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July 6, 1987

## **APPLIED RESEARCH GRANT PROGRAM RULES**

### 1.0 GENERAL INFORMATION

The Arkansas Science & Technology Authority was created by Act 859 of 1983 and given the mission to bring the benefits of science and advanced technology to the people and the State of Arkansas. Programs established by Act 409 of 1985 required the Authority to adopt certain rules for carrying out its mission. Act 210 of 1987 required the amendment of these rules.

### 1.1 PROGRAM NAME

These rules govern the Science & Technology Authority's Applied Research Grant Program.

### 1.2 PURPOSE

The purposes of the Applied Research Grant Program are to create applied research partnerships between private industry and Arkansas colleges and universities in order to stimulate the transfer of science and technology between private industry and Arkansas colleges and universities, and to provide a cash match to Arkansas colleges and universities for contributions of funds and equipment from private industry and other private sources.

### 1.3 AUTHORIZATION

The Applied Research Grant Program is authorized by Section 16(b) of Act 859 of 1983 as amended by Act 409 of 1985 and Act 210 of 1987, the same being Arkansas Statute 6-1616(b). The power to make rules governing this program is granted by Section 4 of Act 859 of 1983 as amended by Act 409 of 1985 and Act 210 of 1987, the same being Arkansas Statute 6-1604.

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### 2.0 PROGRAM DESCRIPTION

The Arkansas Science & Technology Authority supports a competitive cash-matching grant program for applied research. The goal of the applied research grant program is to stimulate the transfer of science and technology in Arkansas by enhancing opportunities for research partnerships between Arkansas colleges and universities and businesses or industries by providing matching funds for academic-industrial cooperative research efforts.

Both solicited and unsolicited proposals will be accepted from individuals or groups for funding of applied research which is sponsored and officially submitted by an Arkansas college or university.

### 2.1 TYPE OF AWARD

The Board of Directors of the Science & Technology Authority awards matching cash grants to qualified applicants.

The Authority is authorized to defray up to, but not more than, fifty percent (50%) of the total cost of the applied research project being funded. The remaining fifty percent (50%) of the total cost of the proposed research project shall be funded with cash or new machinery and equipment provided by a business or industry cosponsoring the proposed research project; however, the Authority may defray up to sixty-six and two-thirds percent (66 2/3%) of the total cost of the applied research project if the Board finds that the participating private industry is principally located in Arkansas and employs fifty (50) or fewer persons.

### 2.2 DEFINITIONS

For the purposes of the Authority's applied research grant program, the following words and phrases have the following definitions.

- 2.2.1 "Applied research" shall mean any activity which seeks to utilize, synthesize, or apply existing knowledge, information or resources to the resolution of a specific problem, question or issue.
- 2.2.2 "Industry" shall include, but not be limited to, manufacturing facilities, warehouses, distribution facilities, repair and maintenance facilities, agricultural facilities, and corporate management offices for industry.

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- 2.2.3 "Machinery and equipment" shall mean tangible personal property used in connection with a Qualified Education Program or a Qualified Research Program which has been approved for a tax credit under rules and regulations prescribed by the Department of Finance and Administration.
- 2.2.4 "New" means the machinery and equipment is state of the art machinery and equipment which (1) has never been used except for normal testing by the manufacturer to insure that the machinery or equipment is of a proper quality and in good working order or (2) has been used by the retailer or wholesaler solely for the purpose of demonstrating the product to customers for sale.
- 2.2.5 "Officially submitted" shall mean a project proposal which has been submitted by an office of an Arkansas college or university which is legally empowered to accept grants on behalf of a qualified applicant.
- 2.2.6 "Qualified applicant" shall mean a designated individual associated with an Arkansas college or university.

### 3.0 ELIGIBILITY

Eligible applications will be evaluated on the basis of the following criteria.

#### 3.1 CRITERIA

- 3.1.1 The proposed project must be scientific and/or technological in nature and must promote the purpose of the Authority by providing the benefits of science and/or advanced technology to the State of Arkansas and its people.
- 3.1.2 The proposal must address an area of applied research.
- 3.1.3 The proposal must be cosponsored and officially submitted by an Arkansas college or university.
- 3.1.4 The Arkansas college or university officially submitting the grant application must assure that a private source or industry will fund the proposed research project with cash or new machinery and equipment in an amount not less than fifty percent (50%) of the total cost nor less than thirty-three and one-third percent (33 1/3%) of the total cost when the participating private industry is principally located in Arkansas and employs fifty (50) or fewer persons.

3.1.5 The proposal must be submitted by a deadline date, if a deadline date is established and announced for a particular solicitation.

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### 3.2 CONFLICT OF INTEREST

No Director, officer or employee of the Authority for purpose of personal gain shall have or attempt to have, directly or indirectly, any interest in any contract or agreement of the Authority in connection with the applied research program of the Authority.

It shall not be a conflict of interest for the Authority to permit any college or university with which a Director of the Authority is affiliated to participate in any program of the Authority provided that such Director shall promptly disclose the nature of the affiliation to the Board of Directors.

