited to, industry, federal or state agencies, and/or private sector sources such as private investment or venture capital. As such, provide as much detail as possible as to plans for attracting follow-on funding for further collaborative research with UF researchers. This may include high-potential federal programs to which the team may apply for funding.

VI. Special Special Terms and Conditions: It is expected that intellectual property terms and other conditions per the UF Standard Research Agreement will be appropriate. If this is the case, indicate “No deviations from UF Standard Research Agreement” in this section. In rare instances, proposed deviations from these terms and conditions may be negotiated between the Industry Partner and UF. In such cases, clearly identify deviations that have been approved by the authorized UF and company representatives and provide justification for why these deviations are necessary. The FHTCC-UF Evaluation Committee reserves the right to agree with or challenge these proposed deviations when approving FHTCC-UF matching funding.

VII. Resumes: Include resumes/CVs for the Principal Investigator and any Co-Principal Investigators. Also include a list of the most recent publications dealing with the proposed research.