



Economic Development Generating Excellence (EDGE)

2011 Request for Full Proposals – FY12

July 12, 2011

Solicitation #3-RFP-CY11-FY12

**EDGE Policy Board
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Oklahoma City, Oklahoma 73104
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www.okedge.org**

A. Background

Oklahoma created the EDGE Fund as a public source dedicated to funding the development and commercialization of applied research. This is the fourth solicitation seeking projects that may be funded and is issued by the EDGE Policy Board under the authority of statute (Title 62 O.S. Supp.2007 §47, §52).

The EDGE Policy Board's mission is to make investments in Oklahoma's knowledge infrastructure to bolster the State's long-term economic growth. Historically, technology-based research and development, commercialization and entrepreneurial successes attract capital, create more high-paying jobs, expand and diversify the State's economy, and provide greater prosperity for generations of future Oklahomans.

B. Point of Contact

Point of Contact: Paul G. Risser, Executive Director, EDGE Policy Board

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To obtain these guidelines and more information about the proposal submission process, please visit www.okedge.org.

All submissions should be made electronically to EDGE@okedge.org.

C. Timeline

Date	Activity
April 20, 2011	Request for Pre-Proposals issued
May 18, 2011 at 5:00 PM CST	Deadline for submission of Pre-Proposals
July 12, 2010	Policy Board selects Full Proposal applicants
September 1, 2011 at 5:00 PM CST	Deadline for submission of Full Proposals
November 15, 2015	Announcement of Full Proposal (s) selected as recipient(s) of EDGE funds

D. Proposal Guidelines and Requirements

Section 1. Funding Opportunity Description

EDGE Funding Awards

The statute creating the EDGE endowment fund (Title 62 O.S. Supp.2007 §47, §52) specifies that the seven-member EDGE Policy Board shall determine the specific investments to be made each year, based on the earnings of the EDGE endowment. This endowment is separately managed by the EDGE Board of Investors who certifies the amount of funds annually available to the EDGE Policy Board.

In establishing the policies of the EDGE Fund, the Legislature authorized the EDGE Policy Board considerable latitude in making investments to increase applied research and technology commercialization. These investments are expected eventually to yield more high-paying jobs and a stronger, more diversified Oklahoma economy. Specifically, the Policy Board may set one-year or multi-year business sector priorities and invest relatively large dollar amounts over one to several years in competitively-approved projects. These investments in research and technology can be made in key Oklahoma business sectors and can be invested in public and private organizations.

Funding awards can be made to “push” technology by researchers to businesses and to “pull” research and technology needed by business sectors from the research community. Many types of awards are possible, including proof of concept, applied research, matching funds, purchase of equipment, seed capital, or other projects that meet the EDGE mission.

To the fullest extent permitted by law, the Policy Board may award the funding through grants, loans, contributions, investments, contracts or other agreed forms and subject to such terms and conditions, all as it deems appropriate in fulfilling the EDGE Fund’s vision and mission.

Awards include only direct costs. At least 25% of the monies distributed by the Policy Board each fiscal year among projects will support technology transfer and technology commercialization. The statute also specifies that no more than 20% of the annual allocation by the Policy Board to all projects in any one year will be used to purchase equipment.

The EDGE Policy Board has approximately \$6.2 million to invest in projects in FY12. Duration of funding for projects is for one year or longer, with future funding dependent upon the availability of funds. The Policy Board reserves the right to allocate funds among all FY12 awards as it sees fit.

Although there are no minimum or maximum dollar limitations on awards, in general, the Board expects to fund and invest in a small number of relatively large integrated projects involving multiple partners and that address one or more of the EDGE objectives.

With this solicitation, the EDGE Policy Board invites formal proposals for high-priority projects aligned with the EDGE program objectives described in the solicitation; however, this invitation to submit a formal proposal does not imply any expectation about whether the Policy Board will act favorably by funding an application.

Section 2. EDGE Objectives

By Oklahoma statute, EDGE funds must be invested in projects in Oklahoma that satisfy one or more of the following criteria:

- a) expand the number of researchers, technicians, support services, and associated business activity within Oklahoma;
- b) have a high potential to result in the formation and growth of advanced technology companies in Oklahoma;
- c) have a high potential to improve the health status and quality of life for Oklahomans; and/or
- d) leverage additional Federal research grants and/or privately funded and sponsored research in Oklahoma research institutions.

