



Department of
Development

John R. Kasich, Governor

Christiane Schmenk, Director

**Ohio Third Frontier
Entrepreneurial Signature Program
Fiscal Year 2012
Request for Proposals (RFP)**

- RFP Released – December 9, 2011
- Letters of Intent due by 2:00 PM – December 23, 2011
- Written Questions – through January 13, 2012
- Proposals due by 2:00 PM – February 2, 2012
- Review and Award approximately – April 2012



RFP Administered by:
The Ohio Department of Development
Technology and Innovation Division
77 South High Street, 25th Floor
Columbus, OH 43215

77 South High Street
P.O. Box 1001
Columbus, Ohio 43216-1001 U.S.A. 614 | 466 2480
800 | 848 1300
www.development.ohio.gov

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Ohio Third Frontier Entrepreneurial Signature Program

Fiscal Year 2012 Request for Proposals (RFP)

1 Ohio Third Frontier Statement of Solicitation

1.1 Background

The Ohio Third Frontier (OTF) represents an unprecedented and bipartisan commitment to expand Ohio's technological strengths and promote commercialization that leads to economic prosperity throughout Ohio. Designed to build world-class research programs, nurture early-stage companies, and foster technology development that makes existing industries more productive, OTF creates opportunity through innovation. In targeted areas of technology, the multi-year State of Ohio initiative supported with over \$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 OTF, please see www.thirdfrontier.com.

Consistent with the strategic goals, OTF investments represent a balanced portfolio of programming that proactively identifies opportunities throughout the Technology Commercialization Framework (Framework). As a result, all OTF Programs share a common goal — to promote technology-based economic development within Ohio by funding activities that move technology from 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 OTF 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 contained 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 OTF. This RFP will be released by publication on the OTF website at <http://www.thirdfrontier.com/EntrepreneurialSignatureProgram.htm>.

The Ohio Third Frontier Commission (OTFC) 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 OTFC 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 OTF Funds. Any award of OTF Funds in respect to this RFP will be subject to availability of funds as provided in 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 Technology and Innovation Division 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
- Letter of Intent
- Questions & 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 ESP2012@development.ohio.gov with a subject line of "ESP Q&A".

2 Program Description

2.1 Purpose

The FY2012 Ohio Third Frontier Entrepreneurial Signature Program (ESP) is a direct response to OTFC's recognition of the need to provide support to Ohio entrepreneurs. This initiative will target activities of the ESPs that have achieved

measurable economic benefits for the State. Proposed activities should support Ohio technology-based companies in the Imagining, Incubating, and Demonstrating phases of commercialization. This RFP offers support to ESP Lead Applicant organizations and their Collaborators that can establish that they require additional funding to continue successful and regionally supported elements of their programs or desire funding for new service activities to address an identified need within the region.

2.2 Goals

The specific goals of the FY2012 ESP are to:

- Continue to provide regional entrepreneurial services with demonstrated value through the six ESP regional networks;
- Maintain an entrepreneurial assistance climate that supports the creation, retention, and attraction of investable technology companies in Ohio;
- Build a pipeline of technology company deal flow that increasingly attracts the resources of venture capital firms both within and outside of Ohio; and,
- Build a network of universal support for technology companies within their geographic region.

2.3 Eligibility

2.3.1 Subject Matter

The ESP will fund grant Proposals focusing on:

- Entrepreneurial service opportunities that are focused on the following technology 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
- Entrepreneurial services provided only to Ohio technology companies primarily in the Imagining, Incubating, or Demonstrating phases of commercialization or to technology companies currently located outside Ohio that commit to locating a Principal Place of Business in Ohio. A “Principal Place of Business” is a facility located in the State of Ohio where the company, 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 company and its resources. This facility must be owned by the Lead Applicant or be subject to a long-term lease. As is characteristic of businesses in one of these three phases of commercialization, the companies will, in almost all cases, not be sufficiently mature to attract venture capital or other forms of commercial financing;

- Entrepreneurial services that have a record of success, are deemed necessary within the region; and
- Opportunities that have a functional relationship with regional sources of capital and entrepreneurial support organizations.

