



**GRANT SOLICITATION**

**Collaborative Research Matching Grant Program**

**Solicitation No. 2020-JAII-04**

**Massachusetts Technology Collaborative  
75 North Drive  
Westborough, MA 01581-3340  
<http://www.masstech.org>**

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<b>Team Leader:</b>	<b>Pat Larkin</b>
<b>Applications Due:</b>	<b>Rolling Submissions</b>

## 1. INTRODUCTION

### 1.1 Overview

The Innovation Institute, a non-divisible component of the Massachusetts Technology Collaborative (“Mass Tech Collaborative”), is offering matching grants to fund capital research and development (R&D) projects in the state.

While MassTech will review all qualified applications, special consideration will be given to applications that:

- Address opportunities for near-term economic recovery by achieving economic development outcomes that contribute to economic growth and competitiveness
- Focus on one or more of the high priority technology sectors outlined below in the solicitation. These sectors include:
  - Defense & Aerospace
  - Robotics
  - Cybersecurity
  - Marine Technology
  - Digital Health
  - Artificial Intelligence
  - Quantum Mechanics in applied technologies, such as computing, sensors, systems integration and others.
  - FinTech
  - Blockchain
- Promote geographic, social, racial and economically equitable outcomes.

Mass Tech Collaborative will be the contracting entity on behalf of the Innovation Institute for the purposes of this Solicitation, and (except where the specific context warrants otherwise), the Innovation Institute and Mass Tech Collaborative are collectively referred to as Mass Tech Collaborative or MassTech. Mass Tech Collaborative will enter into an R&D Grant Agreement and Statement of Work with selected Respondents containing certain standard provisions (the “Agreement”), located [HERE](#). The funding for this Program is primarily sourced from the Commonwealth of Massachusetts (Chapter 238 of the Acts of 2012 and Chapter 219 of the Acts of 2016).

### 1.2 Mass Tech Collaborative and the Innovation Institute

Mass Tech Collaborative is an independent public instrumentality of the Commonwealth of Massachusetts chartered by the Commonwealth to serve as a catalyst for growing its innovation economy. Mass Tech Collaborative brings together leaders from industry, academia, and government to advance technology-focused solutions that lead to economic growth, job creation, and public benefits in Massachusetts. For additional information about Mass Tech Collaborative and its programs and initiatives, please visit our website at [www.masstech.org](http://www.masstech.org).

Established in 2004 as a division of Mass Tech Collaborative, the Innovation Institute works to support key industry clusters and to improve conditions for growth in the Commonwealth’s Innovation Economy. The ‘Innovation Economy’ can be described as the economy that transforms knowledge into new ideas, ways or patterns of thinking, products, processes and services that fuel economic growth, create employment and wealth, and generate significant improvements in the region’s standard of living. The Innovation Institute provides targeted, expert services, often accompanied by investments, to support the growth and enhance the competitiveness of key industry clusters in the Commonwealth’s knowledge economy. For more information about the Innovation Institute and its activities and investments, please visit the web site at [www.masstech.org/innovation-institute](http://www.masstech.org/innovation-institute).

## 2. THE GRANT

### 2.1 Grant Overview

Following the enactment of the 2020 Economic Development Bond Bill ([H5250](#)), which included \$50 million in funding for this program (Line Item - 7002-8004) MassTech has updated this program to address new priorities and immediate needs.

We are currently seeking applications that include new research and development ideas among companies and other research institutions working in collaborative partnerships to advance new, tech-based innovations into the marketplace with direct impacts on the economy in the near term. These economic impacts must improve the competitiveness of Massachusetts firms and contribute to increased business revenues and increasing total employment within firms and other institutions across the Commonwealth.

The Collaborative Research Matching Grant Program is expanding its focus to include a broad range of university and industry partners which can contribute to economic recovery in the near term. We are specifically encouraging the following to form partnerships and participate in collaborative applications:

- University-based research centers.
- Traditional Higher Education Partners: Institutions that perform STEM research in relevant academic disciplines, but not in dedicated research centers or other discrete administrative entities;
- Technology & Innovation Partners: Organizations – both for-profit and not-for-profit – that can contribute to technology development and commercialization
- Other R&D Assets: Non-university organizations both for-profit and not-for-profit – that focus on one or more of the priority clusters or can otherwise contribute a necessary or unique element to an application, such as workforce training.
- Regional Assets: Entities that can contribute to a project by disseminating R&D outcomes contributing to the implementation of these outcomes or otherwise promote geographical equity.

The purpose of updating this existing Matching Grant Program solicitation is to expand the number and type of potential funding recipients and to communicate a new priority for proposals that offer near term economic recovery in the focus areas. All awards and resulting expenditures are subject to the availability of bond funding from the Commonwealth as determined by EOHE and the Executive Office for Administration and Finance. Grants shall be awarded in a manner that promotes geographic, social, racial and economically equitable outcomes.

Applications to this Solicitation shall be accepted on a rolling basis.

