Ohio | Department of Development

John R. Kasich, Governor Christiane Schmenk, Director

Ohio Third Frontier
Industrial Research and Development Center Program

Fiscal Year 2012
Request for Proposals (RFP)

- RFP Released – October 17, 2011
- Proposals due – Open
- Review - Continuous
- Awards - Quarterly
- RFP Closes 2:00 PM – June 30, 2012 or upon commitment of all available funds, whichever occurs first

Ohio
The State of Perfect Balance

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

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Ohio Third Frontier
Industrial Research and Development Center Program

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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 www.thirdfrontier.com/IRDCP.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
- 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 IRDCP2012@development.ohio.gov with a subject line of "IRDCP Q&A".

2 Program Description

2.1 Purpose, Goals, and Objectives

The Ohio Third Frontier Industrial Research and Development Center Program (IRDCP) is designed to attract large, nationally designated and highly visible corporate, non-profit, and federal research and development centers or laboratory facilities (hereafter referred to as Center(s)) to Ohio. IRDCP will achieve this goal by

enhancing and supplementing Ohio organizations' proposals for such Centers by providing funding that serves as cost share or matching dollars, thereby improving the competitiveness of the proposal and enhancing the potential for a Center being located in Ohio.

The specific goals and objectives of the IRDCP are to:

- Secure new-to-Ohio research and development funding and facilities with "center" designations by their primary sponsor;
- Increase the reputation and visibility of Ohio within selected fields of research and development that are aligned with OTF technology focus areas; and,
- Provide support for Centers that will conduct applied research, commercialize new technologies, form new companies, and address competitiveness issues of industries that are strategically significant to Ohio.

IRDCP funded activities are expected to create new jobs, new technology-based products, and new technology-based companies in Ohio that will have beneficial economic impacts for Ohio in the coming years. IRDCP compliments other OTF activities by directly supporting initiatives that build research and development capacity and quality as well as catalyzes technology development in Ohio.

2.2 Eligibility

2.2.1 Scope and Technology Subject Matter

The IRDCP Proposal must involve the attraction and build-out of a high-quality, large, nationally designated and highly visible corporate, non-profit, or federal research and development center or laboratory facility that involves one or more of the following criteria:

1) Conducts value-added applied research at the direction of or in collaboration with Ohio industry;
2) Performs industry-directed and industry-oriented problem solving; and,
3) Develops technologies that can be commercialized by or in partnership with an Ohio for-profit company.

In the case of large federal or non-profit awards to establish a nationally-designated center at an eligible Ohio university or non-profit research organization, the total award of funds from the primary sponsor that remain in Ohio for the Center must be at least $10 million in order to also apply for IRDCP funding. A commitment to provide cost share through the IRDCP is contingent upon the Lead Applicant receiving the award from the primary sponsor.

In the case of corporate research and development centers led by an eligible company, the Center must represent at least a $15 million cash investment by

the company to capitalize and operate the Center in order to also apply for IRDCP funding. A commitment to provide cost share through the IRDCP is contingent upon the Lead Applicant providing a written statement of the corporate decision to establish the proposed Center in Ohio.

Furthermore, the primary sponsor's competitive selection and award process must have a provision for the consideration of IRDCP cost share as a key differentiator. For corporate Centers, the company must demonstrate that IRDCP funds will be influential in its location decision regarding the Center.

IRDCP proposals must be for Centers that are new to Ohio. Proposals for renewing an existing Center in Ohio are not eligible. Congressional earmarked Centers are also not eligible for funding.

IRDCP proposals may address any of the following opportunity areas or combinations thereof:

- Advanced Materials
- Aeropropulsion and 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

2.2.2 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 a State-supported or State-assisted Ohio university, an Ohio non-profit public or private research organization, or a for-profit company having or planning to establish a Principal Place of Business in Ohio. 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. The facility must be a recipient or beneficiary of a significant amount of the OTF Funds awarded to the Lead Applicant.

In order to meet the requirements for the use of funds awarded through this RFP, an Ohio for-profit company as Lead Applicant must have a collaboration with a State-supported or State-assisted Ohio university or an Ohio non-profit public or private research organization that will support the Center as agreed

to in a corresponding letter of commitment. Similarly, a State-supported or State-assisted Ohio university or Ohio non-profit public or private research organization serving as Lead Applicant must have a collaboration with an Ohio for-profit company that will utilize the research outcomes of the Center as agreed to in a corresponding letter of commitment.

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 Funding

IRDCP funds will only support applied research and commercialization activity rather than basic research. OTFC has made up to $25 million available for IRDCP in FY 2012. The typical amount for each IRDCP award will be approximately fifteen percent (15%) of the primary sponsor funding received to establish the Center. There is a typical award cap from OTFC of $5 million for any one IRDCP award, although OTFC reserves the right to award larger IRDCP Grants.