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 OTF Funds. The Lead Applicant will be responsible for the administration of the Proposal should it be awarded. The Lead Applicant must also serve as both administrative and technical director of the Project.

The Lead Applicant must be one of the following existing ESP Grantees:

- Cincinnati USA Regional Chamber (Southwest Ohio)
- Dayton Development Coalition (West Central Ohio)
- JumpStart, Inc. (Northeast Ohio)
- Ohio University (Southeast Ohio)
- Rocket Ventures, LLC (Northwest Ohio)
- TechColumbus (Central 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.

2.3.3 Collaborators

Development defines a Collaborator as an organization, institution, company or other legal entity that is not an affiliate of the Lead Applicant which is anticipated to receive OTF Funds or an individual not employed by or related to the Lead Applicant which is anticipated to receive OTF Funds and/or is contributing to Cost Share.

The ESP requires the ongoing involvement of Collaborators. Support for Collaborators may be included in the proposal if they are involved in the delivery of services. All Collaborators and/or Cost Share providers associated with the request for new continuity funding must be listed on the Collaborator Information Form ([Appendix B – Application Forms](#)) and provide Commitment Letters as described in Section 3.3.8 of this RFP.

2.4 Funding and Cost Share

Development anticipates awarding up to \$40 million in Grants through the FY2012 ESP. Grant requirements are outlined below:

- The Lead Applicant's plan must be based on the level of funding needed to provide ESP services through FY 2014.
- The funding requested may not be used to provide due diligence services to investment funds or to provide fund management services to new investment funds. Continuing support of existing funds is an allowable use of Grant funds.
- The monetary value of the Cost Share commitment must be at least one dollar (\$1) for every dollar of OTF Funds requested (i.e., a ratio of 1:1), with a minimum of fifty percent (50%) of the required match in cash.

Please note: a Collaborator does not have to provide any Cost Share as part of the proposed effort in order to be a participant in the Proposal activities. Therefore, Cost Share may be satisfied by contributions from any or all participants in any distribution deemed appropriate.

- The Lead Applicant may draw on the Grant to reimburse itself or its Collaborators for budgeted expenses. However, before reimbursements will be authorized, the Grantee must present to Development proof that the Grantee has current access to Cost Share in an amount dictated by the Cost Share ratio contained in the Proposal.

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 OTF Funds is requested and for which a Proposal is approved. The term of ESP Grant Agreements is through June 30, 2014. For an additional three (3) years, the Grantee will be required to submit reports to Development detailing the overall status of the Project and the economic impacts on Ohio.

3 General Proposal Requirements

3.1 General Instructions

- Submit Letter of Intent and receive a Letter of Intent ID Number from Development.
- Submit separate Proposals for each proposed Project.

Proposals must be submitted in the following manner:

- One original paper copy marked as "Original", three additional paper copies marked "Copy" and two CDs each containing a complete single, unlocked, searchable PDF file of the Proposal.

- Proposals must be received at the location specified below before the RFP closes. Proposals may not be submitted by fax or email.

Ohio Department of Development
 Technology and Innovation Division, Attention: ESP
 77 South High Street, 25th Floor
 Columbus, OH 43215

- 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 forms found in Appendix B – Application Forms and Budget Forms of this RFP.
- Font must be 11 point or larger with no more than 6 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 Proposal title, Lead Applicant name, and Letter of Intent 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.
- Proposals must be stapled once in the upper left hand corner and must not be bound.

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 Applicant 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 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 Applicant 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 and 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 and Collaborator Information

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

Complete and include the Collaborator Information Form for each Collaborator. Include the lead individual for each Collaborator on this form.

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 Abstract

Prepare an Abstract summarizing the proposed Project and its expected outcomes. This section will be used in public documents, including press releases, and must be understandable by the general public, should minimize use of jargon and technical language, and be written so that a non-technical person can understand it. The Abstract may not contain any trade secret information.

