



## The Biomedical Technology Alliance Collaborative Grant Program

### Application Instructions

Version: January 31, 2006

The Biomedical Technology Alliance (BTA) is an organization formed to increase academic research capabilities and to catalyze the transition to a knowledge-based economy through collaboration in seven-county Southeastern Wisconsin region.<sup>1</sup> The BTA Collaborative Grant Program (CGP) is a source of funds for investigators who collaborate across research institutions and develop research applications with the potential to contribute to economic growth. The purpose of this document is to provide instructions to apply for these funds.

The funds for the CGP have been made available by the research institutions of Southeastern Wisconsin and the State of Wisconsin on the basis of a 50-50 match. The State of Wisconsin recently approved a commitment of \$500,000 to the CGP, which requires a match from our research institutions for a total fund of \$1,000,000. Individual project awards will range from \$25,000 to \$250,000.

There is a bill in the state legislature, supported by Governor Doyle, to expand state funding of the program by \$2 million bringing the fund to \$5 million with institutional match.

**Targeted Applicants.** Funds are available to investigators from Marquette University, Medical College of Wisconsin, Milwaukee School of Engineering, University of Wisconsin-Milwaukee and University of Wisconsin-Parkside, who are working in basic or applied fields of biomedical research. Successful projects will exemplify the following criteria:

- Alignment with the mission of the BTA.** Projects that expand research capabilities in the field of biomedical research in Southeastern Wisconsin,
- Collaboration:** Projects that involve collaborative teams from multiple research institutions,
- Commercial Potential:** Projects that can be translated to clinical applications, prototypes, or demonstrations for commercial assessment,
- Follow-on Funding:** Projects that will lead to Federal research grant applications, private or non-profit foundation grants, or commercial investment.

### CGP Proposal Instructions

**Eligibility.** The funds will be awarded for research projects led by investigators from research institutions, including Marquette University, Medical College of Wisconsin, Milwaukee School of Engineering, University of Wisconsin-Milwaukee and University of Wisconsin-Parkside. Funds will not be awarded to for-profit businesses. However, to the extent that the private sector could participate or invest in research projects to enhance their usefulness, industry contributions will be an important consideration in the award selection process.

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<sup>1</sup> For more information on the BTA initiative, please see the BTA Overview located at: [www.biomedtechalliance.org](http://www.biomedtechalliance.org).

**Qualification Criteria.** Proposals will be reviewed and selected by a committee of twelve scientists and industry professionals. Project proposals must satisfy the following criteria:

1. Projects must be led by investigators from Southeastern Wisconsin research institutions, representing two or more institutions,
2. A single institution may receive no more than 75% of the funds for any given project,
3. Projects must be within the broad field of biomedical research,
4. Projects must include a commitment of matching funds from the researchers' originating institutions,
5. Funds will not be awarded to any for-profit businesses or individuals outside of the Southeastern Wisconsin research institutions.

**Selection Criteria.** Project proposals will be evaluated and selected by the project selection committee based on the following criteria:

1. Scientific merit and credibility of collaborative team,
2. Ability to achieve key results in defined period of time,
3. Projects that are budgeted appropriately and are cost effective,
4. Ability to attract additional funds beyond the budgeted institutional requirements, including contributions from industry,
5. Results or milestones enabling competitive applications for follow-on grants from federal or other sources,
6. Outcomes that could lead to innovative commercial products or services,
7. Potential intellectual and economic value the project brings to the biomedical cluster in Southeastern Wisconsin.

The selection committee is not obliged to utilize all available funds and will not fund any projects deemed undeserving.

**Key Dates.** The deadlines for the first solicitation of project proposals are listed below:

- March 24, 2006 – Proposal deadline
- April 14, 2006 – Project awards announcement
- To Be Determined – Second solicitation of project proposals due

Future solicitations of project proposals will be determined based on availability of funds.

**Instructions for Grant Applications.** Grant applications will consist of three elements, including title pages, background information, and research plan.

1. **Title Pages.** Download the [CGP Application Title Pages](#) form from [www.biomedtechalliance.org](http://www.biomedtechalliance.org). The title pages will be used as a summary of the project by the grant selection committee. Unless otherwise indicated, please be concise and stay within space provided.
2. **Background Information.** The background information and research plan are modeled after the Federal SBIR grant applications but there are fewer forms and the technical description must be shorter. The background information must consist of the following items (follow links to SBIR forms):
  - [Biographical sketches](#) (limit 2 pages per investigator)
  - [Institutional budgets](#) (one per institution)
  - [Cumulative budget](#)
  - [Resources](#)

3. **Research Plan.** The Research Plan should include sufficient information needed for evaluation of the project. Be specific and informative, and avoid redundancy. The research plan should address the following items:
1. Specific aims
  2. Significance and related R&D
  3. Preliminary studies
  4. Experimental/research design and methods
  5. Human subjects research
  6. Vertebrate animals
  7. Bibliography & references cited
  8. Consortium/contractual arrangements
  9. Letters of support

There are no forms for the research plan – please refer to SBIR grant instructions for further guidance in addressing these items.<sup>2</sup> Items 1-4 of the Research Plan will be page limited based on the funding amount requested: Items 1-4 for project proposals in the \$25,000 - \$50,000 range are limited to 7 pages; items 1-4 for project proposals in the \$100,000 - \$250,000 range are limited to 10 pages. All tables, graphs, figures, diagrams and charts must be included within the page limit.

