



Department of  
Development

John R. Kasich, Governor

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## Ohio Third Frontier Open Innovation Incentive

### Fiscal Year 2012 Request for Proposals (RFP)

- RFP Released – April 2, 2012
- Bidder's Conference – April 11, 2012 at 2:00 p.m.
- Letters of Intent due by 2:00 p.m. – April 18, 2012
- Written Questions – through May 2, 2012
- Proposals due by 2:00 p.m. – May 4, 2012
- Review and Award approximately – June/July 2012



**RFP Administered by:**  
The Ohio Department of Development  
Office of Technology Investments  
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## TABLE OF CONTENTS

1	OHIO THIRD FRONTIER STATEMENT OF SOLICITATION .....	3
1.1	Background .....	3
1.2	Request for Proposals Issuance .....	4
1.3	The RFP Process and Awards Process.....	4
2	PROGRAM DESCRIPTION.....	5
2.1	Purpose .....	5
2.2	Goal and Objective.....	5
2.3	Eligibility.....	6
2.3.1	Technology Subject Matter .....	6
2.3.2	Lead Applicant.....	6
3	GENERAL PROPOSAL REQUIREMENTS.....	7
3.1	General Instructions .....	7
3.2	Trade Secret Information.....	8
3.3	Order and Content of Proposal Sections .....	9
3.3.1	Application Information Page .....	9
3.3.2	Trade Secret Information .....	9
3.3.3	Lead Applicant Information .....	9
3.3.4	Table of Contents .....	9
3.3.5	Scope of Work Plan.....	9
3.3.6	Experience and Qualifications.....	11
3.3.7	Budget Narrative .....	12
3.3.8	Letters of Reference.....	14
3.4	Page Limitations.....	14
4	EVALUATION CRITERIA.....	14
5	APPENDICES .....	15

# Ohio Third Frontier Open Innovation Incentive

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## 1 Ohio Third Frontier Statement of Solicitation

### 1.1 Background

The Ohio Third Frontier represents an unprecedented and bipartisan commitment to expand Ohio's technological strengths and promote commercialization that leads to economic prosperity throughout Ohio. Designed to support world-class, commercializable research programs, nurture early-stage companies, and foster technology development that makes existing industries more productive, the Ohio Third Frontier creates opportunity through innovation. In targeted areas of technology, the multi-year State of Ohio initiative supported with more than \$2 billion is catalyzing the growth of existing and emerging industry clusters throughout the state by:

- Improving the capacity of Ohio's entrepreneurial ecosystem to deliver services and attract capital necessary to create and grow scalable technology-based enterprises;
- Increasing the technical capabilities and business competencies of Ohio value chains within key existing and emerging driver industries and pursue targeted attraction to fill gaps; and,
- Cultivating a highly collaborative and innovative environment that encourages Ohio's community of technology seekers and solvers to regularly exchange new knowledge in pursuit of targeted market driven commercial opportunities.

For more information about the Ohio Third Frontier, please see [www.ohiothirdfrontier.com](http://www.ohiothirdfrontier.com).

Consistent with the strategic goals, the Ohio Third Frontier investments represent a balanced portfolio of programming that proactively identifies opportunities throughout the Technology Commercialization Framework (Framework). As a result, all Ohio Third Frontier programs share a common goal — to promote technology-based economic development within Ohio by funding activities that move technology from the idea to market. This goal requires the State to design programs, evaluate proposals and projects, leverage resources, and provide management oversight within the context of the Framework. It is expected that every proposal seeking Ohio Third Frontier funding will clearly demonstrate its understanding of the Framework, and will be able to articulate its scope of work within the Framework's model.

For more information about the guiding principles within the Framework, please see: <http://www.thirdfrontier.com/Documents/RecentPublications/TechCommFramework-Complete.pdf>.

## 1.2 Request for Proposals Issuance

This Request for Proposals (RFP) is being issued for funds to be awarded under the Ohio Third Frontier. This RFP will be released by publication on the Ohio Third Frontier website at [www.ohiothirdfrontier.com/OII.htm](http://www.ohiothirdfrontier.com/OII.htm).

The Ohio Third Frontier Commission reserves the right to fund any proposal in full or in part, to request additional information to assist in the review process, to reject any or all proposals responding to this RFP, and to re-issue the RFP and accept new proposals if the Ohio Third Frontier Commission determines that doing so is in the best interests of the State of Ohio. Issuing this RFP does not bind the state to make an award of Ohio Third Frontier funds. Any award of Ohio Third Frontier funds in respect to this RFP will be subject to availability of funds as provided in the Ohio Revised Code Section 126.07.