3.3.6 Overall Structure and Function of ESP

Provide a description of the structure and function of the ESP regional network as it is expected to operate in FY 2013 and 2014. Details should include:

- Description of ESP lead organization and relevance to ESP regional network;
- Description of each Collaborator and relevance to the ESP regional network;
- Description of deal flow including: expected major sources of high quality deal flow, expected number of deals by type (inquiries vs. qualified deals), and expected number of deals by phase of commercialization;
- Mechanisms for providing universal services supporting minority/EDGE opportunities or to those that may not otherwise fit within the signature areas;
- Brief description of each major service activity;
- Brief description of any Funds collaborating with the ESP lead organization; and
- Management structure and key personnel.

Describe any major proposed changes in the ESP's structure and functions that are needed to improve the operation of the ESP regional network. Identify specific changes from the plan presented in the FY2012 scope of work and provide a sound justification for those changes.

3.3.7 Proposed Services

From the description above, identify each service activity for which funding is being requested. Details should include:

- History of the activity, identification of the organizations involved in its delivery, and its relevance to achieving the goals of the ESP regional network;
- Qualitative and, to the extent possible, quantitative evidence of the success of the activity in supporting the overall goals of the ESP regional network;

- Evidence, such as identification of a continuing or increased level of activity in an industry or the entrepreneurial community, of the ongoing need for the service activity;
- Changes proposed to effect defined improvements in services and the justification for those changes;
- Identification of proposed new service activity; justification of need for new activity and magnitude of funding required; and, explanation of how this additional activity will benefit the ecosystem; and,
- A projection of A Metrics (see Section 1 for more information) that the Lead Applicant, as well as any partners, commits to achieve through this proposal. For prior OTF Grant(s) for entrepreneurial services, compare previous projections of A metrics expected with actual A metrics generated to date. Provide an explanation of any material deviations from historic experience and trends.

3.3.8 Budget

The budget must clearly describe all sources and uses of funds for the proposed Project Period, 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 resource being requested. In preparing the budget and forecast, the Lead Applicant must use the applicable budget forms contained in [Appendix B – Budget Forms](#). The Lead Applicant should also include a budget narrative that provides details about the source and use of funds.

Cost Share Requirements – Magnitude: The monetary value of the Cost Share commitment must be at least one dollar for every dollar of OTF Funds requested (i.e., a ratio of 1:1). All Cost Share must be identified in the Proposal by amount, proposed use, and source. If the Cost Share ratio reflected in a Proposal exceeds 1:1, the higher Cost Share ratio will be used as a requirement for a Grant awarded to that Proposal. Cost share may be a combination of cash or donated services with a minimum of 50% in cash.

Cost Share must be documented on the budget forms. Commitment letters are required from each organization contributing Cost Share and must be signed by a representative authorized to commit the organization to the proposed Project and the Cost Share described. Organizations contributing Cost Share in the form of Donated Services must complete both a commitment letter and the Donated Services Provider Information Form included in [Appendix B - Budget Forms](#). The Cost Share must represent a specific new commitment, including the dollar amount or value, to the Project described in the Proposal.

In its Proposal, a Lead Applicant may bid both Current and Future Cost Share Commitments. The use of Future Cost Share Commitments should be limited to those potential funders with unique budget process and cycles. A description of the relevant budget cycle and timing of the funding announcement should be included in the Commitment letter.

Cost Share Requirements – Sources: Cost Share may be in the form of cash or donated services. Cost Share must be expended during the Project Period. Cost Share must be auditable and directly related to entrepreneurial services activities to be provided by the Lead Applicant, Service Provider or Collaborator and documented in the financial books of the Lead Applicant or Collaborator, as the context requires. Prior OTF or other State funding may not be used as Cost Share for this Proposal, and funds awarded under this RFP may not be used as Cost Share against other OTF Projects. All Cost Share reported is subject to audit.

Cost Share Requirements – Constraints: Resources that have already been designated as Cost Share for some other award cannot be used as Cost Share for an ESP award. The Cost Share must be applied to the Project during the Project Period.