In addition to the above required criteria, the EDGE Policy Board seeks opportunities for investment in projects that:

- a) meet the goals of the EDGE Fund, including the development and commercialization of applied research and technology, and/or have a high probability to increase the State's research and entrepreneurial capacity, and/or expand and diversify Oklahoma's technology-based economy;
- b) leverage public and private resources to demonstrate broad support for conducting and sustaining the project;
- c) demonstrate that the research or technology is significant in its own right and is likely to exert consequential positive impacts on Oklahoma's economy and quality of life;
- d) articulate the highest probability of success and the rationale for that probability; and
- e) offer a sound, sustainable business model.

The EDGE Policy Board gives preference to cooperative proposals that involve Oklahoma-based personnel from multiple entities, including higher education, non-profit research institutions, and private enterprise.

E. Proposal Description

Proposals to request funding from the EDGE Fund will only be accepted from those applicants invited to submit proposals by the Policy Board. The date for receipt of submitted proposals is 5:00 PM CST, Thursday, September 1, 2011.

Projects selected for funding by the EDGE Policy Board can expect to receive notice of funding by Tuesday, November 15, 2011.

Proposals submitted by any means other than the specified method will be disregarded. Applicants responding to this solicitation are wholly responsible for timely and properly formatted submissions.

The applicant must present fair representation and attest that the Principal Investigator will reside, or intends to reside, within Oklahoma while conducting the majority of the work for the proposed program. The applicant must provide fair representation, and ultimately may be asked to provide documentation, that the EDGE funds will be delivered to an Oklahoma based address.

The applicant has sole responsibility for the content and conditions presented in the Proposal. The EDGE Policy Board will not pay any bid and proposal costs incurred in the submission of the offer, or related to any studies or designs necessary to prepare the offer. Submission of an invited full proposal does not obligate the EDGE Policy Board to provide funding.

The deliberations of the EDGE Policy Board are subject to the Oklahoma Open Meetings Act (Title 25, O.S. §301-304) and the Oklahoma Open Records Act (Title 51 O.S. §24A.1-29). According to its Administrative Rules, the Policy Board makes every reasonable effort to maintain the confidentiality of proprietary information submitted to or compiled by the Board. Any information submitted to or compiled by the Policy Board with respect to the marketing plans, financial statements, trade secrets, research concepts, methods or products, or any other proprietary information of persons, firms, associations, partnerships, agencies, corporations, institutions of higher education, nonprofit research institutions or other entities shall be confidential, except to the extent that the person or entity providing such information or the subject of such information consents to disclosure (Title 62 O.S. 2007.Supp. §52); provided, however, there shall be no guarantee that such information will remain confidential. Members of the EDGE Policy Board, its staff, members of the Advisory Committee and technical reviewers are required to sign non-disclosure agreements. In some instances, the Policy Board may ask that business information be made available to the Board upon request rather than routinely requesting such information at the time of proposal submission.

F. Proposal Review Process

Proposals will be reviewed initially to determine consistency with the solicitation requirements. Submissions meeting these standards undergo rigorous evaluation from three perspectives:

- a) **Technical Review:** Each proposal will be assigned to experts in an appropriate technical field who will evaluate the project's importance, soundness, feasibility, and probability of success. Because proposals may include a wide-range of research disciplines and technologies, experts are selected to address major components of the proposed project. The EDGE Fund Policy Board will make every attempt to provide a comparable number of reviewers for each proposal submitted. To achieve this goal applicants are encouraged to provide the EDGE Fund Policy Board office with recommendations for reviewers provided there is no conflict of interest between the reviewer and the applicant or the applicant's organization(s).
- b) **Advisory Committee:** The Policy Board is assisted by an appointed Advisory Committee whose members bring technical expertise and extensive experience in evaluating and managing technology-based research and commercialization. The Advisory Committee assists in identifying technical reviewers, evaluating the resulting critical reviews, and recommending to the Policy Board proposals for funding.
- c) **EDGE Policy Board:** The EDGE Policy Board makes all final funding decisions. In making these decisions, the Board evaluates the technical reviews of each project and the recommendations of the Advisory Committee. In addition, the Policy Board considers the strengths, needs, and opportunities of Oklahoma's technology-based research capacity, as well as, investments in research and commercialization that will benefit Oklahoma's private sector.

Finally, the EDGE Policy Board takes a long-term view of how best to orchestrate multiple technological, human, and financial resources through EDGE funded projects to strengthen Oklahoma's economy, provide higher paying jobs, and enhance the prosperity of its citizens.

Applicants selected to submit full proposals to the EDGE Policy Board may be called upon for oral presentation of their proposal. Oral presentations are requested solely at the discretion of the Advisory Committee and the EDGE Fund Policy Board. The EDGE Fund Policy Board office will notify applicants requested for oral presentation accordingly.