Funds can be used to satisfy the operational, equipment or facility needs related to:

1) Conducting value-added applied research at the direction of or in collaboration with Ohio industry;
2) Performing industry-directed and industry-oriented problem solving; and,
3) Developing technologies that can be commercialized by or in partnership with an Ohio for-profit company.

Any equipment purchased with IRDCP funds must remain in Ohio. Research and development operational activity funded with IRDCP funds must occur in Ohio. Indirect costs are limited to no more than 20% of total direct operational costs. No indirect costs can be applied to equipment or facilities expenses paid for with IRDCP funds.

2.4 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 IRDCP Grant Agreements will be up to seven (7) years, including five (5) years during which IRDCP funds must be expensed and primary sponsor award funds received and expensed. For an additional two (2) years, the Grantee will be required to submit reports detailing the overall status of the Center and the economic impacts of the Center on Ohio.

3 General Proposal Requirements

3.1 General Instructions

- Proposals must be submitted in the following manner:
    - One original paper copy marked as “Original”, four additional paper copies marked “Copy” and one CD containing a complete single, unlocked PDF file of the Proposal.
- Proposals must be received at the location specified below. Proposals may not be submitted by fax or email.

  Ohio Department of Development
  Technology and Innovation Division, Attention: IRDCP
  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 ¾ 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 8).
- The Proposal title and Lead Applicant name 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.
- Once the Lead Applicant has submitted their proposal to the primary sponsor, the Lead Applicant will be required to submit to Development a copy of the proposal to the primary sponsor. Likewise, the Lead Applicant must submit a copy of the Center award notification from the primary sponsor. Development will review both the proposal and Center award to ensure they still meet requirements of IRDCP.

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 page 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 Abstract

Prepare an Abstract summarizing the proposed Project and its expected commercial and technical 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.

3.3.5 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.

3.3.6 Proposal Narrative

The Proposal Narrative should address all of the following items in the order presented.

- **Description of the Primary Sponsor's Process to Award or Locate the Center.** The description of the process to award or locate the Center must name the primary sponsor and tell how the process is being conducted to select a location for the Center. This section should focus on information related to the purpose and intent of the Center, the review/evaluation process to be used, evidence that cost share is an evaluation factor for the primary sponsor (required by IRDCP), what the major evaluation factors are, and a schedule of major steps including expected start date of the Center. If the sponsoring organization has issued an RFP, or equivalent, the Lead Applicant must provide the URL address.

- **Description of Lead Applicant's Proposal Plans.** The description of the Lead Applicant's Proposal plans should discuss the composition of the team that has been organized to attract the Center to Ohio, the roles of team members, the management structure that will be used to implement the Center, and the expected budget for the Center with an emphasis on 1) the funds remaining in Ohio from the primary sponsor's overall expected award and 2) how those Ohio funds build upon prior OTF investments.

- **Description of the Center.** The Center description should include the name of the Center, purposes and activities (e.g., applied research, problem solving, engineering/testing services, and commercialization) of the Center, technological focus of the Center, duration of the Center award, expected magnitude of the Center award, integration and collaboration of the Center

with an Ohio institution of higher education or non-profit research institution, and any other information necessary to understand the opportunity.

- **Description of Ohio's Competitive Position.** Ohio's competitive position section should summarize the experience, skills, and unique factors that make Ohio a competitive location for the Center. Brief descriptions of related key experience or qualifications are required.

- **Projected Impacts.** The projected impacts section should describe the national prominence, recognition, and importance to Ohio of winning the Center. This section should also describe the importance and relevancy of the Center to key existing and/or emerging Ohio industry and who, especially among Ohio companies, is collaborating on the Center and what this collaboration will mean to the company in the way of anticipated new technologies, new product, and/or commercialization. Finally, this section should also project what the likely success metrics and leverage of the Center will be beyond just the initial Center award. More specifically, describe the anticipated leverage this Center will generate in the way of new business attraction to Ohio as well as other grant awards.

3.3.7 Budget

The budget must clearly describe all sources and uses of funds for the proposed Project.

Cost Share Requirements: No mandatory cost share is required for IRDCP other than winning the primary sponsor's competition for the new Center.

Indirect Costs: Indirect costs are capped at 20% of total direct IRDCP operating costs and may not be charged to any equipment or facilities IRDCP expenses. Indirect Costs are costs 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) costs".

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

Budget Form 1 is to be used by the Lead Applicant. The total OTF Funds requested in the Proposal and anticipated primary sponsor award funds must be represented on this form as the amounts that will be used by the Lead Applicant and any Collaborators. The Subcontract/Sub-Grant line, if needed, on this form refers to any IRDCP funds or primary sponsor award funds provided to Collaborators under the Lead Applicant's proposal.