**Consideration for this Grant is a two-step process, beginning with the submission of a Concept Paper. If chosen, Respondents will then be asked to submit a full application ("Application") for review. Additional details can be found in Section 2.4, Section 3, Exhibit 1 and Exhibit 2. Concept Papers and Applications to this Solicitation shall be accepted on a rolling basis.**

### 2.2 Background

The Matching Grant Program is intended to support collaborative projects that demonstrate potential to spur innovation, cluster development and job growth through industry partnerships in the Commonwealth. The role of universities and other not-for-profit research organizations is central to the objectives of this

solicitation, which seeks to build on and expand collaboration amongst research institutions.

Applications will be reviewed on a project-by-project basis and assessed on the technical merit and economic impact potential of each individual application, as well as the timeline for demonstrable and measurable economic impact. The Innovation Institute will consult with the program's Investment Advisory Committee and make recommendations to the Executive Committee of the MassTech Board of Directors, the governing body that has final authority to approve Matching Grant Program awards.

Provision of grant funds is specifically contingent upon satisfaction of the following conditions: completion of all required Mass Tech Collaborative internal approvals; receipt of written notice of matching awards or monies from project partners( e.g. the Federal government, foundations, or corporations), execution of an agreement between the awardee and applicable partners, execution of a Project Grant Agreement between the Mass Tech Collaborative and the awardee, and the availability of funds from the Commonwealth's capital budget.

### **2.3 Grant Requirements and Guidance**

**Consideration for this Grant is a two-step process, beginning with the submission of a Concept Paper. If chosen, Respondents will then be asked to submit a full application for review. Additional details can be found in Section 2.4, Section 3, Exhibit 1 and Exhibit 2.**

#### **A. Eligibility to Receive Funding Through the Matching Grant Program**

In order to be eligible to receive funds from the Matching Grant Program:

- The lead or primary applicant must be a research university, non-profit research institution, or other non-profit entity legally organized in Massachusetts.
- Applications must identify and describe an opportunity that focuses on (i) existing economic strengths and assets in the Innovation Economy that will expand an existing industry cluster, or (ii) developing the potential to achieve marketplace dominance in one or more existing clusters.
- All Applications must include collaboration amongst two or more tech and innovation economy assets as defined above.
- As part of the full Application (if invited to submit), Respondents are required to submit a project plan and budget that complies with the requirements set forth in **Section 2.4 B ii. (Mandatory Cost Sharing/Match Requirements), Section 2.4 B iii. (Use of Proceeds), Exhibit 2 (Application Project Plan Narrative and Budget Guidelines) and Attachment D (Application Budget Template)**

#### **B. Focus Areas**

Through the allocation of Matching Grant Funds, the Commonwealth aspires to identify and support the highest-value opportunities to strengthen and expand the state's tech and innovation economy, with a focus on the growth and increased competitiveness of existing or new industry clusters with the potential to achieve competitive dominance. Evaluation considerations for this goal will include:

- Is there a critical mass of firms within the sector/cluster already in the state?
- Is the growth and success of the sector/cluster driven by access to the areas of strength that characterize the Massachusetts innovation ecosystem – talent, capital, proximity to world class research universities, etc.?
- Can government intervention/engagement positively influence the trajectory of the cluster/sector?
- Have the Massachusetts firms that are members of the sector/cluster: (1) already achieved a dominant position in the market and are they seeking to sustain and expand their dominance; or (2) have they demonstrated the potential to achieve a dominant position in the market within a near-term timeframe.

Policymakers within EOHE and the Mass Tech Collaborative Innovation Institute have been fully engaged in cluster-based economic development for some time. The list of priority sectors listed above is based upon information and input from business, institutional and other thought leaders and stakeholders throughout the Commonwealth. The capabilities of industries and universities in emerging sectors offer the potential for significant increases in new knowledge, efficiency, value, new products and other innovations that offer the potential for Massachusetts to establish dominance in these sectors on a global scale.

All applicants to the Matching Grant Program must demonstrate that Massachusetts has the potential for establishing a dominant global position in the proposed sector, and that their application will impact the sector's growth.

### **C. Funding**

The Matching Grant Program will fund collaborative projects at two levels based on the principles and priorities described in this solicitation. Successful Applications must describe the project's direct impacts and linkages to economic clusters and industry sectors with growth potential in Massachusetts and its regions. Level One awards represent larger priority projects generally targeted at \$3-5 million awards. These will mostly be high-value, high-impact collaborative research, development and deployment opportunities that establish or sustain dominant competitive positions in the marketplace for Massachusetts' priority industry clusters or that support economic recovery efforts. Level One Applications requesting larger amounts for any focus area will be required to demonstrate a potential for larger and more widespread impact and sector dominance in the Innovation Economy. Larger awards may be considered if they address multiple categories of the program's criteria and result in impacts sufficient to forego funding other opportunities in that industry sector or economic cluster.

Level Two awards will provide up to \$1 Million for collaborative projects with outcomes in the near-term that contribute to a strategic approach to create or grow a target cluster or industry or that contribute to immediate economic recovery activities. Applicants may exceed a \$1 Million funding request for projects that offer a tangible near term impact on economic recovery in any of the priority focus areas.