The Lead Applicant is solely responsible to have adequate funds to cover all expenses of the Project not covered by the OTF Funds awarded.

Grantees will be held accountable for the Cost Share ratio committed in the Proposal (Cost Share pledged divided by OTF Funds requested) regardless of the actual amount of OTF Funds awarded. If a Lead Applicant proposes a higher Cost Share ratio than required, the Lead Applicant and its Collaborators may not, at any time later, lower the Cost Share ratio.

Budget Forms and Narrative: A Lead Applicant must use the following Budget Forms contained in Appendix B – Budget Forms of this RFP.

Budget Form 1-Lead Applicant Budget is to be used by the Lead Applicant. The total OTF Funds requested in the Proposal must be represented on this form as the Grant amounts that will be used by the Lead Applicant and Collaborators. The Subcontract/Sub-Grant line on this form refers to the funds provided to Collaborators by the Lead Applicant or Cost Share provided by Collaborators.

The Budget Plan should include the expenditure of Cost Share at least in proportion to the ratio of Cost Share to OTF Funds contained in the Proposal. OTF Funds may not be used for the purchase or lease of capital equipment or other similar durable assets. Indirect Costs are limited to a maximum of twenty (20) percent of the total direct OTF Funds requested. An Indirect Cost is a cost that is incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project but nevertheless is necessary to the operation of the organization. These costs are also known as “Facilities & Administrative (F&A) cost”.

The budget should be completed in conjunction with and in support of the Proposal narrative. The Budget Detail should include a detailed explanation of all material assumptions for each line-item on this form.

Budget Form 2-Collaborator Budget is to be completed for each Collaborator that is receiving a Subcontract/Sub-Grant from the ESP and/or is committing Cost Share to the proposed Project.

The total of the requested OTF Funds and related Cost Share detailed on Budget Form 2 must equal the total corresponding amounts of the Subcontract/Sub-Grant line reported in Budget Form 1.

If there are no subcontracts or sub-grants, then this form does not need to be used. However, the Lead Applicant should make a note on the form as to the reason this form is not used.

Budget Form 3-Source of Cost Share requires the Lead Applicant to report the sources of Cost Share by entity and the kind of Cost Share from itself and all Collaborators. A Letter of Commitment on the Cost Share sources letterhead, signed by an authorized representative, must support each Cost Share amount claimed. In addition, any entity providing Donated Services as Cost Share must complete and submit the Donated Services Provider Information Form found in Appendix B – Application Forms. Please note, the Lead Applicant accepts full responsibility for securing and delivering the Cost Share commitments. Such acceptance must be documented by the Lead Applicant in a letter that specifically states that it understands and accepts this responsibility.

Budget Form 4-Lead Applicant Budget Historical requires the Lead Applicant to provide historic data for comparison to proposed budget. The Lead Applicant will list all expenses reimbursed directly by the Ohio Third Frontier or reported directly to the Ohio Third Frontier as Cost Share for FY2011 and provide budget amounts submitted for FY2012. On the same form, the Lead Applicant will also provide the proposed budget amounts for FY2013 and FY2014 as presented in this application.

3.3.9 Collaborator Information/Letters of Commitment

A Commitment Letter must be provided for each Cost Share provider and Collaborator identified as providing new Cost Share or delivering services under the scope of work in this Proposal. Commitment letters may not be more than two (2) pages and may not include appendices or attachments except for those providing a Donated Services Provider Information Form.

The letters must:

- Be submitted on the letterhead of the Collaborator;
- Include the name of the Lead Applicant, the title of the Proposal, and the LOI number assigned by Development;
- Briefly state the nature and duration of the collaboration;
- State how the proposed services will contribute to the strategy of the ESP if the collaboration involves delivery of services;
- State the magnitude of OTF Funds anticipated to be received as part of this Proposal if the collaboration involves delivery of services;

- State the specific amount of the committed Cost Share that matches the Cost Share amount on the corresponding Budget Form 2 if the collaboration involves provision of Cost Share;
- State the source of the Cost Share if the collaboration involves provision of Cost Share;
- State when the committed Cost Share will be available to the Lead Applicant if the collaboration involves provision of Cost Share;
- Be dated and signed by a representative of the Collaborator with the authority to make the Cost Share commitment.