Budget Form 2, if applicable, is to be completed for each Collaborator and reflect only that Collaborator's use of IRDCP funds or primary sponsor award funds. A Collaborator is an entity that is receiving IRDCP funds or primary sponsor award funds under the Lead Applicant's proposal.

A detailed Budget Narrative must also be included covering an explanation of the costs for both the OTF Funds requested and any Cost Share committed.

Equipment is defined as meeting all of the following criteria: (1) it is essential in bringing the facility up to its intended use and necessary for the facility to function; it must be an integral part of or directly related to the basic purpose or function of the facility, (2) has a unit cost of approximately $100 or more, (3) has a useful life of at least five years, and (4) is used primarily in the rooms or areas covered by the financed Project. Supplies are defined as materials, including equipment, which both costs less than $5,000 and has a useful life of less than one year.

3.3.8 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
- Proposal Narrative – 8 pages
- Budget – use specified forms
- Budget Narrative – Minimum of 1 and maximum of 3 pages total

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 IRDCP:

- Alignment of the Proposal with the IRDCP purpose, goals, objectives, eligibility, and funding requirements as described in Section 2 of this RFP;
- Quality of the responses to the requirements of this RFP as outlined in the Proposal narrative. The following specific elements of the work plan will be examined:
    - Commitment to direct, near-term job creation by the Center;
    - Size of the opportunity and amount of the investment in Ohio by the primary sponsor through the Center award;

- Degree to which cost share is required or is a formal evaluation criteria on the part of the primary sponsor and therefore a differentiating factor in the award and location of the Center;
- Level of national relevance and visibility of the Center designation bestowed by the primary sponsor;
- Ability of the Center to attract future research, new business activity, and jobs to Ohio;
- Degree to which the Center includes industry-directed or industry-oriented problem solving;
- Degree to which the Center includes collaboration with Ohio higher education or non-profit research institutions;
- Degree to which the Center involves one or more of Ohio's key technology sectors and aligns with the research commercialization objectives of the OTF;
- Sustainability of the Center beyond the initial award from the primary sponsor; and,
- Applicant's demonstrated need for and use of the operations, capital equipment, or facility funded by IRDCP.

- 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

Industrial Research and Development Center Program (IRDCP)

RFP Process, Awards Process and Mandatory Compliance

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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. Questions and Answers

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 IRDCP2012@development.ohio.gov with a subject line of "IRDCP Q&A". Development reserves the right to edit questions for brevity and clarity.

III. 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.

In the case of non-profit or federally sponsored research and development centers which have deadline driven application processes, the Proposal for IRDCP funding must be received by Development at least three (3) weeks prior to the primary sponsor's deadline for proposals. Any commitment of IRDCP support from Development must be formally included in the application to the primary sponsor.

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. 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.

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

Industrial Research and Development Center Program (IRDCP)

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

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

Ohio | Third Frontier
Innovation Creating Opportunity

Industrial Research and Development Center Program

2012 Request for Proposals

Application Information Page

Proposal Number (Issued by ODOD)	**#: IRDCP 12-_____**

This Application:	☐ Does ☐ Does Not	include information considered a "trade secret" under Ohio Revised Code Section 1333.61 (D)

Lead Applicant Name		
Lead Applicant Address		
	City:	**Ohio County:**
	State:	**Zip Code:**

Project Title:			
OTF Funds:	$	**Primary Sponsor Award:**	$
Is the Lead Applicant the lead in any other proposal submitted under this RFP?	☐ Yes	☐ No	
If yes, provide the Other Project Title/Proposal #:			

Typed Name of Authorizing Agent | Title of Authorizing Agent

Signature | Date

For ODOD Use Only

Date Received	Proposal ID #

Ohio | Third Frontier
Innovation Creating Opportunity

Industrial Research and Development Center Program

Lead Applicant Contact Information

Authorizing Agent	Name	
	Title	
	Organization	
	Address	
	City, State, Zip	
	Telephone	Fax
	E-Mail	
Project Director	Name	
	Title	
	Organization	
	Address	
	City, State, Zip	
	Telephone	Fax
	E-Mail	
Fiscal Agent	Name	
	Title	
	Organization	
	Address	
	City, State, Zip	
	Telephone	Fax
	E-Mail	
Grant Administrator	Name	
	Title	
	Organization	
	Address	
	City, State, Zip	
	Telephone	Fax
	E-Mail	

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 administration of the Grant Funds, including preparing progress reports, monitoring project progress, *etc.*

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

Industrial Research and Development Center Program

Collaborator Information

Attach additional forms as needed.

Name
Title
Organization
Address
City, State, Zip
Telephone Fax
E-Mail

Name
Title
Organization
Address
City, State, Zip
Telephone Fax
E-Mail

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