The availability of grant funds will be based upon the actual allocation of bond funds from the Commonwealth's capital budget to the Mass Tech Collaborative for this program.

### **D. Disbursement of Funds**

The Mass Tech Collaborative will disburse funds on a reimbursement basis in accordance with the budget, payment terms, schedules, and other terms and conditions established in the Grant Agreement and Statement of Work. A requirement for all awards will be additional, companion expenditures of awards by the Federal Government, universities, foundations, corporations and/or cash & in-kind contributions that match state investment through the Match Grant Program on a 1:1 basis. Among other conditions, payment will be subject to: (i) execution of an agreement between the grantee and each entity providing matching funds; (ii) receipt by the grantee of the applicable portion of the matching funding, (iii) submission of valid invoices and reports from the grantee evidencing the expenditures to be reimbursed, match funds recognized, and certifying to the capital nature of the expenditure, and (iv) Mass Tech Collaborative's access to sufficient bond funding from the Commonwealth.

### **E. Grant Management and Minimum Deliverables**

Within 30 days after the execution of a Grant Agreement and Statement of Work, the awardee and Mass Tech Collaborative will mutually schedule a launch meeting to review the activities proposed to be conducted under the agreement, schedule, and reporting requirements.

All awardees must provide the following minimum deliverables to the Mass Tech Collaborative, to be more

fully detailed in the Grant Agreement and Statement of Work:

- Semi-annual interval reports;
- Quarterly financial reports;
- Annual reports detailing research, and development outcomes and the resulting economic activities that are creating impacts
- Information on technology transfer, revenue & new hiring and any other associated economic benefits.

The Mass Tech Collaborative reserves the right to require an awardee to establish an advisory board for the project that has one (1) member of such board selected by the Mass Tech Collaborative. Awardees may also be required to host project site visits by Mass Tech Collaborative staff and contractors and participate in interviews by the Mass Tech Collaborative or its designees for purposes of monitoring and evaluation.

## 2.4 **Evaluation Process and Criteria**

### A. **Concept Paper**

**Potential applicants are required to first submit a Concept Paper not to exceed ten pages (inclusive of appendices) prior to developing a full Application.** Applicants may subsequently be invited to submit a full Application that builds upon the concept paper.

Please refer to **Exhibit 1** for instructions and guidelines on the preparation of Concept Papers.

### B. **Application**

If invited to submit a full Application, please refer to **Exhibit 2** for Application Project Plan Narrative and Budget Guidelines.

A team from Mass Tech Collaborative will collect and review the full Applications against the criteria below:

#### i. **Project Description and Attribute Evaluation Categories**

Funding decisions will be made based upon the anticipated impact on the Massachusetts economy. Applications must identify and describe the capital project that also includes an opportunity that focuses on (i) existing economic strengths and assets in the Innovation Economy that will expand an existing industry cluster, or (ii) developing the potential to achieve marketplace dominance in one or more existing clusters.

The following categories describe attributes that successful Applications should include. All Applications will be evaluated against the qualifications, capacity and experience of the proposed project team; the project's demonstrated potential for success in each evaluation category; and the composition of the project team's cost share within the context of the project team's demonstrated commitment to the project and financial capacity.

- Scientific & Technological Merit  
All Applications must sufficiently demonstrate the feasibility of the proposed project to achieve new (or materially enhanced) products, processes, or applications which will result in a position of dominance for the target cluster/sector.
- Collaboration

All successful Applications must involve the participation and cooperation of multiple organizations as described in Section 2.1 above. Ideally, Applications: (i) will be based on the best available talent; (ii) will focus on achieving maximum economic development impact; and (iii) should include collaboration with more than one tech & innovation economy asset, including both private and public universities.

- Priority Industry Sector  
Applicants must identify the priority industry sector that is the target of the Application and how the proposed project will promote near-term economic recovery through the growth of this sector. The Commonwealth has identified above multiple leading industry sectors which have demonstrated potential for growth and an ability to achieve market dominance. Project partners must also be able to work with other tech & innovation economy participants in collaborative efforts to achieve project outcomes that contribute directly to and result in strong economic growth and increased employment opportunities.
- Cluster-Based Strategy & Effects  
Applications must include a description of the cluster that is related to the proposed project and include a presentation of a cluster-based strategy that aligns with the objectives of this offering. The strategy must identify cluster strengths, the market position of project proponents in Massachusetts, the relevant experience and resources of project partners, and links the project plan to economic development outcomes and growth in market share. The strategy should consider the involvement and participation of leading and emerging industry associations, entrepreneurship groups, investment capital sources, workforce training or skills development organizations and other categories of economic actors in the tech & innovation economy. Priority will be given to projects that include high-impact activities with direct, immediate interaction with industry that demonstrably enhances economic competitiveness, sector dominance and company.
- Regional Impact Beyond Traditional Innovation Centers  
Priority will be given to Applications that extend impacts into regions beyond Greater Boston and other areas already enjoying concentrations of innovation capacity and related economic development activity. These include [Gateway Cities](#) and regional economies, including those adjacent to or connected to New England-wide economic clusters.
- Workforce Development, Talent Pipeline & Retention  
Priority will be given to projects that include an education or training component connected to current and/or future labor market needs, and including talent retention strategies such as co-operative employment, internships, job placements and direct hiring. Applications that include partnerships with community colleges, workforce investment boards and career centers, as well as with companies and industry associations will be viewed favorably.
- Equality  
Applications that include elements that contribute to geographic, social, racial and economically equitable outcomes will be viewed favorably.
- Sources of Funds  
Applications will be evaluated based upon the total amount of funds requested from the MassTech Collaborative and the amount, source, composition, and strength of the commitment of matching funds balanced against the potential