Organizations providing Donated Services as Cost Share must complete the Donated Services Provider Information Form which includes number of hours to be committed, cost per hour, description of the services to be provided, and the total monetary value of the commitment.

General support letters are not allowed. Any such letters submitted will be removed from the Proposal and not transmitted to the external evaluation team.

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.

- Abstract – 1 page
- Overall Structure and Functions of ESP – 10 pages
- Proposed Services – 10 pages
- Budget – use specified forms
- Budget Narrative – Minimum of 2 and maximum of 5 pages total
- Collaborator Information/Letters of Commitment (A maximum of 2 pages per letter and letters may only be submitted from Collaborators or Cost Share providers as defined in section 2.3.3 of this RFP. 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, Budget, and the ability of the Lead Applicant to leverage the State's resources and raise the required Cost Share.

The following criteria have been designated with the highest relevance to and weighting for ESP:

- Alignment of the Proposal with the purpose, goals, objectives, eligibility, funding, and Cost Share requirements of this RFP;
- Quality of the responses to the requirements of this RFP as outlined in the Proposal narrative with emphasis on the following specific elements:
 - Degree to which the Lead Applicant is able to demonstrate that funding is needed to maintain the level of services that have been effective, as evidenced by the historical A Metrics, and are needed in their region;
 - Degree to which the Lead Applicant is able to demonstrate that cash Cost Share is available to fund at least fifty (50) percent of the service activities;
 - Degree to which the Lead Applicant is able to demonstrate the relevance of the proposed service activity to achieving the goals of the ESP regional network;
 - Degree to which the Lead Applicant is able to demonstrate the qualitative and, to the extent possible, quantitative evidence of the success of the activity in supporting the overall goals of the ESP regional network;
 - Degree to which the Lead Applicant is able to evidence the ongoing need for the service activity;
 - Degree to which the Lead Applicant is able to evidence the need for the new activities in this proposal; and,
 - Degree to which the OTF Funds will be impactful as evidenced by the magnitude and realism of the projected A Metrics.
- Compliance with this RFP's administrative requirements.

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

5 APPENDICES

A. RFP Process, Awards Process and Mandatory Compliance

B. Application Forms and Budget Forms

Appendix A

Ohio Third Frontier

Entrepreneurial Signature Program (ESP)

RFP Process, Awards Process and Mandatory Compliance



Appendix A – RFP Process, Awards Process and Mandatory Compliance

RFP Process: This OTF Program’s RFP Process will consist of the following steps:

I. Release of RFP

This RFP will be released by publication on the OTF website at www.thirdfrontier.com.

II. Letter of Intent

A prospective Lead Applicant must submit an LOI via e-mail as a condition to submitting a Proposal. The LOI must be received before the LOI deadline and should be addressed to ESP2012@development.ohio.gov with “2012 ESP LOI” appearing in the subject line. Development is not responsible for any technological errors that result in a late submission, and any late LOI submissions will not be considered.

The LOI must include the following information: the prospective Lead Applicant’s name, address, phone number, contact person, including e-mail address for the contact, proposed Project title, estimated State Funds to be requested, known Collaborators, and no more than a one (1) page summary of the proposed Project. Please note, no proprietary or trade secret information may be included in the LOI as these records will be posted on the internet in their original format. While submitting an LOI does not obligate the prospective Lead Applicant to submit a Proposal, a Proposal will not be reviewed unless an LOI for such Proposal has been submitted by the LOI deadline.

Development will issue for each LOI submitted an identification number for the anticipated Proposal. The identification number must appear on the Application Information Page of the Proposal. See [Appendix B – Application Forms](#). Prospective Lead Applicants submitting an LOI will be notified within one week of their LOI number when the full text of the LOI and its respective assigned number is posted to the RFP website.