Proposal Format

- A. The EDGE proposal is limited to 30 pages total. It is the intention that included within the 30 pages will be any additional documentation (e.g., budget justifications, curriculum vitae, and any other project related documentation). Only the designated EDGE Appendix A and Appendix B will be accepted in addition to the 30 pages of narrative. **The Budget narrative/justification portion shall be included in the 30 page proposal narrative**
Letters of support are not required; if they are submitted as supplementary to the 30-page narrative, letters should describe specific contributions to the proposed work and not serve only as general advocacy for the projects.

All proposals must be in an 8.5 x 11 inch single or double-spaced format, suitable for printing on plain paper, with 12 point, Times New Roman type with margins not less than one

inch, and pages numbered. It is allowable that any provided tables are in 10 point font, Times New Roman.

All proposals must be submitted in electronic form (pdf), without password protection, to EDGE@okedge.org by 5:00 PM (Central Standard Time) no later than Thursday, September 1, 2011.

The Policy Board will allow considerable flexibility in constructing proposals, offering this as a mechanism by which applicants can demonstrate innovation and creativity. However, proposals should include the following in the proposal narrative:

- B. **Cover Page.** Appendix A
- C. **Budget.** Appendix B – **The Budget narrative/justification portion shall be included in the 30 page proposal narrative**
- D. **Proposal Narrative: Pages 1-30**
 - 1. **Technical abstract**
 - 2. **Project abstract** (appropriate for a general audience, without proprietary or confidential information)
 - 3. **Research and/or Technology Commercialization Opportunity.** State the technical problem or opportunity and EDGE requirement(s) addressed, describe the technical rationale for the proposed work, and summarize the technical objective of the work.
 - 4. **Deliverables.** Describe the work's expected results and discuss the anticipated application of the result.
 - 5. **Process.** Describe the technical approach and methods to be used including general work schedules, task assignments, and major project milestones.
 - 6. **Importance.** Describe specific technical advances and innovations that will be demonstrated by the work and the anticipated benefits to Oklahoma. Discuss the advances to the state-of-the-art expected, and their relevance to the EDGE program's objectives. Describe the commercial potential.
 - 7. **Partnerships.** Describe the primary partnerships, particularly those involving both public and private entities. Identify any conflicts of interest with both EDGE Board or Advisory Committee members, and any other public or private entities.
 - 8. **Risks.** Identify risk factors in the proposed project and how these risks will be addressed.
 - 9. **Impact.** Describe how the EDGE funds will be leveraged to increase the impacts of these public funds
 - 10. **Success Criteria.** Define the criteria by which the success of the project will be judged.
 - 11. **Returns on Investment.** Outline the measures to be used in calculating the expected returns on investment
 - 12. **Principal Parties.** Describe the principal parties, including investigators and company profiles of all known or potential affiliate relationships

13. **Regulatory Requirements.** Describe how the project will address regulatory requirements such as human or vertebrate animal subjects, recombinant DNA, biological hazards, dangerous drugs, state and federal regulatory requirements, etc.
14. **Budget Narrative.** Explain in the budget narrative or justification why the investments are prudent (rather than the details of expenditures which will be negotiated as part of the final Memorandum of Agreement for successful proposals). Include principal cost elements such as material costs, labor costs, and other direct costs.

G. Post-Award Process

Memorandum of Agreement

Once a decision is made to fund a project, a *Memorandum of Agreement* (MOA) contractually codifies the responsibilities of the award recipient and describes the performance milestones for the duration of the project. The *Memorandum of Agreement* specifies the budget details and the recipient organization's responsibility for satisfying requirements of export control, institutional review board, and other safety and environmental policies and regulations.

The organization accepting EDGE funds is required to maintain records and accounts that accurately document and account for the source and application of all project funds. These records and accounts must be made available, on demand, by the Policy Board for inspection and use in carrying out its responsibilities for administration of the funds. The *Memorandum of Agreement* specifies that the recipient must comply with the audit policy of the EDGE Policy Board and that the EDGE Policy Board and the State of Oklahoma have full access to and the right to fully examine all records and accounts.

Once an organization has been notified of a potential award and as part of the negotiated MOA, the organization must provide specified information to the EDGE Office. Specifically, the organization must provide project milestones, contract revisions, and if necessary, updated budget and project overview. This information must be submitted to the EDGE Policy Board office no later than 5:00 PM CST on December 22, 2011.

Reporting

The EDGE Policy Board, as described in the *Memorandum of Agreement*, shall require the recipient of EDGE funds to provide additional information about the project and its

impacts for up to three years after the contract period begins and concludes.