overall economic impact of the project on the Massachusetts Innovation Economy. Larger amounts invested from matching sources may not necessarily result in greater economic impacts. Therefore, project creating impacts that address unmet economic needs and opportunities resulting in sector growth and dominance in the Massachusetts' Innovation Economy may be given priority over those that request less funding or simply attract funds from the Federal Government or other sources.

The order of these factors does not generally denote relative importance. The Mass Tech Collaborative reserves the right to consider such other relevant factors as it deems appropriate.

**ii. Mandatory Cost Sharing/Match Requirements**

A requirement for all awards will be additional, companion expenditures of awards by the Federal Government, universities, foundations, or corporations that match state investment through the Match Grant Program on a 1:1 basis. All contributions, including cash and in-kind contributions, will be accepted as part of the grant recipient's cost sharing requirement provided that such contributions meet all of the following criteria: (i) are necessary to accomplish the objectives of the collaborative project; (ii) are included in the approved budget for the collaborative project; (iii) are allocated separately for the Matching Grant Program award; (iv) are verifiable from recipient's records; (v) are not included as matching contributions for any other federal or state-supported project; and are not provided by a state agency in the Commonwealth (as defined in section 39 of chapter 6 of the Massachusetts General Laws). To the extent the applicant's application deviates from these expectations, the applicant must clearly describe and justify the proposed alternative approach. The Mass Tech Collaborative will evaluate the composition of the project team's cost share within the context of the project team's demonstrated commitment to the project and financial capacity.

**iii. Use of Proceeds**

The grant funds to be provided by Mass Tech Collaborative must be used for funding capital projects that are an integral part of the overall project or initiative being undertaken by the applicant. As part of their full application, applicants must submit the budget for their overall collaborative project, including the portions of the project not funded by the Mass Tech Collaborative. In that overall budget, applicants should specify which portions the expenditures associated with the capital projects are proposed to be funded by the Mass Tech Collaborative. Any capital expenditure to be funded by the Mass Tech Collaborative under this program must be one that will be accounted for by the recipient in its financial records as a capital expenditure under Generally Accepted Accounting Principles ("GAAP"). Examples of such capital expenditures could include expenditures for the purchase of equipment and the development of new technology platforms or systems, the acquisition of land and existing facilities, construction of new buildings and the renovation of existing buildings. Such capital expenditures may also include salaries of staff directly engaged in planning and managing capital projects to the extent such expenditures are capitalizable under GAAP. Salaries of individuals engaged in operations, as well as other operating costs, are not capital expenditures.

The Mass Tech Collaborative shall evaluate each Application that is properly submitted. As part of the selection process, Mass Tech Collaborative may invite finalists to answer questions regarding their Application in person or in writing. In its sole discretion, Mass Tech Collaborative may also choose to enter into a negotiation period with one or more finalist Respondent(s) and then ask the Respondent(s) to submit additional information.



Lack of debarment status by either the state or federal government is also required.

The order of these factors does not generally denote relative importance. The goal of this Solicitation is to select and enter into an Agreement with the Respondent that will most closely align with MassTech Collaborative's goals in the publication of this Solicitation. Mass Tech Collaborative reserves the right to consider such other relevant factors as it deems appropriate.

### 3. APPLICATION PROCESS

#### 3.1 Application and Submission Instructions

Respondents are cautioned to read this Solicitation carefully and to conform to its requirements. Failure to comply with the requirements of this Solicitation may serve as grounds for rejection of a Concept Paper or Application.

##### a. **Concept Paper Submission Instructions**

- i. Concept Papers must be submitted by email (.pdf or .doc) to [Byrnes@masstech.org](mailto:Byrnes@masstech.org) prior to submission of a full Application. (**See Exhibit 1 for Concept Paper guidance**)
- ii. A signed Concept Paper Authorized Respondent's Signature and Acceptance Form (**Attachment A**) must be submitted with the Concept Paper.
- iii. A statement indicating compliance with the terms, conditions and specifications contained in this Solicitation must be included with the Concept Paper. Submission of the signed Concept Paper Authorized Respondent's Signature and Acceptance Form (**Attachment A**) with the Concept Paper shall satisfy this requirement. **Please read the certifications carefully before signing.**

##### b. **Application Submission Instructions**

If invited to submit an Application:

- i. All Applications must be submitted electronically, in Microsoft Word format.
- ii. Required Submissions- All Applications must include the items listed below:
  - Application Cover Sheet (**Attachment B**)
  - Application, which shall include:
    - A description of Respondent (including descriptions of proposed subcontractors, if any) and Respondent's qualifications to perform the Project.
    - The details of Respondent's proposed Project, including:
      - A Project Plan Narrative (this section must include a schedule, milestones, deliverables, projected outputs and outcomes and related performance measures and indicators) (**see Exhibit 2 for narrative guidelines**)
      - A Signed Organizational Approval Letter stating the sponsoring organization's support for the proposed project
      - Letters of participation and letters of support from collaborating organizations including any organizations providing match
      - Biographical sketch (limited to 1 page each) for the Project Director and key staff for the proposed project - there should be at least one biographical sketch from each collaborating organization

- Project Budget (**see Exhibit 2 for budget guidelines**). The total not-to-exceed costs for the Project based on projected hours, proposed hourly rates, as well as any other appropriate costs, must be listed in the completed Budget Template (**Attachment D, found [HERE](#)**). List additional fees, overhead charges, or reimbursable expenses, if any. As a general policy, the Mass Tech Collaborative does not pay mark-ups on reimbursables or out-of-pocket expenses. Mass Tech Collaborative also does not pay for word processing, overtime or meals. For travel costs, the Mass Tech Collaborative pays the IRS rate per mile.
  - Application Authorized Application Signature and Acceptance Form (**Attachment C**), which contains specified certifications by Respondent. **Please read the certifications carefully before signing.**
  - Exceptions to the *Research and Development Grant Agreement and Statement of Work*, located [HERE](#), if any.
- iii. Applications must be delivered electronically to [proposals@masstech.org](mailto:proposals@masstech.org) (please include the Solicitation number in the subject heading).
- iv. Any and all responses, Applications, data, materials, information and documentation submitted to Mass Tech Collaborative in response to this Solicitation shall become Mass Tech Collaborative's property and shall be subject to public disclosure. As a public entity, the Mass Tech Collaborative is subject to the Massachusetts Public Records Law (set forth at Massachusetts General Laws Chapter 66). There are very limited and narrow exceptions to disclosure under the Public Records Law. If a Respondent wishes to have the Mass Tech Collaborative treat certain information or documentation as confidential, the Respondent must submit a written request to the Mass Tech Collaborative's General Counsel's office no later than 5:00 p.m. fourteen (14) business days prior to the required date of Application submission set forth in Section 4.2 below. The request must precisely identify the information and/or documentation that is the subject of the request and provide a detailed explanation supporting the application of the statutory exemption(s) from the public records cited by the Respondent. The General Counsel will issue a written determination within ten (10) business days of receipt of the written request. If the General Counsel approves the request, the Respondent shall clearly label the relevant information and/or documentation as "**CONFIDENTIAL**" in the Application. Any statements in an Application reserving any confidentiality or privacy rights that is inconsistent with these requirements and procedures will be disregarded.

### 3.2 Application Timeframe

This is a rolling submission. Concept Papers and Applications will be accepted on an ongoing basis while the Solicitation remains open.

Mass Tech Collaborative reserves the right to waive the Concept Paper requirement in the face of pending federal solicitation deadlines that necessitate timely review of a full application.

### 3.3 Questions

Questions regarding this Solicitation must be submitted by electronic mail to [Byrnes@masstech.org](mailto:Byrnes@masstech.org) with the following Subject Line: "Questions – Solicitation No. 2020-JAII-04". Responses to all questions

received will be posted to the Mass Tech Collaborative's and the Commbuys websites within one week of being received.

### **3.4 Interviews & Selection of Awardees**

Applications will be subject to an administrative review to determine compliance with the Solicitation requirements. Mass Tech Collaborative staff may contact the Respondent to request supplemental or clarifying information as part of the formal review process. The staff may also request an interview with or presentation by the Respondent. All awards under this Solicitation are subject to review and recommendation by the Matching Grant Program Investment Advisory Committee and subject to final review and approval by the Executive Committee of the Mass Tech Collaborative Board of Directors.