III. Questions and Answers (Q&A)

All questions regarding this RFP must be submitted in writing via e-mail. Substantive questions and answers will be posted in a Frequently Asked Questions section on the RFP website. Questions should be sent to ESP2012@development.ohio.gov with a subject line of “ESP Q&A”. Development reserves the right to edit questions for brevity and clarity.

IV. Submittal of Proposal

It is the responsibility of each Lead Applicant to ensure that Development’s Technology and Innovation Division receives Proposals at the prescribed place and by the submission deadline. Late Proposals will not be reviewed.

A Lead Applicant must ensure that a Proposal submitted in response to this RFP complies with all the requirements set forth in this RFP. All Lead Applicants are advised to read this RFP carefully to ensure a complete understanding of the Proposal requirements. In particular, the form, format, and content of all Proposals must follow the directions provided in Sections 2, 3 and 4 and use the forms presented in [Appendix B – Application Forms and Budget Forms](#). The Lead Applicant is solely responsible to ensure its Proposal is complete,

accurate, responsive to the requirements of this RFP, and received by Development's Technology and Innovation Division on time.

Note: All costs incurred in preparation of a Proposal shall be borne by the Lead Applicant and its team. Proposal preparation costs and/or Proposal consultancy costs are not recoverable from OTF Funds nor will they be considered as Cost Share to the Project. The State shall not otherwise contribute to or be liable for the costs of Proposal preparation.

Awards Process: This OTF Program's Awards Process will consist of the following steps:

I. Proposal Review and Evaluation Procedures

OTF uses a competitive, objective, and transparent process to make awards to projects based on proposals that reflect meritorious scientific and technical content, sound business and commercialization plans, and potential for positive impacts on the economic conditions in Ohio.

An annual strategic plan, recommended by OTFAB and approved by OTFC in open, public meetings, drives program framework and budget allocations. Following the OTFC established program framework, this RFP establishes specific award criteria and will be subject to a competitive peer review process. This RFP process complies with ORC Section 184.02 (B), which states:

In addition to the powers and duties under sections 184.10 to 184.20 of the Revised Code, the Commission shall do all of the following: (1) Establish a competitive process for the award of grants and loans that is designed to fund the most meritorious proposals and, when appropriate, provide for peer review of proposals.

Upon receipt of proposals, Development staff will conduct an administrative review using an established written protocol to screen proposals for compliance with the objective content requirements defined in the RFP. Proposals found to not comply with this RFP's requirements may be eliminated from the competition and not reviewed further.

II. Award Decision

At a public meeting, Proposals recommended for funding will be presented along with necessary programmatic details including information about funds available and program goals and criteria. Lead Applicants will be informed of the meeting at www.thirdfrontier.com and through direct notification from Development staff. If requested, Lead Applicants must attend the OTFC meeting at which Proposals are considered for funding. Both the external evaluator for this OTF Program and Development staff will be available to respond to questions from OTFC members. During the public meeting, and only at the specific request of an OTFC member, Development staff will provide a funding recommendation.

OTFC members will deliberate and exercise their independent judgment regarding award decisions based on all the information exchanged. OTFC may approve awards subject to conditions identified during its deliberation. OTFC acts by the affirmative vote of a majority of its members. The funding decisions of OTFC are final and all Lead Applicants will be notified of the outcome of their Proposals after OTFC makes its funding decisions.

All decisions taken by OTFC, including votes and a summary of any award conditions, will be recorded in minutes of the OTFC meeting. If and to the extent OTFC deviates from a recommendation of an external evaluator, those deviations will be reflected in meeting minutes.

III. Award and Grant Agreement Preparation and Execution

Awards of OTF Funds will be made based on Proposals as submitted (including such modifications as may be agreed by the Lead Applicant), the Project budget, and any conditions set forth by OTFC. The Grant will remain open for the duration of the Project, plus a reporting period to be determined by Development during which annual reports are required to be submitted to Development.