**Final Report – A final project report is required.** The final report should cover the key findings, milestones, or results developed through the project investigation. There are no forms for the final report. If the project’s objective is a research grant application for Federal funds a copy of the research plan for the Federal grant should be submitted. If the project’s objective is translation of research to a commercial deliverable please provide a summary of the milestones achieved and a plan for next steps towards commercial viability. Limit your final report to 2 pages. The final 10% of project funding will be withheld until the final report is submitted.

**Distribution of Funds.** One of the goals of the CGP is to stimulate the development of collaborations over a range of high quality research initiatives. It is anticipated that the initial \$1,000,000 fund will be distributed over approximately 17 awards granted as follows:

<u>Number of Awards</u>	<u>Grant Amount</u>
1	\$250,000
3	\$100,000
5	\$50,000
8	\$25,000

Hence, a larger number of research projects requiring smaller funding amounts will be awarded; research projects requiring higher dollar grants will be more competitive. For each funded project, 90% of the project funding will be transferred at the beginning of the project award and the remaining 10% of the project funding will be transferred after the final report is submitted.

**Project Budgets.** Project proposals will include a cumulative project budget and individual budgets for project costs allocated to each of the participating academic institutions. No more than 75% of the total cost can be allocated to one academic institution. Indirect costs (e.g. facilities operations and administrative costs) of research up to 20% are permitted. A criterion for project selection is the appropriateness of the project budget. There will be no partial project funding (projects are funded at 100% of budget request or not funded at all). The time period over which the funds will be utilized must be identified, however there is no prescribed project start date or duration.

**Accounting for Funds.** For each approved project the research institutions will establish a unique BTA-designated account into which project funds will be deposited. Ninety percent of the project funding will be transferred at the beginning of the project award and ten percent will be transferred after the final report is submitted. The identity of the lead investigator from each institution will drive

<sup>2</sup> [http://grants.nih.gov/grants/funding/424/SF424\\_RR\\_Guide\\_SBIR\\_STTR.doc](http://grants.nih.gov/grants/funding/424/SF424_RR_Guide_SBIR_STTR.doc)

designation of the account for grants management purposes. Each institution will apply its existing administrative and financial management standards to track and report the award's financial activity. Accounts will be administered and managed as fixed price awards. Each institution will be required to report account activity to the grant selection committee upon request.

UWM will manage and administer an account that contains funds from the State of Wisconsin and will administer and distribute State funds as directed by the grant selection committee.

**Matching Funds.** With every research project, project costs are divided and allocated among two or more research institutions, per the budget. The funds to cover the costs for each institution will be: 50% from State funds and 50% from institutional funds. No research institution is obliged to provide these matching funds until a project is selected for funding that involves investigators from that institution. When a project is selected for funding each research institution is obliged to provide matching funds for the portion of the costs of the project that are allocated to that institution.

Once projects are selected all funds (i.e., funds from the State and matching funds from the institutions) will be accounted for using procedures outlined by the NIH. Matching funds by the research institutions must meet the allowability and documentation requirements established by NIH. There is one exception to NIH matching rules: federal funds may be used as matching funds if the origin and purpose of those funds is fully described and deemed appropriate by the selection committee. Matching funds from the research institutions may include waiver of the allowable 20% for indirect costs allowed in the project budgets. The source and amount of funds proposed by an applicant to meet a matching requirement must be identified in the grant application. All costs and contributions used to satisfy a matching requirement must be documented by the recipient and are subject to review and approval of the grant selection committee. Projects whose matching funds are not approved will not be funded.

The project proposals will be required to demonstrate that matching funds from all research institutions will be committed and available prior to beginning the project with the signatures of the appropriate institutional authorities on the title page of the application. Cash-based matching funds from the research institutions must be deposited in the appropriate BTA-designated accounts within 30 days of project selection.

**Example of Matching Funds.** Consider the following research project example that illustrates how matching funds rules apply to the CGP program: In a given \$100,000 total cost project, which includes both direct and indirect costs, \$50,000 in costs will be funded by the State and \$50,000 in costs will be funded by the institutions. For the \$100,000 total project cost, 60% (or \$60,000) of the total costs are allocated to Institution A and 40% (or \$40,000) are allocated to Institution B. Both institutional budgets utilize the 20% rate for indirect costs and waive this cost as part of their 50% match; the rest of the institutional funding match is cash-based. In this example, Institution A will have an \$18,000 cash-match funding requirement, and Institution B will have a \$12,000 cash-match funding requirement. This is derived from the following:

Institution A: \$60,000 cost allocation, includes: \$12,000 indirect + \$48,000 direct costs

Institution A match requirement: \$30,000 = \$12,000 indirect + \$18,000 cash

Institution B: \$40,000 cost allocation, includes: \$8,000 indirect + \$32,000 direct costs

Institution B match requirement: \$20,000 = \$8,000 indirect + \$12,000 cash

**Electronic Submission of Applications.** All project proposal applications must be combined as a single electronic document, with scanned signatures, in PDF format. This document must then be submitted (uploaded) to the BTA website at: [www.biomedtechalliance.org](http://www.biomedtechalliance.org). Final reports must be submitted in the same fashion. A confirmation email will be returned.

**Questions.** Questions may be submitted to: [info@biomedtechalliance.org](mailto:info@biomedtechalliance.org).