## **4.0 GENERAL CONDITIONS**

### **4.1 General Information**

- a) If a Concept Paper or Application fails to meet any material terms, conditions, requirements or procedures, it may be deemed unresponsive and disqualified. The Mass Tech Collaborative reserves the right to waive omissions or irregularities that it determines to be not material.
- b) This Solicitation, as may be amended from time to time by Mass Tech Collaborative, does not commit Mass Tech Collaborative to select any organization(s), award any grant funds pursuant to this Solicitation, or pay any costs incurred in responding to this Solicitation. Mass Tech Collaborative reserves the right, in its sole discretion, to withdraw the Solicitation, to engage in preliminary discussions with prospective Respondents, to accept or reject any or all Applications received, to request supplemental or clarifying information, to negotiate with any or all qualified Respondents, and to request modifications to Applications in accordance with negotiations, all to the same extent as if this were a Request for Information.
- c) On matters related solely to this Solicitation that arise prior to an award decision by the Mass Tech Collaborative, Respondents shall limit communications with the Mass Tech Collaborative to the Procurement Team Leader and such other individuals as the Mass Tech Collaborative may designate from time to time. No other Mass Tech Collaborative employee or representative is authorized to provide any information or respond to any questions or inquiries concerning this Solicitation. Respondents may contact the Procurement Team Leader for this Solicitation in the event this Solicitation is incomplete.
- d) The Mass Tech Collaborative may provide reasonable accommodations, including the provision of materials in an alternative format, for Respondents with disabilities or other hardships. Respondents requiring accommodations shall submit requests in writing, with supporting documentation justifying the accommodations, to the Procurement Team Leader. The Mass Tech Collaborative reserves the right to grant or reject any request for accommodations.
- e) Respondent's Application shall be treated by the Mass Tech Collaborative as an accurate statement of Respondent's capabilities and experience. Should any statement asserted by Respondent prove to be inaccurate or inconsistent with the foregoing, such inaccuracy or inconsistency shall constitute sufficient cause for Mass Tech Collaborative in its sole discretion to reject the Application and/or terminate of any resulting Agreement.
- f) Costs that are not specifically identified in the Respondent's response and/or not specifically accepted by Mass Tech Collaborative as part of the Agreement will not be compensated under any contract awarded pursuant to this Solicitation.
- g) Mass Tech Collaborative's prior approval is required for any subcontracted services under any Agreement entered into as a result of this Solicitation. The selected Respondent will take all

appropriate steps to assure that minority firms, women's business enterprises, and labor surplus area firms are used when possible. The selected Respondent is responsible for the satisfactory performance and adequate oversight of its subcontractors. Subcontractors are required to meet the same requirements and are held to the same reimbursable cost standards as the selected Respondent.

- h) Submitted responses must be valid in all respects for a minimum period of sixty (60) days after the deadline for submission.
- i) Mass Tech Collaborative reserves the right to amend the Agreement at any time prior to execution. Respondents should review the Agreement as they are required to specify any exceptions to the Agreement and to make any suggested counterproposal in their Application. A failure to specify exceptions and/or counterproposals will be deemed an acceptance of the Agreement's general terms and conditions, and no subsequent negotiation of such provisions shall be permitted.

#### **4.2 Posting of Modifications/Addenda to Solicitation**

This Solicitation has been distributed electronically using the Mass Tech Collaborative and COMMBUYS websites. If the Mass Tech Collaborative determines that it is necessary to revise any part of this Solicitation, or if additional data is necessary to clarify any of its provisions, an addendum will be posted to the websites. It is the responsibility of each potential Respondent to check the Mass Tech Collaborative, the Innovation Institute and COMMBUYS websites for any addenda or modifications to the Solicitation. The Mass Tech Collaborative accepts no liability and will provide no accommodation to Respondents who submit a response based on an out-of-date Solicitation.

## Exhibit 1

### **Collaborative Research Matching Grant Concept Paper Guidelines and Outline**

This guide is to be used as a starting point for the development of a concept paper. The purpose of a concept paper is to determine the intersection and alignment of the proposed project with the goals of the Matching Grant Program. The concept paper will allow the Innovation Institute to perform analysis and due diligence in determining the appropriateness of a full application submission. Concept papers should be clear and concise, not more than 10 pages (inclusive of appendices) and free of policy or business jargon.

#### **Outline:**

**Introduction:** Provide a brief description of the project for which you are seeking funding. Demonstrate that you understand the mission of the Matching Grant Program and explain how the proposed project fits in with its objectives. Describe all collaborative partners, the benefit of such partnerships and their role in the project. Be sure to define the unmet need and answer the question: Why does this project matter?

**Project Description:** Concisely describe what the applicant proposes to do, the approach and potential impacts. Identify the “unmet need” and explain how the proposed project is the best possible solution to meeting this need. Be sure to address the timeliness of the work being proposed and explain how the experience of the applicant and its partners makes them the best suited for performing this work. Explain the cluster development and/or economic recovery aspects of the approach being proposed and show why this approach is the best solution (make a compelling case for funding).

**Goals and Objectives:** Outline the goals and objectives of the project being described. Goals will represent a simple and clear statement of the vision, specifying the accomplishments to be achieved for the vision to be realized. Objectives will represent a statement of measurable outcomes that relate to the program goals and will include clear statements of the specific activities required to achieve the outcomes necessary for reaching the objective.

#### **Benefits/Anticipated Cluster Outcomes**

This section will speak to the expected outcomes of the project and how the outcomes benefit the targeted cluster and the timeline on which the expected outcomes and benefits will be achieved.

#### **Methodology & Timelines**

How will the project be carried out? Make sure you have connected goals and objectives to your methodology/timeline.

#### **Support Needed & Costs**

State the total dollar amount for the project, provide a high-level budget for the capital funds being requested and provide information about how funds will benefit the overall project. Be sure to provide an overview of the required matching funds, including how those funds will be used and the current state of securing the required matching funds. Also describe any significant programming, facilities and equipment already in place to complement the project. Also include information on key personnel and their previous relevant experience.

#### **Contact Information**

Provide full contact information for the individual responsible for the proposed project and the applicant.

