UPAIR Q&A
University Partnership with Industry Research Program

Read the "RFP" and "Program Description and Proposal Preparation and Submission Instructions" documents on the KSEF website for full details regarding the program.

This document contains questions raised at the UPAIR webinar broadcasts and received via KSEFpm@kstc.com, categorized in seven sections:

A. Program Overview Questions
B. Program Document Questions
C. Funding and Budget Questions
D. Questions About the Phases
E. Questions About Applying
F. Industry Partner and Partnership Questions
G. Other Questions

IMPORTANT DATES

- April 27, 2018 – Request for Proposals (RFP) opens
- May 8, 2018 at Noon EST – Question period closes (KSEFpm@kstc.com)
- May 8, 2018 at 4PM EST – Application period closes
- June 2018 – Award announcements
- July 1, 2018 – Award start date

A. PROGRAM OVERVIEW QUESTIONS

1. What is the purpose of UPAIR?
A: The purpose of UPAIR is to cultivate a competitive industry-ready workforce and to build infrastructure to train future scientists and engineers; to expand Kentucky's capacity to innovate; and to develop academe-industry partnerships that foster collaborative research efforts. We want to create relationships that last beyond a single research project. Part of these relationships will be the development of a pipeline of both undergraduate and graduate students with desired skill sets and an understanding of industry perspectives and problem-solving approaches.

2. What will reviewers look for in a successful application?
A: Key items in a successful application include priority criteria, inputs, metrics and outputs, impacts, and outcomes. PRIORITY CRITERIA – innovation opportunity, soundness of scientific principles, Kentucky focus, results and dissemination, educational development, transition potential to industry, partnerships, relevance to Kentucky's priority research areas, appropriate budget, performance capability, program fit and lack of duplication, project success. INPUTS – pre-competitive research proposals based on unique ideas, engaging researchers from both academe and industry; partnerships between university researchers and industry researchers; research and project-based experiences for undergraduate and graduate students; internships, co-ops, and entrepreneurial training. METRICS & OUTPUTS – project-based learning experiences, internships, workforce development, college completion/success, collaborations, intellectual property, follow-on funding industrial support for R&D

partners. <u>IMPACTS</u> – transition research from idea, to experimental phase, to viable research partnerships; develop multi-university or multi-organizational centers or research efforts to increase Kentucky's research base; support existing and cultivate new public-private partnerships that are of value to our state, industries, and universities; increase the percentage of university-based research funded by industry; develop a workforce with skills applicable to industry needs. <u>OUTCOMES</u> – workforce readiness, college success, private-public R&D enterprise, technology transfer.

3. What is the desired level of scientific R&D, e.g. could it be a new single product being introduced into a new market?
    A: These projects are evaluated on the innovativeness of the idea (please refer to the proposal review criteria section of the guidelines). A highly innovative idea to help enter a new market could result in a very competitive application. All applications undergo external peer evaluations and are scored and ranked based on the review criteria posted.

B. PROGRAM DOCUMENT QUESTIONS

1. Are any additional UPAIR documents going to be made available?
    A: The "RFP" and "Program Description, Proposal Preparation and Submission Instructions" documents are posted on the KSEF website. An additional Q&A document will be posted and updated appropriately.

2. Are any "significant" changes expected to the currently-posted "DRAFT" online documents?
    A: **No significant changes are anticipated** to the "RFP" and "Program Description, Proposal Preparation and Submission

Instructions" documents. Each online document will be labeled with the date, with changes marked in red and dated.

C. FUNDING AND BUDGET QUESTIONS

1. The RFP indicates the maximum award size is $150,000 which begins on July 1, 2018. Is the award for the first phase (12 months) only or for all three phases (24 months)?
    A: The award is for the full 24-month period at a maximum of $150,000. Milestones must be reached to move on through the different phases.

2. For the IDEATE proposal, the applicant submits a full 24-month budget for all three phases and what is the maximum funding allowed for the IDEATE phase?
    A: The budget and associated tasks, deliverables, and milestones to complete IDEATE phase should be for $35,000 (max).

3. What is the program's award budget?
    A: Each award is for a maximum of $150,000.

4. Will indirect costs be charged to the award?
    A: Please refer to the program description and proposal preparation and submission instructions. Indirect costs are capped at 10%.

5. If the proposal is not approved for the second or third phases, would the award size (maximum $150,000) be reduced?
    A: The award size is $150,000 for 24 months. Continuation of funding is dependent upon milestone achievement. If milestones are not achieved at any reporting period or award phase, then the award is ended.

6. How many awards do you anticipate funding and what is the anticipated number

of awards for the IDEATE phase?
A: KSEF programs are highly competitive. We will fund as many as we can; historically KSEF has awarded 17 and 25 RDEs per year.