Following selection by OTFC, an award of OTF Funds must be approved by the State's Controlling Board, a legislative body that reviews appropriation of State funds. Development will request Controlling Board review as soon as possible after the OTFC funding decision. If requested, Lead Applicants selected by OTFC for funding must attend the Controlling Board meeting at which their applications for funding are to be considered. The Controlling Board process normally takes a minimum of forty-five to sixty (45-60) days to complete.

Development will prepare a Grant Agreement, a legal agreement setting forth the terms and conditions upon which OTF Funds are awarded and the respective rights and obligations of the Lead Applicant and the State of Ohio with respect to OTF Funds and the Project for which they are to be used. The Grant Agreement will incorporate the Proposal and Project budget, as either may have been modified by evaluation findings, funding decisions, or other terms or conditions consistent with the approval by OTFC. Development may require the Lead Applicant to provide cash flow projections on a quarterly basis.

Grant Agreements are sent to Lead Applicants for review and signature. Development executes Grant Agreements on behalf of OTFC after the Grant Agreement is accepted by the Lead Applicant. After Development executes the Grant Agreement, the Grant is entered on the State's accounting system and invoices may be submitted. Once the Grant Agreement is fully-executed, the Lead Applicant will be considered and referred to as a "Grantee".

A Grantee is required to complete the Project as described in the Grantee's Proposal as submitted and with only those modifications as agreed by the Grantee and Development in finalizing the Grant Agreement. Development will assign a Program Manager who will work with the Grantee throughout the Project Period. Development staff and the Grantee will develop a series of performance metrics that will be used to measure progress on the Grant Agreement.

All Grantees will be required to submit to Development quarterly progress and metrics reports, as well as invoices and expenditures reports, to document achievement of Project milestones, to report Project-related success stories, and to submit post-Project completion annual reports for a period of time to be determined by Development. **Please note, all Grantees may be required to provide all client names and detailed information about services provided and related outcomes.** All reports and invoices will be submitted in the form and format required by Development which may change from time to time.

From time to time during the Term of the Agreement, Grantee may organize conferences or other events open to industry representatives or the general public related to the Project, the

subject matter of the Project or associated work of Grantee or its Collaborators. In consideration of the Grant, up to two (2) representatives of Grantor may attend such conferences and events for the purposes of sharing information between Grantee, its Collaborators and other constituents, and Grantor. Grantee shall provide Grantor reasonable advance notice of any such conferences and events. Grantor will not be charged registration fees to attend such events.

Mandatory Compliance: The following restrictions apply to all OTF Projects:

I. Human and Animal Research

For any Proposal that includes use of human subjects, the Lead Applicant's and each Collaborator's human subject policies and procedures must comply with the Code of Federal Regulations, Title 45, Part 46. For any Proposal that includes use of animal subjects, the Lead Applicant's and each Collaborator's animal subject policies and procedures must comply with US Code, Title 7, Sections 2131-2156.

II. Obligations to the State; Compliance with Laws

Grantees will be required to certify in the Grant Agreement that they do not owe: (1) any delinquent taxes to the State or a political subdivision of the State; (2) any moneys to the State or a state agency for the administration or enforcement of any environmental laws of the State; and (3) any other moneys to the State, a state agency or a political subdivision of the State that are past due, whether the amounts owed are being contested in a court of law or not.

Grant Agreements will require Grantees to comply with all applicable federal, state, and local laws in the performance of the Project. Grantees must accept full responsibility for payments of all unemployment compensation, insurance premiums, workers' compensation premiums, all income tax deductions, social security deductions, and any and all other taxes or payroll deductions required for all employees engaged by Grantees on the performance of the work authorized by the Grant Agreements.

III. Compliance with Governor's Executive Order 2011-03K

In accordance with Executive Order 2011-03K, Grantee, by its signature on this document, certifies (1) it has reviewed and understands Executive Order 2011-03K, (2) has reviewed and understands the Ohio ethics and conflict of interest laws including, without limitation, Ohio Revised Code §§ 102.01 *et seq.*, §§ 2921.01, 2921.42, 2921.421 and 2921.43, and §§ 3517.13(I) and (J), and (3) will take no action inconsistent with those laws and the order, as any of them may be amended or supplemented from time to time. Grantee understands that failure to comply with the Ohio ethics and conflict of interest laws is, in itself, grounds for termination of this Agreement and the grant of funds made pursuant to this Agreement and may result in the loss of other contracts or grants with the State of Ohio. The Executive Order can be found at <http://governor.ohio.gov/Portals/0/pdf/executiveOrders/EO2011-03.pdf>.