Intellectual Property Rights

The EDGE Policy Board does not seek ownership of intellectual property rights that result from the research or technology commercialization supported by the EDGE Fund. However, before making any award, the EDGE Policy Board requires that the applicant describe and verify how the intellectual property ownership and disposition issues will be addressed. This description must include the agreement of all parties involved in the project and include the anticipated tools of managing intellectual property, including but not limited to patents, licenses, royalties, equity, and business ventures. The EDGE Policy Board recognizes that the opportunities and processes may change over the life of the work, and requires that changes be recorded as part of the *Memorandum of Agreement*.

Appendix A Cover Page for the Full Proposal

PI Name:	
2011 Economic Development Generating Excellence (EDGE) – FY12	
1. Title of the Project:	
2. Amount of EDGE funds requested:	
Year 1:	Start Date:
Year 2 and Beyond:	
Areas of Focus: Please mark only <u>ONE</u> area as the Primary Area of Focus. Any other applicable areas of focus should be designated as secondary.	
<input type="checkbox"/> Aerospace	<input type="checkbox"/> Sensors
<input type="checkbox"/> Agriculture	<input type="checkbox"/> Weather Science
<input type="checkbox"/> Biotechnology	<input type="checkbox"/> Other
<input type="checkbox"/> Energy	
<input type="checkbox"/> Information Technology/ Telecommunications	
<input type="checkbox"/> Nanotechnology	
4. Principal Investigator (PI) Information:	
Name of Principal Investigator:	
Position or Title:	
Address: Include Organization and Department, Division or Equivalent	
Phone:	Email:
Fax:	URL:
Signature of PI:	Date:

PI Name:	
5. Official Acting as Fiscal Agent:	
If multiple contractors, name official of organization designated as Fiscal Agent. This is the official to whom EDGE will send all contract payments.	
Name:	
Title:	
Name of Applicant Organization Acting as Fiscal Agent:	
Address: Include Organization and Department, Division or Equivalent. No P.O. Boxes.	
Phone:	Email:
Fax:	URL:
Organization NAICS Code:	
Organization Federal Employee Identification Number (FEI):	
6. Designate Contract Official	
Name official designated as the Contracting Official for the project. This is the official to whom EDGE will send all award of contract correspondence including (1) the award letter, (2) requests for information and documentation, (3) the initial contract, (4) the executed contract and (5) progress report and performance evaluation information and requests. If multiple applicants, the designated Contracting Official is responsible for sharing contractual information with all other applicant organizations.	
Name:	
Title:	
Name of Applicant Organization Acting as Designated Contract Official:	
Address: Include Organization and Department, Division or Equivalent. No P.O. Boxes.	
Phone:	Email:
Fax:	URL:
7. Certification of Assurances	
I certify that the statements and budget figures herein are true and complete. If an EDGE contract is awarded, I accept the obligation to comply with the laws of the State of Oklahoma and the EDGE policies as they pertain to the performance of this project.	
Signature of Official Signing for Applicant Organization Acting as Fiscal Agent (same name as in Item 5)	Date
Signature of Official Signing for Applicant Organization As Designated Contract Official (same name as in item 6)	Date

PI Name:			
2011 Request for Full Proposals – FY12 Appendix B Project Budget			
Direct Costs only. In addition, carefully prepare a Budget Justification to accompany each year that is requested. Add additional pages for each year as necessary.			
YEAR 1			
Personnel Applicant Organization(s) Only			Amount Requested (in Dollars Only)
Name	Title or Position	Totals	Total Requested from EDGE
	Subtotal		
Travel			
	Subtotal		
Supplies (Itemize by category)			
	Subtotal		
Equipment (List items over \$2000)			
	Subtotal		
Subcontracted Services			
	Subtotal		
Other Direct Costs (Itemize)			
	Subtotal		
TOTAL DIRECT COSTS:			
TOTAL FUNDED BY EDGE:			
What Total Amount Will Be Allocated to Equipment			
What Total Amount Will Be Allocated to Technology Transfer			

PI Name:			
2011 Request for Full Proposals – FY12			
Project Budget Continued			
Direct Costs only. In addition, carefully prepare a Budget Justification to accompany each year that is requested. Add additional pages for each year as necessary.			
YEAR ____			
Personnel Applicant Organization(s) Only			Amount Requested (in Dollars Only)
Name	Title or Position	Totals	Total Requested from EDGE
	Subtotal		
Travel			
	Subtotal		
Supplies (Itemize by category)			
	Subtotal		
Equipment (List items over \$2000)			
	Subtotal		
Subcontracted Services			
	Subtotal		
Other Direct Costs (Itemize)			
	Subtotal		
TOTAL DIRECT COSTS:			
TOTAL FUNDED BY EDGE:			
What Total Amount Will Be Allocated to Equipment			
What Total Amount Will Be Allocated to Technology Transfer			

