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## **High Technology Project and Program Grants**

### **Sec. 10a-25g-1. Definitions**

When used in Sections 10a-25g-2 through 10a-25g-5 of these regulations,

(a) “Department” means the Department of Economic Development

(b) “High Technology Project” or “High Technology Program” means a project or program which requires or provides technological knowledge and skill, usually acquired through, or associated with, formal post-secondary education, instruction, or research in such fields as mathematics, science, and engineering.

(c) “Public Institution of Higher Education” or “Public Institution” means an institution so designated as part of the state system of public higher education under Section 10a-1 of the Connecticut General Statutes.

(Effective January 8, 1992)

### **Sec. 10a-25g-2. Purpose**

Grants under this program shall encourage, promote, develop and assist high technology projects and programs at public institutions. Emphasis shall be placed on such projects and programs which enhance quality at the institutions and respond to the economic needs of the state. Grant funds shall provide to public institutions state financial assistance in situations where such aid would not otherwise reasonably be available from other sources and shall be used by one or more public institutions for equipment purchases, contractual services and supplies which directly support or upgrade high technology instruction or research. The use of grant funds as seed money to attract additional non-state funding is encouraged, provided that grant funds and funds from non-state sources are used to supplement rather than supplant any other existing state funds.

(Effective April 27, 1984)

### **Sec. 10a-25g-3. Application process**

(a) The Department may circulate a Request for Proposal (RFP) to all public institutions to make application for grant funds in support of projects and activities identified by the institution(s) as consistent with the purpose of the grant program.

(b) The Department also may identify specific opportunities or activities which relate to the purpose of this grant program and invite public institutions to make application for grant funds in support of those specific opportunities or activities.

(Effective April 27, 1984)

### **Sec. 10a-25g-4. Review/award process**

(a) The Department shall evaluate all applications for grant funds. Department staff may call upon outside reviewers to assist in the evaluation of applications.

(b) The criteria to be employed in the evaluation include, but are not limited to, the extent to which an application:

- (1) addresses the purpose of the grant program, and
- (2) represents the most cost-effective use of grant funds.

(c) If the Department determines that one or more applications or RFPs merit approval, the applicant institution(s) will be notified of a contingent award, pending allocation of necessary funds by the State Bond Commission. The Department, in turn, will request the State Bond Commission to allocate such funds.

(Effective April 27, 1984)

**Sec. 10a-25g-5. Report**

Public institutions receiving funds under this grant program shall submit to the Department periodic reports on the activity funded.

(Effective April 27, 1984)

**High Technology Cooperative Research and  
Development Grant Program**

**Sec. 10a-25g-6. Definitions**

When used in Sections 10a-25g-6 through 10a-25g-9 of these regulations.

(a) "Board" means the Board of Governors for Higher Education.

(b) "Department" means the Department of Economic Development.

(c) "Cooperative Research and Development Project or Program" means a joint research or development project or program in a high technology field between an eligible institution and an eligible business or industry.

(d) "Eligible Business or Industry" means a duly incorporated, for profit business or industry with a significant presence in Connecticut.

(e) "Eligible Institution" means a Connecticut college or university offering programs approved by the Board in fields designated as high technology fields meeting statewide economic needs.

(f) "High Technology Fields" means those fields designated by the Board as being in a high technology area meeting statewide economic needs.

(g) "Matching Funds," "Matching Requirement" or "Match" means a cash or in-kind business or industry contribution to the total cost of the cooperative research or development project or program. Matching funds are required to be at least equal to the amount provided to the eligible institution through this grant program.

(Effective January 8, 1992)

**Sec. 10a-25g-7. Purpose**

Grants under this program are to encourage cooperative research and development efforts between Connecticut business and industry and institutions of higher education. Projects or programs in basic research as well as those with more immediate economic potential are encouraged. Such efforts should improve the transfer of basic research results to practical applications; allow industrial and academic scientists to improve their skills and remain current with research and development trends in their disciplines; provide additional resources to enhance and expand institutional research opportunities; and stimulate economic development in the state.

(Effective August 28, 1984)

**Sec. 10a-25g-8. Application process**

(a) The Department shall circulate a High Technology Cooperative Research and Development Grant Program announcement to all eligible institutions to make application for grant funds in support of projects or programs to be jointly entered into by the institution and an eligible business or industry. Applicants shall submit to the Department, in a form prescribed by the Department, information deemed necessary to evaluate the merits of each application. At a minimum such applications shall include:

(1) A detailed description of the proposed project and the role of each participant;

(2) A description of the business mission of each participating business or industry partner, and how this relates to the proposed project;

- (3) Vitae of all senior project personnel and the designation of those who will serve as project managers;
  - (4) Evidence that all parties are capable of carrying out the project;
  - (5) Letters of commitment from persons authorized to commit the institution and the business or industry partner to the project;
  - (6) Information regarding present and pending grants and contracts of the principal investigator(s) and the commitments of the collaborators from business or industry;
  - (7) Affirmative action, human safety and other compliance forms deemed necessary by the Department or evidence that these are on file with the cognizant state or federal agency;
  - (8) Copies of policies agreed to by the institution and the collaborating business or industry concerning ownership and other rights associated with publications, patents, licensure and confidentiality;
  - (9) A detailed budget for each year of the project outlining proposed grant expenditures for direct costs including a clearly delineated disposition of matching funds and an explanation of the basis for indirect cost calculations.
- (b) Completed applications shall be due annually at the Department by 4:30 p.m. on December 1, or the next regular business day.  
(Effective August 28, 1984)