## **Exhibit 2**

### **Application Project Plan Narrative and Budget Guidelines (for full Application invitees)**

#### **Project Objectives**

*Describe the expected outcomes of the collaborative project in terms of the innovation, economic development, economic recovery and job growth that will be developed through this collaborative project. (2-3 pages)*

- What is the unmet need in the marketplace that represents an opportunity for new products, processes, and/or services?
  - What is the significance and/or size of this market opportunity?
  - What are the key external factors that are creating and driving this opportunity?
  - How is the market for the innovation to be developed under this project expected to change/grow over time?
  
- What is the current state of the art/status of products, processes, and/or services that address this unmet need in the marketplace?
  - What are the known functional/performance/cost requirements that must be addressed by new products, processes, and/or services to be competitive in this market?
  - What are the known technical barriers to achieving those functional/performance/cost requirements?

#### **The Concept**

*Describe the concept for the product, process, and/or service that will be developed through this collaborative project. (5-8 pages)*

- Using schematics, block diagrams, flow charts, sketches, etc. as appropriate, describe the product, process, and/or service.
- How and to what extent does this concept represent an improvement to the current state of the particular products, processes and/or services?
- What are the primary technical and implementation barriers that need to be addressed in order to develop and deploy the concept?

#### **The collaborative project or Initiative**

*Present the technical plan for the collaborative project in sufficient detail to enable reviewers of the application to understand “what, how, where, when, why, and by whom” the project will be carried out. In particular, the technical plan must distinguish the role of each partner and how its activities will be coordinated/integrated. (5-10 pages)*

- What are the technical objectives of the collaborative project?
  - What are the overall technical objectives of the collaborative project?
  - What are the technical objectives of the R&D activities that will be conducted by the primary applicant?
  
- What is the work plan for the project?
  - Describe all major tasks and subtasks.
  - Explain the technical rationale for each task.
  - Identify major risks and innovation inherent in specific tasks and strategies for managing risk.
  - Identify any linkages/dependencies between tasks conducted by the applicant and those conducted by the applicant’s partners.
  
- How will the project be managed?
  - What are the key milestones and success metrics for the collaborative project?
  - What are the performance measures and indicators that will be used to evaluate the performance of the grant recipient in carrying out the collaborative project?

- Describe how the activities conducted by the partners will be coordinated.
- Provide a Gantt chart for the project that illustrates the timing of major tasks and key subtasks.

### **The Team**

*Describe the partners, the key members of the technical, management, and business teams of the partners, and the role each is expected to play in the collaborative project. (3-5 pages plus resumes).*

- Identify the key management and technical personnel who will be involved in the collaborative project. (Provide resumes in an appendix).
- Provide an organization chart that clearly delineates the roles and responsibilities of each partner during the collaborative project.
- Identify and describe the role of any consultants, partners or major subcontractors.
- Summarize each partner's relevant experience and expected contributions to the project (including intellectual property) that will contribute to the overall project success.
- Describe each partner's major facilities, equipment and other resources that will contribute to the execution of the project.

### **The Commercialization or Implementation Plan and Pathway to Economic Benefits for Massachusetts**

*Describe the plan, resources and timeline to implement the innovation being developed through the collaborative project, with particular emphasis on the distinct roles and resources that will be deployed through the partners. (5-10 pages)*

- Describe the strategic vision for the partnership and projected revenue to be derived by the partners from the innovation being developed through the collaborative project over the next five years.
- Identify any key products, processes, and or services that will be commercialized, their target markets, target customers, and primary competitors.
  - Describe the value proposition that these key products, processes, or services will provide in each target market.
  - Describe the business model/strategy that will be deployed to bring the product(s), process(es), or service(s) to market.
  - Identify strategic alliances or early adopters that will accelerate/facilitate commercialization.
- Describe the roles and responsibilities of the partners in manufacturing, sales, and commercialization of products, processes or services derived from the innovation being developed through the collaborative project.
- Describe how the partners will manage relevant intellectual property.
  - Identify any relevant existing intellectual property of the partners that is expected to be incorporated into products, processes or services resulting from the collaborative project.
  - To the extent practical, characterize the nature of intellectual property that will be developed during the collaborative project.
  - Describe the ownership of and rights to intellectual property developed during the collaborative project and/or necessary to commercialize the products, processes or services described above.
- Identify where any manufacturing will take place and any other pathways to producing economic benefit in Massachusetts.
- Post development, how many R&D, manufacturing, and other jobs will be created in Massachusetts as a result of this project and in what timeframe will these outcomes occur?
  - What are the assumptions underlying this projection?