The Ohio Department of Development (Development) administers this RFP. Development reserves the right to adjust the dates for this RFP for whatever reason it deems appropriate. Development's Office of Technology Investments will administer all funds awarded under this RFP.

## 1.3 The RFP Process and Awards Process

The RFP process will consist of the following steps:

- Release of RFP
- Bidder's Conference (Optional)
- Letter of Intent (LOI) (Required) – **A proposal will not be reviewed unless an LOI for such proposal has been submitted by the LOI deadline (see Appendix A for required LOI content).**
- Questions and Answers (Q&A)
- Submittal of proposals

Each of these steps is discussed in Appendix A – RFP Process, Awards Process and Mandatory Compliance.

The Awards Process will consist of the following steps:

- Proposal Review and Evaluation Procedures
- Award Decision
- Award and Agreement Preparation and Execution

Each of these steps is discussed in Appendix A – RFP Process, Awards Process and Mandatory Compliance.

**All** questions regarding this RFP must be submitted in writing via e-mail to [OII2012@development.ohio.gov](mailto:OII2012@development.ohio.gov) with a subject line of "Open Innovation Incentive Q&A".

## 2 Program Description

### 2.1 Purpose

Open Innovation is a relatively new paradigm where organizations externally source innovations instead of relying solely on internal research and development (R&D) for technology/product innovations. It enables companies to effectively direct limited resources and increase productivity by tapping into external ideas, knowledge, and expertise without re-inventing the wheel. The practice of Open Innovation was pioneered by Procter & Gamble (P&G) starting in 2000 through the highly successful P&G Connect and Develop innovation model, and has seen increasing adoption by companies over the last decade.

While companies on the scale of P&G have been more likely to engage in Open Innovation, middle market companies which may lack internal R&D capabilities and could benefit from external innovations have not yet engaged at the same level. The purpose of the Ohio Third Frontier Open Innovation Incentive is to assist Ohio middle market companies new to Open Innovation to engage in the process, leading to an accelerated time to market of Ohio technology products, processes, or services, and increased national and global competitiveness of Ohio industry.

With the rising prominence of Open Innovation over the last decade, this period has seen the advent of Open Innovation Intermediaries, or entities which connect companies in need of assistance with solving specific innovation challenges (Seekers) with solution providers (Solvers). In addition to providing a number of services to facilitate the Open Innovation process, these Intermediaries typically employ online marketplaces for Seekers and Solvers. Development is seeking proposals from Open Innovation Intermediaries for the services requested in this RFP.

### 2.2 Goal and Objective

The goal of the Open Innovation Incentive is to incentivize and assist Ohio middle market companies (Seekers) in externally sourcing innovations needed to overcome specific technical obstacles encountered with the development of a next-generation or new product, service, or process, thus accelerating the time to market and resulting in positive economic activity in Ohio. The targeted Seekers are Ohio middle market companies with a high likelihood of successfully implementing solved innovation challenges and realizing meaningful Ohio economic impacts within no more than three years. The Open Innovation Incentive does not target large companies which are already extensively engaged in Open Innovation and have multi-institutional collaborations, and it does not target start-up companies or small businesses which may not have the resources to carry a project to the point of realizing meaningful Ohio economic impacts within three years. A Seeker must be an Ohio for-profit company, while a solution provider (Solver) may be located in Ohio or outside the state.

In order to achieve this goal and overcome the potential barriers to Open Innovation for Ohio middle market companies, the Open Innovation Incentive objective is to assist Ohio Seekers with a portion of the transactional costs of utilizing the services

of one or more Open Innovation Intermediaries selected through this RFP. The remaining transactional costs and the full cost of the solution are to be borne by the Seeker.

This RFP seeks proposals from Open Innovation Intermediaries to provide the services outlined in Section 3.3.5. Development anticipates selecting multiple Intermediaries to provide these services.