IV. Other Compliance

OTF Funds may not be used for research involving tissue obtained from aborted fetuses. (See Ohio Revised Code Section 2919.14)

Appendix B

Ohio Third Frontier

Entrepreneurial Signature Program

Part 1 - Application Forms *(found in Word document below)*

Part 2 - Budget Forms *(found under separate Excel spreadsheet)*

Entrepreneurial Signature Program

2012 Request for Proposals

Application Information Page

Letter of Intent (LOI) Notification Number (Issued by ODOD)		LOI #: ESP 12- _____	
This Application:	<input type="checkbox"/> Does <input type="checkbox"/> Does Not	include information considered a "trade secret" under Ohio Revised Code Section 1333.61 (D)	
Lead Applicant Name (as listed with Ohio Secretary of State)			
Lead Applicant Address			
City:	State:	Zip Code:	
County:			
Project Title:			
OTF Funds Requested:	\$	Cost Share:	\$

Typed Name of Authorizing Agent Title of Authorizing Agent

Signature Date

For ODOD Use Only	
Date Received	Proposal ID #

Entrepreneurial Signature Program

Lead Applicant Contact Information Form

Authorizing Agent

Name	
Title	
Organization	
Address	
City, State Zip	
Telephone #	Fax #
E-mail address	

Project Director

Name	
Title	
Organization	
Address	
City, State Zip	
Telephone #	Fax #
E-mail address	

Fiscal Agent

Name	
Title	
Organization	
Address	
City, State Zip	
Telephone #	Fax #
E-mail address	

Grant Administrator

Name	
Title	
Organization	
Address	
City, State Zip	
Telephone #	Fax #
E-mail address	

Authorizing Agent – the individual authorized by the Lead Applicant to accept the terms and conditions of an award of Grant Funds.
Project Director - the individual authorized by the Lead Applicant to direct the Project for which the Grant Funds have been awarded.
Fiscal Agent – the individual authorized by the Lead Applicant to sign Grant-related financial documents, e.g. Requests for Payment, Grant Financial Reports, etc.
Grant Administrator – the individual authorized by the Lead Applicant to oversee the day-to-day operations of the Grant Funds, including preparing progress reports, monitoring project progress, etc.

Note: The same individual may hold more than one of these positions.

Entrepreneurial Signature Program

Collaborator Information Form

Provide contact information for each Collaborator named in the Proposal. Include an e-mail address if available. Attach additional forms as needed. A Collaborator Commitment Letter should be included in the Proposal for every Collaborator listed.

Name	
Title	
Organization	
Address	
City, State, Zip	
Telephone #	Fax #
E-mail address	

Name	
Title	
Organization	
Address	
City, State, Zip	
Telephone #	Fax #
E-mail address	

Name	
Title	
Organization	
Address	
City, State, Zip	
Telephone #	Fax #
E-mail address	

Name	
Title	
Organization	
Address	
City, State, Zip	
Telephone #	Fax #
E-mail address	



Entrepreneurial Signature Program

Donated Services Provider Information Form

Provide details of the proposed donated services to be considered as Cost Share for the Ohio Third Frontier FY12 ESP proposal. Include number of donated hours, description of services, dollar value of total service hours and the dollar cost per hour.

Donated Services

Cost Share Provider

Organization _____

Address _____

City, State Zip _____

Telephone # _____

Fax # _____

Contact

Name _____

Title _____

Organization _____

Telephone # _____

e-mail address _____

# of Donated Hours	Description of Services	\$ Value of Service Hours	\$ Cost per Hour
Total value of service hours to be committed as cost share; amount should match entry on Budget Form 4.			