#### **Sec. 10a-25g-9. Review/award process**

- (a) Each complete application shall be reviewed by a six member panel which will in turn make recommendations for funding to the Department. Said panel shall be appointed by the Commissioner of Economic Development and shall consist of four representatives from institutions of higher education and two representatives from business and industry. Panel members will exclude themselves from evaluating a particular proposal where a potential conflict of interest may exist. For each application, the commissioner or the commissioner's designee, with the advice of appropriate review panel members and/or other individuals with relevant expertise, shall select two experts to conduct a comprehensive review. Said reviewers shall report, in writing, to the panel on the merits of the project in terms of its purpose, design, feasibility, staffing, and other elements relevant to a fair evaluation.
- (b) The criteria to be employed in the evaluation shall include, but not be limited to, the following:
- (1) The extent to which the proposed project addresses the purpose of the program;
  - (2) The demonstrated competencies of the parties involved to conduct the proposed project as well as evidence of adequate research facilities and instrumentation;
  - (3) The intrinsic merit of the proposed project;
  - (4) Potential impact on high technology development in Connecticut.
- (c) Special consideration will be given to those applications which address new research projects and collaborative arrangements; projects involving participation by more than one business or industry; and projects in which there is evidence that the project or program will be effectively continued after termination of the grant period.
- (d) Within two weeks of the completion of the work of the review panel, applicant institutions shall be notified of the status of their applications. It is the intent of the Department to encourage completion of the review panel evaluation by April 1 of each year.

(e) The applicant institution(s) whose projects are approved for funding will be notified of a contingent award, pending allocation of necessary funds by the State Bond Commission. A request will be made to the State Bond Commission to allocate the necessary funds.

(Effective January 8, 1992)

**Sec. 10a-25g-10. Funding**

(a) Grant applicants may request funding for a period not to exceed two years. An interim report outlining expenditures and research progress to date shall be submitted for review by the Department prior to disbursement of funding for the second year. If unexpended funds remain in a project and, provided a grantee makes application at least thirty days before the termination of the funding period, permission may be granted by the Department for a six month extension of the project without additional funding.

(b) The Department shall annually designate within the program announcement the total amount of funds available for cooperative grants.

(c) Any equipment purchased or donated under this program shall be the property of the institution at the conclusion of the grant.

(Effective August 28, 1984)

**Sec. 10a-25g-11. Reporting**

In addition to the annual activity report, institutions receiving funds under this program shall, at the termination the funding period, submit to the Department a final report in a form and at a time prescribed by the Department.

(Effective August 28, 1984)

**Sec. 10a-25g-12. Other administrative responsibilities**

(a) The Department shall establish appropriate mechanisms to facilitate contact between business and industry and institutions of higher education.

(b) Summaries of research results included in any publication of the Department shall be first submitted to the project co-sponsors for verification of factual accuracy.

(Effective August 28, 1984)

**Collaborative High Technology Grants**

**Sec. 10a-25g-13. Definitions**

When used in Sections 10a-25g-14 through 10a-25g-17, inclusive of these regulations:

(a) "Department" means the Department of Higher Education.

(b) "Collaborative High Technology Project" or "Collaborative High Technology Program" means a project or program, authorized in subsection 29 (d) of special act 87-77, jointly undertaken by a minimum of one public and one independent institution which requires or provides technological knowledge and skill, usually acquired through, or associated with, formal postsecondary education, instruction, or research in such fields as are designated by the Board of Governors of Higher Education.

(c) "Public Institution of Higher Education" or "Public Institution" means an institution so designated as part of the state system of public higher education under Section 10a-1 of the Connecticut General Statutes.

(d) "Independent College or University" or "Independent Institution" means an institution so designated under Section 10a-37 of the Connecticut General Statutes.

(Effective July 1, 1988)

**Sec. 10a-25g-14. Purpose**

Grants under this program shall encourage, promote, develop and assist collaborative high technology projects and programs between public and independent institutions. Emphasis shall be placed on such projects and programs which enhance quality at the collaborating institutions and respond to the economic needs of the state. Grant funds shall provide state financial assistance in situations where such aid would not otherwise reasonably be available from other sources and shall be used for one or more collaborations between public and independent institutions for equipment purchases, supplies and other related research costs which directly support or upgrade high technology instruction or research. The use of grant funds as seed money to attract additional non-state funding is encouraged, provided that grant funds and funds from non-state sources are used to supplement rather than supplant state funds.

(Effective July 1, 1988)

**Sec. 10a-25g-15. Application process**

(a) The Department may circulate a Request for Proposal (RFP) to all public and independent institutions to make application for grant funds in support of projects and activities jointly identified by an eligible public and an eligible independent institution as consistent with the purpose of the grant program.

(b) The Department also may identify specific opportunities or activities which relate to the purpose of this grant program and invite public and independent institutions to make application for grant funds in support of those specific opportunities or activities.

(Effective July 1, 1988)

**Sec. 10a-25g-16. Review/award process**

(a) The Department shall review all applications for grant funds. Department staff may call on outside reviewers to assist in the evaluation of applications.

(b) The criteria to be employed in the evaluation include, but are not limited to, the extent to which an application:

(1) addresses the purposes of the grant program,

(2) demonstrates meaningful collaboration between public and independent institutions, and

(3) represents the most cost effective use of grant funds.

(c) If the Department determines that one or more joint applications or RFPs merit approval, the applicant institutions will be notified of a contingent award and presented with a contractual agreement specifying individual grant responsibilities. After completion of the contractual agreement, the Department will request the State Bond Commission to allocate funds.

(d) Both public and independent institutions are eligible to receive funds under this program.

(Effective July 1, 1988)

**Sec. 10a-25g-17. Reports**

Institutions receiving funds under this grant program shall submit to the Department periodic reports responding to informational requirements described in the RFP announcing the program competition.

(Effective July 1, 1988)