



SUNY TECHNOLOGY ACCELERATOR FUND CLASS OF 2011: PHASE II APPLICATION AND ADMINISTRATIVE GUIDELINES

The SUNY Technology Accelerator Fund (“TAF”) provides funding to support the progress of SUNY technologies from the lab to the marketplace. The projects funded in Phase I of the TAF Class of 2011 can be found in our [June 2011 TAF Report](#). If a project received a TAF Class of 2011: Phase I award, it may be eligible to apply for TAF Class of 2011: Phase II funding. Phase II funds are aimed at projects that close the gap between innovation and commercialization.

ELIGIBILITY

The SUNY Technology Accelerator Fund invites applications for TAF Class of 2011: Phase II funding for projects meeting the following eligibility criteria:

- The project must have received TAF Class of 2011: Phase I funding; and
- The Phase I project milestones must be successfully achieved.

EVALUATION CRITERIA

All applications will be reviewed for compliance with the eligibility criteria. Noncompliant applications will be rejected without further review. The TAF Managing Director will review the applications and make funding decisions. Each eligible application will be judged strictly on its adherence to the Phase I project plan, achievement of Phase I objectives, and the likelihood that public utilization shall result from TAF support. Specifically the TAF Managing Director will consider the following:

Availability of IP Protection: Can the technology that exists today be protected by patents, copyrights, trademarks, or even as a trade secret? What is the status of any such intellectual property protection, e.g., patent applications, issued patents, registered copyrights or marks, and the business strategy for establishing and building an intellectual property portfolio?

Marketability: Into what type of product, process, or software can the technology be incorporated? What is the strategy for attracting the interest of a licensee? Have potential licensees expressed interest? What specific feedback is available?

Commerciality: What is the projected development and commercialization path? How long is it projected to take for a product to be developed and offered for sale? What are the potential barriers to commercialization (e.g., regulatory approval)?



Matchability: What commitment has the campus or a third party made to match a TAF Class of 2011: Phase II award, if made?

Accessibility: What portion of the population will benefit from the availability of this technology?

FUNDING

Awards may be made up to \$100,000, but projects will be funded at the level deemed necessary to achieve the proposed project objectives. TAF will recapture its Phase II investments to the extent of 10% of the gross revenue received by The Research Foundation of State University of New York from the commercialization of TAF-supported technology.

ADMINISTRATIVE GUIDELINES

TAF Class of 2011: Phase II funds are intended to close the gap between research and commercialization, and projects may not be restricted to research. Allowable expenditures of Phase II funding include but are not limited to the following:

- Salary and fringe benefits for project personnel;
- Materials;
- Supplies;
- Travel;
- Prototype development;
- Marketing materials;
- Independent contracting;
- Permits;
- Leasing space;
- Legal fees.

Phase II Funds cannot be used for tuition, construction, or renovation. Unexpended funds may be carried over to the next award year. All funds must be used solely for the program described in the application. Extensions of time require approval of the TAF Managing Director.

TAF Class of 2011: Phase II applications may be provided to market analysis and intellectual property firms retained by the TAF Managing Director. These firms may review the application and provide technology assessment, competitive landscape, end user inputs, specific market dynamics and an intellectual property review. By applying for TAF Class of 2011: Phase II funds, the project manager and all project participants hereby consent to this process and agree to be reasonably available to the TAF Managing Director, by phone, to answer any questions that may arise in this process and to cooperate with the TAF Managing Director and Technology Transfer Director in connection with any intellectual property filings.



APPLICATION PROCESS

Applications will be accepted on a rolling basis from January 9 to June 30, 2012. Funding decisions will be made by the TAF Managing Director within eight weeks of receipt of a completed application, and the decision will be communicated promptly by written notice from the TAF Managing Director to the Phase II Project Manager and copied to the appropriate Technology Transfer Director. For projects selected for funding, awards will be established and funded within 15 days of mailing the award notice.

Applications must contain:

1. A detailed status report of the Phase I project, including milestones met and yet to be achieved, award balance, and any other information indicating the status of the project;
2. Phase II project objectives;
3. A detailed project plan including tracing the commercialization path from the conclusion of Phase I; action steps, milestones, and a timeline;
4. The identification of a project manager and the roles of other project staff for Phase II, including a biography/CV for each;
5. If not a project manager or other project staff member, a biography/CV for the commercialization manager assigned to the Phase II project;
6. A detailed project budget;
7. A concise review of recent research in the field;
8. An intellectual property status report indicating any applications filed, where they were filed, and an explanation of filing strategies, including a concise review of the relevant patent art;
9. A summary of feedback from at least two potential licensees (letters of interest/support from potential licensees will be considered, if available).

OPERATING REVIEWS

TAF Class of 2011: Phase II awardees may be required to present project findings and experiences at the request of the Managing Director. Reasonable efforts will be made to accommodate the schedules of all parties.

INTELLECTUAL PROPERTY POLICY

The project manager and project staff shall abide by all SUNY policies, with particular attention to [Patents, Inventions and Copyright](#), and [Computer Software](#) Policies.

PROJECT MANAGER RESIGNATIONS AND TRANSFERS

In the event of the project manager's resignation or inability to continue the project, the Managing Director, in consultation with the appropriate Technology Transfer Director, will evaluate the specific circumstances to determine the disposition of funds. If a project manager transfers to



another institution he/she is required to contact the TAF Managing Director, who will evaluate the specific circumstances to determine if the Phase II award is transferable.

PRIVACY POLICY

Information provided in the SUNY Technology Accelerator Fund Class of 2011: Phase II application will be used to make a decision as to whether or not to fund the project. As part of this decision-making process, TAF may rely on outside advisors to assist in the review of all applications received and will use reasonable efforts to distribute the application only to those with a need to know to achieve TAF objectives. Such outside advisors will sign a non-disclosure agreement with The Research Foundation of SUNY.

APPLICATION SUBMISSION and QUESTIONS

Applications for TAF Class of 2011: Phase II should be submitted by the appropriate Technology Transfer Hub Director to TAF@rfsuny.org. Should you have any questions regarding this program, please contact the TAF Managing Director, Heather Hage, at TAF@rfsuny.org or (518) 434-7045.