7. How many investigators can expect to reach phase three?
A: We would estimate anywhere between 33% to 50%.

8. Can an "outside consultant" (i.e. outside of Kentucky universities, outside of collaborating industry) be supported for consulting purposes through the Kentucky University?
A: [These questions will be treated on a case-by-case basis]. In general, this depends upon what the consultant will be used for, what services will be provided, and how the activity fits within the entire plan.

9. Is there a limitation with the budget on the industry part?
A: If the question is, "what can a subaward be to the industry partner", then the answer is that funding must be very well-supported on how it is the best use of funds for getting the best outcome.

10. What is the percentage distribution with the small business partnership?
A: The program does not specify the industry partner as small or large business, that is, the partner does not need to be a small business. The program does not require sharing of funds. If funds are shared, the budget should align with the efforts, tasks and deliverables being proposed. At PARTNER phase, it is expected that the industry partner will support the partnership R&D both in-kind and with funding.

11. If you engage a national laboratory, can funds be used to pay them?
A: This depends upon what the funds are being used for specifically, and how the use of funds matches the designed goals of the program.

12. (a) I plan to partner with a software developing company and a power utility. In preparing UPAIR proposal budget, is the fund allowed to be allocated for personnel in the industry partners? Are there any constraints in this regard? (b) How would industry partner act as Co-PI on the proposal? How would that work financially, to distribute the award as the University PI and Co-PI could be from different agencies? Would the PI subcontract to the Co-PI, or would the award be split between the PI and Co-PI based on the budget proposal? (c) How would industry partner act as Co-PI on the proposal? How would that work financially, to distribute the award as the University PI and Co-PI could be from different agencies? Would the PI subcontract to the Co-PI, or would the award be split between the PI and Co-PI based on the budget proposal?
A: [These questions will be treated on a case-by-case basis]. Per KSTC general guidelines, the majority of funds should be spent at the awardee institution in Kentucky. Keep in mind that these projects will be peer reviewed; our recommendation is to focus intently on how the use of funds will address and ensure the achievement of the UPAIR milestones, outputs, and outcomes in the best interest of Kentucky. Partners at the PARTNER phase are expected to provide in-kind and financial support for the venture. We are open to a variety of suggestions. In general terms, there is no requirement to submit a proposal with a Co-PI, there is no requirement for the PI to share the budget/funds with the Co-PI, and a Co-PI can profit from the venture in other ways.

D. QUESTIONS ABOUT THE PHASES

1. Can I apply for just IDEATE phase?
   A: No. The proposal must provide the "big picture" of how the project will lead to the desired program outputs and outcomes, with an overview of a plan for the entire 24 months. The UPAIR goal is to reach full partnership, not just fund the IDEATE phase (i.e. R&D activities only).

2. Do the IDEATE phase plus the ENGAGE phase need to be no more than 12 months total?
   A: Yes. The plan/vision provided in the application is to achieve full partnership within 12 months, with engagement of industry at six months and industry partnership at 12 months.

E. QUESTIONS ABOUT APPLYING

1. Do PIs need to be full-time faculty?
   A: Refer to the program guidelines. Only faculty with regular appointments or independent researchers at colleges and universities are eligible to apply as PI.

2. Is an adjunct professor eligible to serve as the PI?
   A: No.

3. (a) Can a university researcher be part of multiple submissions? (b) Can a researcher serve as PI on one proposal and as Co-PI on another proposal?
   A: No. Only one proposal may be submitted per PI or Co-PI per round.

4. If I have an active KSEF award, am I eligible to apply as PI and/or Co-PI?
   A: If you have an active RDE award you are eligible to apply IF you are in good standing with all KSTC/KSEF managed programs. In other words, any applicant (PI, Co-PI, or team member) delinquent on their reporting commitment with any of the KSTC/KSEF-managed programs must fulfill all award reporting requirements before they are eligible to apply for UPAIR (for RFP-001) before May 8. Also, only one proposal may be submitted per PI or Co-PI per round.

5. Can small businesses apply with a confirmed university partner?
   A: The applicant is the university, not the small business.

6. (a) Do we need to have identified an industrial partner at the time of the initial proposal?
   (b) I am thinking of a couple of companies that might be potentially interested in the research I want to propose. Do I need to narrow this down to a single prospective partner, or is it good to include letters of support from a couple companies that might be interested?
   A: Although you do not need to have a partner at the time of initial application, you do need to have a very good idea of what the industry is looking for and communicate this clearly in your proposal. Nevertheless, letters of support from an industry confirming industry interest in the proposed topic make a proposal more competitive.
   Letters of support from multiple companies who might be interested is a good idea.