## **2.3 Eligibility**

### **2.3.1 Technology Subject Matter**

Preference will be given to Seeker innovation challenges in targeted technology focus areas. As such, the Intermediaries are asked to describe organizational capabilities and track record in the following areas:

- Advanced Materials related to advanced polymers, ceramics, composites, carbon fibers and nanotubes, and specialty metals and alloys
- Aeropropulsion Power Management
- Fuel Cells and Energy Storage
- Medical Technology related to imaging, surgical instruments/equipment, implant devices, and regenerative medicine
- Software Applications for Business and Healthcare
- Sensing and Automation Technologies
- Situational Awareness and Surveillance Systems
- Solar Photovoltaics

### **2.3.2 Lead Applicant**

A Lead Applicant is the entity that submits a proposal and will be legally and financially responsible for the administration of any resulting award of Ohio Third Frontier funds. The Lead Applicant will be responsible for the administration of the proposal should it be awarded.

The Lead Applicant must be an established Open Innovation Intermediary organization with an existing broad and deep global network of Solvers, a widely utilized online marketplace for Seekers and Solvers, and a strong track record of successfully executed deals between Seekers and Solvers resulting in positive business impacts for the Seeker.

The Lead Applicant must have a Principal Place of Business in Ohio at the time the Grant Agreement is executed. A Principal Place of Business is a facility located in the State of Ohio where the Lead Applicant, who is registered with the Secretary of State to conduct business in Ohio, maintains physical operations managed by a senior representative of the Lead Applicant

who is authorized to make decisions and to obligate the Lead Applicant and its resources. This facility must be owned by the Lead Applicant or be subject to a long-term lease.

A Lead Applicant which does not have a Principal Place of Business in Ohio at the time of proposal submission will be required to do so by the time a Grant Agreement with Development is executed. In this case, the Lead Applicant is expected to provide a plan and a timeline in the proposal for setting up a Principal Place of Business in Ohio.

Lead Applicants that become Grantees must maintain eligibility while the Grant is open. A Grantee that loses eligibility forfeits its award and may be required to repay the State of Ohio the full amount of the monies it has received, plus interest.

## **2.4 Funding**

Development anticipates awarding up to \$8 million in Grants through the Fiscal Year 2012 Open Innovation Incentive program. Development anticipates selecting multiple Intermediaries, on a highly competitive basis, taking into account the efficiency of the budget proposed by the Intermediaries and with a goal of selecting at least two and no more than four Intermediaries. The Intermediary budgets should be developed with this in mind.

## **2.5 Term of Project**

The Project is the plan of activity or activities that make up the total scope of work for which an award of Ohio Third Frontier funds is requested and for which a proposal is approved. The Project Period during which the work funded by the Grant will take place will be no more than two years. The total term of the Open Innovation Incentive Grant Agreements during which reporting may be requested will be up to four years.

# **3 General Proposal Requirements**

## **3.1 General Instructions**

- Submit a Letter of Intent and receive an LOI ID Number from Development.

Proposals must be submitted in the following manner:

- Proposals are to be submitted electronically in PDF format to [OI2012@development.ohio.gov](mailto:OI2012@development.ohio.gov) with subject line "Open Innovation Incentive Proposal Submission".
- Proposals must be received by Development by the specified date and time. It is the Lead Applicant's responsibility to ensure timely submission of a complete proposal based on all requirements of this RFP.
- Proposals are to be submitted on 8.5 x 11-inch paper.

- Margins must not be less than  $\frac{3}{4}$  of an inch on all sides, with the exception of the form(s) found in Appendix B – Application Forms of this RFP.
- Font must be 11 point or larger with no more than six lines per inch.
- All pages must be numbered consecutively using the format “Page [#] of [total number of pages]” (e.g., Page 2 of 25).
- The Lead Applicant name and LOI number must appear at the bottom of each page.
- Proposals should not include color figures that cannot be understood when photocopied in black and white.
- The first page of the proposal must be the Application Information Page.
- Do not include a cover or cover letter other than the Application Information Page.

### 3.2 Trade Secret Information

All Lead Applicants are strongly discouraged from including in a proposal any information that the Lead Applicant considers to be a “trade secret,” as that term is defined in Section 1333.61(D) of the Ohio Revised Code. All information submitted in response to this RFP is public information unless a statutory exception exists that exempts it from public release. If any information in the proposal is to be treated as a trade secret, the proposal must:

- Identify each and every occurrence of the information within the proposal with an asterisk before and after each line containing trade secret information and underline the trade secret information itself.
- Check the “This Application Does include information considered a ‘trade secret’” box on the Application Information Page.
- Include a page immediately after the Application Information Page that lists each page in the proposal that includes trade secret information and the number of occurrences of trade secret information on that page.