### 4.0 APPLICATION PROCESS

Application for an applied research grant shall be officially submitted in a format prescribed by the Authority. The following information shall be included:

#### 4.1 APPLICATION

4.1.1 A Project Summary and Cover Sheet which contains the following information:

4.1.1.1 Name of the college or university applying for applied research funds;

4.1.1.2 Name of the principal investigator;

4.1.1.3 Name and mailing address of the institutional contract officer;

4.1.1.4 Mailing address of the principal investigator;

4.1.1.5 Telephone number of the institutional contract office;

4.1.1.6 Telephone number of the principal investigator;

4.1.1.7 Title of the project proposal;

4.1.1.8 Amount of funds requested from the Authority;

4.1.1.9 Technical abstract;

4.1.1.10 Dated signature of the institutional contracting official;

4.1.1.11 Signature of the principal investigator, department, and date.

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- 4.1.2 A statement of the specific objectives to be attained by the proposed project and a description of how these objectives relate to the State's economic development interests.
- 4.1.3 A review of the literature pertinent to the proposed research, including an assessment of previous research efforts.
- 4.1.4 A clearly described implementation plan for the accomplishment of the project. This should include a description of the proposed activities, including experimental design and methods, timetable, and information detailing the availability of supporting facilities, equipment, and personnel necessary to the attainment of the project's objectives.
- 4.1.5 A detailed budget for the coming year including personnel, fringe benefits, equipment, supplies, travel, indirect costs, and estimates of support requirements in future years, if any.
- 4.1.6 A statement detailing the source and amount of the required matching funds.
- 4.1.7 A statement of plans for future support of the research from sources other than the Authority. This section should include identification of the specific funding sources to be approached and likely titles of the proposals to be submitted.
- 4.1.8 A description of the qualifications of the personnel to be involved in the proposed project. Relevant information would include the academic credentials of key professionals, a listing of recent publications in accepted professional journals, and the record of current and past grant support received in the area.
- 4.1.9 A statement that a final summary report will be submitted to the Authority within 60 days after expiration of the award. The final summary report shall include:
  - 4.1.9.1 A topic sentence stating the project's major thesis;
  - 4.1.9.2 The primary objectives and scope of the project;
  - 4.1.9.3 The techniques or approaches used only to the degree necessary for compensation;
  - 4.1.9.4 The findings and implications stated as concisely and informatively as possible.
- 4.1.10 Other information as requested by the Board of Directors.

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### 4.2 PROPRIETARY INFORMATION

Proprietary information in an applied research proposal will be maintained subject to the limitations of the Freedom of Information Act, provided that the proprietary information is clearly identified.

### 5.0 EVALUATION

Applications meeting the eligibility requirements will be evaluated on the basis of the following criteria:

#### 5.1 CRITERIA

- 5.1.1 The scientific merit of the proposal, including the quality and importance of the proposed research, and the suggested research procedure.
- 5.1.2 The competence of the professional personnel involved in the project as evidenced by relevant academic training, research, and publications.
- 5.1.3 The availability of administrative support and resources necessary to ensure a reasonable probability of project success.
- 5.1.4 The soundness of the implementation plan and the likelihood that the project objectives will be achieved.
- 5.1.5 The potential of the project to enhance the transfer of science and technology between academia and business or industry.
- 5.1.6 The commercial feasibility of the proposed research within 2 years, 5 years, and 10 years.
- 5.1.7 The capacity of the proposed project to enhance employment opportunities in the State of Arkansas.
- 5.1.8 The capacity of the project to attract support from sources other than the Authority.
- 5.1.9 The capacity of the project to attract private investment.
- 5.1.10 The overall probability of success of the proposed project.

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### 5.2 PROPOSAL REVIEW

- 5.2.1 Each proposal shall be initially reviewed by a member of the Authority staff to determine that eligibility requirements have been met.
- 5.2.2 The Research Committee of the Board of Directors shall be responsible for review and evaluation of each eligible proposal. The Research Committee shall select reviewers whose expertise in specific scientific or technological areas will aid in the evaluation of applied research proposals.
- 5.2.3 Each eligible proposal will be reviewed and evaluated in terms of the purposes of the applied research program, the evaluation criteria, and the adequacy of the requested level of funding.
- 5.2.4 The Authority will make every effort to complete the review and evaluation process within 90 days of the receipt of an unsolicited proposal or within 90 days of any deadline for receipt of solicited proposals.

### 5.3 AWARDS

The final decision to commit funds to an applicant shall be made by the Board of Directors of the Authority. The decision to fund/decline will be based on information derived from the review process and its accompanying criteria and the Board's own interpretation of the accompanying information. The Board's decision shall be final.

### 6.0 AWARDS LETTER

Cash awards will be distributed by the Authority on the recommendation of the Board of Directors based on terms and conditions agreed upon by the Board of Directors of the Authority and the submitting college or university.

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APPROVED by the Board of Directors  
on this 6th day of July, 1987.

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Joe F. Nix, Ph.D.  
Secretary, Board of Directors  
Arkansas Science & Technology Authority

FILED with the Secretary of State  
on the 17th day of July, 1987.

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William H. Bowen  
Chairman, Board of Directors  
Arkansas Science & Technology Authority