7. Are letters of support required for the IDEATE phase application?
   A: A proposal will not be disqualified if it does not have letters of support attached; however, letters of support would strengthen the application and make it a more competitive proposal.

F. INDUSTRY PARTNER AND PARTNERSHIP QUESTIONS

1. Do you have a preferred definition of "industry" – e.g. large, small, medical?
   A: No; however, any combination planned

for the partnering group: e.g. university +companies +national labs, must have an interest in future R&D work and eventually sponsoring/funding.

2. How do we deal with the issue of IP with the industry partner, if this arises? Will there be a well-defined approach to address this?
A: This will be a question for the appropriate university IP office.

3. What about partnering with an industry that does not have researchers?
A: The partners must have an interest in developing new technology together. The nature of the partnership will be different for each proposal, and even for each partner within a proposal.

4. Are you planning on helping facilitate industry with academic researchers, or are you planning that research has already found a research partner?
A: We anticipate submissions will be of all kinds. We will provide support and other resources to help build the partnership with awardees.

5. What do you expect from a possible or recommended partnership with a federal laboratory that is collaborating with a targeted business?
A: Metrics and outputs expected include project-based learning experiences, internships, workforce development, college completion/success, collaborations, intellectual property, and follow-on funding industrial support for R&D partners.

6. Would the industry partner be required to cost-share?
A: There is no requirement for matching funds; however, the partnership plan is expected to indicate when and how the partners will help achieve the goals of the program with in-kind and financial support.

7. How does industry partner work as Co-PI?
A: There are several answers. Please email the question with a little more detail to KSEFpm@kstc.com so we can answer this case-specific.

8. Can the private company be located outside Kentucky?
A: The industrial partner can be located outside of Kentucky. A competitive proposal should always address how the partnership will be most beneficial to the Commonwealth.

9. Are industry partners limited to Kentucky or nationwide?
A: Industry partners can be from anywhere; they are not limited to Kentucky.

10. Do industry partners need to have a Kentucky facility?
A: Industry partners are not required to have a Kentucky facility; however, the vision should have a great outcome for Kentucky and our research enterprises.

11. Should the industrial partner be within the USA?
A: The limitation for the industrial partner is regarding sharing of funds. If the company does not have a USA presence, funds will not be transferred to that company. Fulfilling the requirements to provide internships, co-ops, and entrepreneurial training may also be difficult to accomplish for an non-USA based company.

12. What level of commitment do we need from the industry partner at the application stage, where only the IDEATE is being awarded? If I understand the program description properly, the industry partner will not really start actively doing research work with us until the ENGAGE phase.
A: The program requirement for engagement with the partner is a the ENGAGE phase. However, a partnership may start earlier, and the nature of that

partnership will take different forms at the different phases.
Note: Multiple companies can partner at any and all stages.

G. OTHER QUESTIONS

1. Does this program cover researchers in the Animal Nutrition area?
    A: Yes, it covers any science research-based project.

2. Is a project with a company about production management acceptable for manufacturing?
    A: Please email the question with a little more detail to KSEFpm@kstc.com so we can answer this case-specific. The proposal must be an R&D project.

3. Why is there a five-year post-reporting requirement?
    A: This is a requirement for all KSEF awards. The data is used to track program success and report outcomes to our sponsoring agency CPE/State of Kentucky.

4. Is a PhD required for PI and/or required on the team?
    A: Refer to the "Eligibility Requirements" in the guidelines and RFP.

5. Are technical skills, such as certificates and two-year degrees, being considered a success?
    A: If the question is college success as an outcome, yes. The desire is to help students in Kentucky colleges and universities be better prepared to transition into our R&D industry.

6. Do you envision a linkage with SBIR applications?
    A: UPAIR is entirely outside SBIR.

7. Will this be an annual call?
    A: This is the initial call for a new pilot program. The project is a two-year project.

8. Is it safe to assume that attracting more manufacturers to come to Kentucky is a significant goal?
    A: Yes; however, it does depend upon how it can be attracted.

9. Would characterizing the status of a particular industry in Kentucky be appropriate for this program?
    A: [These are case specific questions] Industry partners are not required at the IDEATE phase; however, engaging industry must occur within six months of an award. Reviewers would not just want to see characterization of an industry sector, but some other forms of confirming an industry engagement can occur within six months and the potential of a partnership in 12 months. Letters confirming interest in the path being proposed could be appropriate.

10. Would providing access to a new technology and skills to allow existing industries to elevate themselves within their industry be a potential application?
    A: [These are case specific questions] In general terms, the "new technology" must be something to be developed (pre-competitive R&D) for a specific partner/partnership plan.