To determine what qualifies as trade secret information, refer to the definition of “trade secret” in the Ohio Revised Code at 1333.61(D), which is reproduced below for reference:

(D) “Trade Secret” means information, including the whole or any portion or phase of any scientific or technical information, design, process, procedure, formula, pattern, compilation, program, device, method, technique, or improvement, or any business information or plans, financial information, or listing of names, addresses, or
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telephone numbers, that satisfies both of the following:

- (1) It derives independent economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use.
- (2) It is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

Development requires non-disclosure agreements from all non-Development persons who may have access to proposals containing trade secret information, including evaluators.

### **3.3 Order and Content of Proposal Sections**

#### **3.3.1 Application Information Page**

The first page of the proposal must be the completed Application Information Page found in Appendix B – Application Forms to this RFP.

#### **3.3.2 Trade Secret Information**

This section of the proposal must disclose any trade secret information included in the proposal. This page is only required and must be included if there is any information to be treated as a trade secret in the proposal. Follow the instructions in Section 3.2 of this RFP.

#### **3.3.3 Lead Applicant Information**

Complete and include the Lead Applicant Contact Information page. One individual may serve in more than one capacity.

#### **3.3.4 Table of Contents**

Prepare a table of contents with detail for two levels of headings in the proposal. This section should also include a list of charts, figures, and tables that appear in the proposal with a page number for each.

#### **3.3.5 Scope of Work Plan**

In the order provided, this section of the proposal's narrative must contain information that addresses the subject matter delineated below.

**Introduction and Company Information.** Describe the Lead Applicant's background, nature of business activities, business model, and experience. The Lead Applicant should identify and substantiate that it is well-qualified to provide the services described in this RFP.

The Lead Applicant should include information regarding the typical profile of its customers, such as the type and size of the Seeker organizations it serves, and the type of Solvers which have typically been most successful in addressing the innovation challenges (e.g. for-profit small businesses,

institutions of higher education, etc.). Discuss the breadth and depth of the Lead Applicant's active Solver network, and relate this to the Technology Subject Matter in Section 2.3.1.

Furthermore, the Lead Applicant should include any defining characteristics and typical stage of development of its innovation challenges, and should relate this information to the Technology Subject Matter in Section 2.3.1 and the Technology Commercialization Framework referenced in Section 1.

The Lead Applicant should provide insight into its typical monthly deal flow over the past year in the form of challenges posted, the percentage of challenges solved, the average timeframe between challenge posting and Seeker/Solver agreement execution, impacts on the Seekers' organizations resulting from solving the challenges, and any other pertinent information.

**Project Plan.** Lead Applicants should provide a detailed plan to address the following services, where applicable:

- As part of the Intermediary's online marketplace, provide a prominent and easily accessible venue co-branded with the Ohio Third Frontier, where innovation challenges from Ohio Seekers can be posted. This information should assist Ohio Solvers in easily identifying Ohio challenges, as well as help encourage additional Ohio Seekers to participate. Please note that in addition to this Development may, at its discretion, provide its own separate online venue containing aggregate information such as links to each Ohio innovation challenge posted on Intermediary websites for ready access to Ohio Solvers, educational information regarding Open Innovation, conference notifications and materials, Open Innovation success stories, etc.
- Create and implement a strategy for wide recruitment of new Ohio middle market Seekers into the marketplace.
- Confirm the eligibility of each Seeker as a registered for-profit Ohio company. Each Seeker must be appropriately registered with the Ohio Secretary of State.
- Request the Ohio economic impact projections and timeframe with each innovation challenge, and assess the likelihood that the Seeker will successfully implement the solved challenge and create meaningful Ohio economic impacts within three years.
- Provide a brief written justification to Development for each approved and non-approved innovation challenge. Clearly describe the benefit which will accrue to Ohio as a result of solving the challenge. Please note that these will be public documents and as such must be of high-quality and comply with trade secret policies outlined in Section 3.2.
- Assist Seekers in refining and targeting innovation challenges.
- Assist Seekers by engaging a broad global pool of targeted Solvers, and screening and identifying the most promising solutions. Create and implement a strategy to engage current and potential Ohio Solvers.
- Facilitate intellectual property negotiations and contractual agreements for Seekers who require assistance in this area.

