

**TECHNOLOGY TRANSFER ASSISTANCE GRANT PROGRAM
RULES**

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March 24, 1994

TECHNOLOGY TRANSFER ASSISTANCE 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.

1.1 PROGRAM NAME

These rules govern the Arkansas Science & Technology Authority's Technology Transfer Assistance Grant Program.

1.2 AUTHORIZATION

The Technology Transfer Assistance Grant Program is authorized by Section 15-3-101 through 15-3-123 of the Arkansas Code of 1987 Annotated and the Arkansas Code of 1987 Annotated 1991 Supplement. The power to make rules governing this program is granted by Section 15-3-108 of the Arkansas Code of 1987 Annotated.

2.0 PROGRAM DESCRIPTION

The Arkansas Science & Technology Authority provides limited financial support for the transfer and deployment of innovative technology. The goal of the Technology Transfer Assistance Grant Program is to increase Arkansas industry's regional, national and global competitiveness through technical and operational advancements. This goal is achieved by the transfer of technical solutions to technology-based, industry-driven problems, issues, or concerns.

This program is intentionally flexible and broad in scope. It is intended to provide financing that allows a technology to better compete for support in other programs of the Authority.

Both solicited and unsolicited applications will be accepted when officially submitted to the Technology Transfer Assistance Grant Program by a qualified applicant.

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2.1 TYPE OF AWARD

The total maximum funding, per project, is \$5,000 with the first \$2,500 of project costs awarded by the Authority and the remainder cost-shared equally (50:50) between the Authority and the enterprise being assisted by the applicant.

A maximum of two Technology Transfer Assistance Grant Program awards can be received for a given enterprise in one state fiscal year.

The Authority shall fund those costs associated with engineering or technical support fees, data base searches, and travel, among others, to be decided on a case-by-case basis.

The Authority shall not fund those costs associated with fixed assets (e.g., equipment, machinery), except when it is necessary to assist the technology transfer resource provider in the effective transfer of knowledge or information to the enterprise.

The Authority shall not fund any costs associated primarily with training.

2.2 DEFINITIONS

For the purposes of the Authority's Technology Transfer Assistance Grant Program, the following words and phrases have the accompanying definitions.

- 2.2.1 "Deployment" shall mean the effective transfer of knowledge, information or resources from qualified applicants for the resolution of technology based problems.
- 2.2.2 "Enterprise" shall mean a business with its principal place of business in Arkansas and which is or proposes to be engaged in this state in manufacturing, research, and development, or the provision of services involving a significant amount of technology.
- 2.2.3 "Implementation" means the actual "putting into place" of the mechanisms) to solve the technical problem, issue, or concern.
- 2.2.4 "Innovative technology" shall mean a technical or science-based product or process that is defined in the context of manufacturing, research and development, or the provision of services.
- 2.2.5 "Officially submitted" shall mean the delivery to the Authority of a completed project application by a qualified applicant.

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- 2.2.6 "Qualified applicant" shall mean one or more technology transfer resource providers who possess or have the capability to locate innovative technology to transfer to a specific Arkansas-based enterprise.
- 2.2.7 "Technology transfer" shall mean the match, deployment or implementation of innovative knowledge, information, or resources (from a technology transfer resource provider to an enterprise) for the resolution of technology-based problems, issues, or concerns.
- 2.2.8 "Technology transfer resource provider" shall mean any public or private (1) enterprise, (2) college/ university, or (3) laboratory, in Arkansas or out-ofstate, that has the capability to locate and transfer innovative technology.

3.0 ELIGIBILITY

Only qualified applicants are eligible to apply for the Technology Transfer Assistance Grant Program. Applications will be judged to be eligible on the basis of the following criteria. It is the intention of the Authority that eligibility be broadly defined, and that criteria be interpreted liberally so as to include applications to the greatest extent possible.

3.1 ELIGIBILITY CRITERIA

- 3.1.1 The proposed technology transfer activity must promote the purpose of the Authority by providing the benefits of science and advanced technology to the State of Arkansas and its people.
- 3.1.2 The application must address the transfer of innovative technology from a qualified applicant to an Arkansas-based enterprise.
- 3.1.3 The application must be officially submitted by a qualified applicant.
- 3.1.4 Any enterprise that has been a recipient of two technology transfer assistance grant awards in one state fiscal year is not eligible for the program in that same year.
- 3.1.5 The Authority must have funds available to award technology transfer assistance grants.

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 Technology Transfer Assistance Grant Program.

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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

Applications for a technology transfer assistance grant shall be submitted on the form prescribed by the Authority. The Authority reserves the right to request additional information as required for evaluation or as requested by the Board of Directors.

5.0 EVALUATION

Projects will be evaluated by the Authority, which may request the assistance of appropriate representatives from academia, private enterprise, and/or the public sector. Applications meeting the eligibility requirements will be evaluated on the basis of the evaluation criteria outlined below.

5.1 EVALUATION CRITERIA

- 5.1.1 The qualified applicant and the associated enterprise must have the support and resources available to ensure a reasonable probability of project success given that a transfer of appropriate technology occurs.
- 5.1.2 The qualified applicant or the Authority must be able to locate appropriate technology transfer resources willing to assist with the project.
- 5.1.3 The proposed technology transfer project must have technical feasibility. There must be a sufficient description of the products, processes, or services with which the enterprise has a problem, issue, or concern. The transfer of technology must improve the enterprises technical and/or operational competitiveness, and add value to new or existing products, processes, or services.
- 5.1.4 The proposed technology transfer project must have commercial feasibility potential. The transfer of technology should provide the enterprise with the ability to compete more effectively in the marketplace.
- 5.1.5 The project must have a time frame of no longer than 90 days.

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5.2 APPLICATION REVIEW

5.2.1 Each application shall be initially reviewed by a member of the Authority's staff to determine that eligibility requirements have been met.

5.2.2 Each eligible application will be reviewed and evaluated by the Authority in terms of the purpose of the Technology Transfer Assistance Grant Program and its evaluation criteria.

6.0 GRANT AWARDS

The final decision to commit funds to the Technology Transfer Assistance Grant Program shall be made by the Authority's Board of Directors. Funding decisions will be based on information derived from the Technology Transfer Assistance Grant Program review and evaluation process. Funds will be disbursed by the Authority only after a favorable review and evaluation of the project, and if the Authority has funds available in the program.

7.0 FREEDOM OF INFORMATION

All information submitted in applications is subject to the provisions of the Freedom of Information Act. Therefore, if proprietary information is submitted by the applicant, it should be clearly marked as "confidential proprietary information." The Authority assumes no liability for disclosure or use of unmarked information, and may use or disclose such information for any purpose. Arbitrary and unwarranted use of this restriction by applicants is discouraged.