## **Budget**

Provide a budget for the collaborative projects Project using the provided form. The proposed budget should be consistent with the foundational principles of the Matching Grant Program. Respondents must submit the budget for their overall collaborative projects Project, including the portions of the project not funded by the Mass Tech Collaborative. The total grant budget must show the funding requested and the match on a 1:1 basis. The grant budget must also provide a summary of projected grant expenditures by fiscal year in the applicable tab of the Capital Project Budget Form. In the total budget, Respondents should specify which portions of the expenditures associated with the capital projects are proposed to be funded by the Mass Tech Collaborative. Any capital expenditure to be funded by the Mass Tech Collaborative under this Program must be one that will be accounted for by the recipient on in its financial records as a capital expenditure under Generally Accepted Accounting Principles (“GAAP”). Allowable grant expenses include Capital expenditures for the acquisition of land and existing facilities, construction of new buildings, renovation of existing buildings, and purchase of equipment and technology research platforms. Such capital expenditures may also include salaries of staff directly engaged in planning and managing capital projects to the extent such expenditures are capitalizable under GAAP. Salaries of individuals engaged in operations, as well as other operating costs, are not capital expenditures. Budgets must include sufficient detail of the proposed costs and of the status of the funding that will be used to meet matching requirements. This detail can be provided in the Supporting Detail tab of the Capital Project Budget Form or in narrative form. The Capital Project Budget Form is available as a separate MS Excel® workbook on the Mass Tech Collaborative’s website ([www.masstech.org](http://www.masstech.org)).



**Attachment A**

**CONCEPT PAPER**

**AUTHORIZED RESPONDENT'S SIGNATURE AND ACCEPTANCE FORM**

The undersigned is a duly authorized representative of the Respondent listed below. The Respondent has read and understands the Solicitation requirements. The Respondent acknowledges that all of the terms and conditions of the Solicitation are mandatory. By executing this Authorized Respondent's Signature and Acceptance Form, Respondent certifies that they (1) are in compliance with the terms, conditions and specifications contained in this Solicitation, (2) acknowledges and understands the procedures for handling materials submitted to the Mass Tech Collaborative as set forth in section 3.1 b. iv. of this Solicitation, (3) agrees to be bound by those procedures, and (4) agrees that the Mass Tech Collaborative shall not be liable under any circumstances for the disclosure of any materials submitted to the Mass Tech Collaborative pursuant to this Solicitation or upon the Respondent's selection.

I further certify that the statements made in this Response to this Solicitation, including all attachments and exhibits, are true and correct to the best of my knowledge.

Respondent: \_\_\_\_\_  
(Printed Name of Respondent)

By: \_\_\_\_\_  
(Signature of Authorized Representative)

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**Attachment B**

**Application Cover Sheet**

<b>Applicant Information</b>	
Primary Applicant – Organization	<b>Project Title:</b>
DUNS Number	Applicant Taxpayer ID# and jurisdiction (e.g., “a Massachusetts corporation”)
Mailing Street Address:	Total Funding Requested
State:	City/ Town:
Website	Zip Code:
Brief Summary of Project:	

<b>Point of Contact Information</b>	
<b>Applicant’s Designated Representative: Authorized to commit organization; notified upon decision of contract award</b>	
Name:	Title:
Organization: <i>If different from Applicant</i>	Phone:
Email Address:	Fax:
Mailing Street Address: <i>If different from Applicant</i>	City/ Town: <i>If different from Applicant</i>
State: <i>If different from Applicant</i>	State: Zip +4 Code: <i>If different from Applicant</i>
<b>Applicant’s Project Manager: Contact over course of project</b>	
Name:	Title:
Organization:	Phone:
Email Address:	Fax:
Mailing Street Address:	City/ Town:
State:	State: Zip +4 Code:

**Attachment C**

**Application Authorized Respondent's Signature and Acceptance Form**

The undersigned is a duly authorized representative of the Respondent listed below. The Respondent has read and understands the Solicitation requirements. The Respondent acknowledges that all of the terms and conditions of the Solicitation are mandatory. By executing this Authorized Respondent's Signature and Acceptance Form, Respondent certifies that they (1) are in compliance with the terms, conditions and specifications contained in this Solicitation, (2) acknowledges and understands the procedures for handling materials submitted to the Mass Tech Collaborative as set forth in section 3.1 b. iv. of this Solicitation, (3) agrees to be bound by those procedures, and (4) agrees that the Mass Tech Collaborative shall not be liable under any circumstances for the disclosure of any materials submitted to the Mass Tech Collaborative pursuant to this Solicitation or upon the Respondent's selection.

The Respondent understands that, if selected by the Mass Tech Collaborative, the Respondent and Mass Tech Collaborative will execute an Agreement specifying the mutual requirements of participation. The undersigned has either (*please check one*):

- specified exceptions and counter-proposals to the terms and conditions of the [R&D Grant Agreement](#);  
or
- agrees to the terms and conditions set forth therein;

The undersigned acknowledges and agrees that the failure to submit exceptions and counter-proposals with this response shall be deemed a waiver, and the Agreement shall not be subject to further negotiation.

Respondent agrees that the entire bid response will remain valid for sixty (60) days from receipt by the Mass Tech Collaborative.

I certify that Respondent is in compliance with all corporate filing requirements and State tax laws.

I further certify that the statements made in this response to the Solicitation, including all attachments and exhibits, are true and correct to the best of my knowledge.

Respondent: \_\_\_\_\_  
(Printed Name of Respondent)

By: \_\_\_\_\_  
(Signature of Authorized Representative)

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**Attachment D**

**Application Budget Template**

**See Excel spreadsheet**