- Result in solved challenges and successfully executed agreements between Seekers and Solvers.
- Provide Development with a list of companies recommended to receive Ohio Third Frontier funds, and the appropriate contacts within the companies. Development or a designate may use this information to conduct surveys of companies to assess factors such as economic impacts resulting from the Open Innovation Incentive. This information must be provided with each reimbursement request submitted to Development.
- Issue a standard welcome letter to each funded company co-designed and co-branded with the Ohio Third Frontier.
- Create a professional webinar on the Ohio Third Frontier Open Innovation Incentive which will be shared with stakeholders across Ohio to facilitate engagement and recruitment.
- Report quarterly progress data to Development during the Project Period for quarters ending March 31, June 30, September 30, and December 31 of each calendar year, including but not limited to:
  - Total number of innovation challenges posted by Ohio Seekers after the award date;
  - Number of Ohio Seekers who have posted one or more innovation challenges after the award date;
  - Number of Ohio Seekers who have posted their first innovation challenge after the award date, in other words have not previously utilized the services of an Open Innovation Intermediary;
  - Number of agreements successfully executed between Seekers and Solvers, and average and median time between challenge posting and agreement execution;
  - Average, median, minimum, and maximum size of challenge; and
  - Technology focus areas of solved challenges and location of Solvers (name of State if within U.S., name of country if outside of U.S.).
- Whenever possible, provide anecdotal success stories to Development.
- Maintain on-going communications with Development regarding program status.
- If requested by Development, periodically participate in Ohio Third Frontier Commission or other meetings to present information regarding the program and the results. There are up to four Ohio Third Frontier Commission meetings, scheduled quarterly, in each fiscal year, and additional meetings may be scheduled as necessary. In addition, the Intermediary may be asked to take part in Open Innovation conferences to educate and facilitate engagement of Ohio entities in Open Innovation.

### 3.3.6 Experience and Qualifications

This section of the proposal's narrative must contain information that addresses the subject matter delineated below.

**Organizational Capabilities.** Provide a description of relevant organizational experience and capabilities in sufficient detail to evaluate whether the Lead

Applicant has the direct experience and capabilities needed to effectively deliver the services requested in Section 3.3.5. Discuss the Lead Applicant's expertise and experience pertaining to the Technology Subject Matter listed in Section 2.3.1. The Lead Applicant should also describe its track record including successfully executed agreements between Seekers and Solvers and the Seeker organizational impacts.

**Demonstrated Leadership Assets.** Identify the Program Manager and/or Project Manager and other Key Personnel who will lead the Open Innovation Incentive, their roles and responsibilities, and the rationale for their selection for key positions. Address how the Key Personnel will monitor and maintain progress, control quality, and resolve problems.

**Management Plan.** Discuss plans for internal means of communication, coordination of data and information management, evaluation and assessment of progress, allocation of funds and personnel, and other specific issues relevant to the proposed activities.

**Biographical Sketches.** Biographical information is limited to no more than five individuals whom the Lead Applicant considers key to the success of the Open Innovation Incentive. Biographical sketches shall be no more than one page each and one sketch must be included for each Key Personnel up to the total of five individuals.

### **3.3.7 Budget Narrative**

The budget narrative must clearly describe all uses of funds for the Project, which cannot exceed two years. The Lead Applicant is to provide a detailed budget, forecast, and related explanations that are consistent with the level of resources being requested.

Development will fund up to 50 percent of Intermediary transactional costs while the remaining 50 percent of transactional costs and 100 percent of solution costs will be the responsibility of the Seeker. Transactional costs are the fees a Seeker would pay to an Intermediary in exchange for its services, and exclude solution costs. Solution costs are paid by the Seeker to its selected Solver in exchange for providing the winning solution, and include intellectual property and any contractual/collaboration costs for a Solver's services.

The Lead Applicant must provide the following proposed budget information:

- Transactional costs for the services outlined in Section 3.3.5. Each of these services must be clearly listed and the scope of each service clearly explained in the budget narrative (see examples below). In addition, make sure to clearly explain the proposed cost structure of the transactions such as a flat fee or a fee on the front end followed by a success fee on the back end. With either cost structure, any Ohio Third Frontier funds deployed toward transactional costs must be at least equally matched by the Seeker, and proof that a Seeker has

submitted a payment for its share of the transactional costs must be included with each reimbursement request.

- Fixed costs for the serviced outlined in Section 3.3.5 which are not tied to the number of transactions (see examples below). Please note that \$100,000 of the fixed costs is reserved for other services such as generating content for an Ohio Third Frontier Open Innovation website collaboratively with any other selected Intermediaries, which is separate from the Ohio marketplace.

	<b>At 6 months</b>	<b>At 12 months</b>	<b>At 18 months</b>	<b>At the end of Project Period</b>
<b>Estimated number of transactions</b>				

<b>Cost per transaction covered by the State</b>	<b>Cost per transaction not covered by the State</b>

<b>Total fixed costs during the Project Period, including \$100,000 reserved for services such as generating content for an Ohio Third Frontier Open Innovation website</b>	
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Examples of the services outlined in Section 3.3.5 which are tied to the number of transactions may include:

- Confirm Seeker eligibility as a registered Ohio for-profit company
- Assess likelihood and timeframe of Ohio economic impacts
- Provide a brief written justification to Development for each approved and non-approved challenge, clearly describing the benefit which will accrue to Ohio if a solution is implemented
- Assist Seekers in refining and targeting innovation challenges
- Engage a global pool of targeted Solvers
- Screen and identify the most promising solutions
- Facilitate intellectual property negotiations and contractual agreements

Examples of the services outlined in Section 3.3.5 which are associated with fixed costs and not tied to the number of transactions may include:

- Provide a prominent Ohio marketplace
- Create and share a professional webinar on the Open Innovation Incentive
- Report quarterly progress data to Development
- Maintain on-going communications with Development
- Participate in Ohio Third Frontier Commission meetings

### 3.3.8 Letters of Reference

A maximum of five letters from organizations who are familiar with the Lead Applicant's expertise and project management is required. Each letter is to be no more than one page and should state when the Lead Applicant provided services to the supportive organization and the nature and outcome of those services.

### 3.4 Page Limitations

Any pages beyond the page limits listed below will be eliminated from the proposal before it is sent for review and evaluation. Except as otherwise noted, appendices or other methods to augment the information presented in the proposal are not allowed. Reference to web-based information to supplement the proposal is not permitted, and such references will not be considered in the evaluation.

**Work Plan** – Up to four pages for the Introduction and Company information; Up to 8 pages for the Project Plan

**Experience and Qualifications** – Up to three pages

**Biographical Sketches** – No more than five pages (a maximum of five biographical sketches of Key Personnel with each bio limited to one page)

**Budget Narrative** – Up to four pages

**Letters of Reference** – A maximum of five letters with no more than one page for each letter. Letters may not have attachments or appended materials of any kind.

## 4 Evaluation Criteria

Only the most meritorious proposals are sought for funding. Proposals will be evaluated based on responsiveness to all the requirements of this RFP and on the Lead Applicant's response to any additional information that may be requested. Implicit in those requirements and evaluation criteria is the quality of the proposal and budget.

The following criteria have been designated with the highest relevance to and weighting for the Open Innovation Incentive:

- Alignment of the proposal with the Open Innovation Incentive purpose, goals, objectives, eligibility, and funding as described in Section 2.
- Experience and credentials as an established and recognized Open Innovation Intermediary with an existing and widely utilized marketplace for Seekers and Solvers.
- Experience and qualifications of proposed Project Manager and other Key Personnel assigned to the Project.
- Track record in the form of successfully executed deals between Seekers and Solvers and the resulting impacts on the Seekers' organizations, and the percent of posted innovation challenges which result in successful deals.

- Strategy to recruit as many new Ohio middle market Seekers into the marketplace as possible, while ensuring that the challenges are meaningful and impactful to the Seeker organization and the Ohio economy.
- Process of assessing whether economic impacts will likely occur in Ohio within no more than three years if the innovation challenge is solved.
- Methodology in engaging potential Solvers and facilitating the screening process to assist in identifying the top solutions. Breadth and depth of the existing global Solver network.
- Strategy to reach out to current and potential Ohio Solvers.
- Strategy for intellectual property transfer.
- Core competence and track record in facilitating intellectual property negotiations, contractual agreements, and disbursement of funds between Seekers and Solvers.
- Methodology and ability to track the programmatic data required by Development.
- Cost estimates for providing the requested services.

The evaluation criteria are designed to support the mission and goals of Ohio Third Frontier and its various programs.

## **5 APPENDICES**

- A. Request for Proposals Process, Awards Process, and Mandatory Compliance**
- B. Application Forms**