

# Forethought: The RTI \$5M+ Research Collaboration Challenge

## Phase II Instructions: Full Proposals (Due September 8, 2021)

Teams invited to this round have an opportunity to explain in detail how their project provides a feasible pathway for our region to command an important emerging field and build a multilateral team as they strengthen ideas, form multi-institutional teams, and begin building budgets. The team will include participation from RTI International and at least three additional Forethought institutions (Duke University, North Carolina Agricultural & Technical State University, North Carolina Central University, North Carolina State University, or University of North Carolina-Chapel Hill).

### General Instructions

Teams must submit their Full Proposals using the Forethought Proposal and Budget Template (link forthcoming). The template will include specific questions, listed below, to which teams must respond. Full proposals (including budget templates) must be saved as a PDF (no larger than 30MB) and submitted via the Forethought Portal.

Members of the RTI University Research Collaboration Committee (URCC) and RTI leadership will review and rank the proposals based on the Forethought [criteria](#).

### Full Proposal Components

Complete Full Proposals will have the following elements:

*Proposal Cover:* Include the project title, 5 keywords, PI contact information, other team members' contact information and affiliations, and a 200-word summary of the proposed research. ([One Page](#))

*Project Description:* This portion of the proposal should describe how the proposed project advances [RTI's mission](#) and advances Forethought's stated [goals](#). ([Six Pages](#))

Broadly, your proposal should answer Forethought's fundamental question: **Why collectively invest in this project? Why North Carolina? Why now?**

Proposals must show how the project is both achievable within the grant period and sustainable in the long term. How will awarded projects catalyze regional investments and innovation to drive national and global transformation? With which partners will it synergize, and which regional assets will it leverage? How? Why are North Carolina institutions well-positioned in this area? How will the team composition itself create broader impact and leverage institutional and regional strengths?

*Competitive Landscape Analysis:* Briefly outline your team's potential competition, if any, and your competitive advantage. ([One Page](#))

1. Which university and private enterprise-based teams or individuals are working to solve the same problem(s) or doing similar work?
2. In what regions or countries are they based? Explain how your team's approach is different.

3. What is the unmet need? Why has it not been done before?
4. What are your team's relative strengths? Weaknesses?
5. What resources or partnerships would make your Forethought team stronger?

*Budget:* Please submit a budget totaling up to \$5M and for up to five years, submitting year-by-year breakdown of activities and expenses. Also break costs down by institution. The proposed budget must encompass all associated project costs, including RTI labor. (Two Pages)

For RTI: Apply only Fringe and ITE (Indirect Technical Expense) to RTI Labor. Overhead burdens are not applicable on non-labor RTI costs.

For all other institutions: Apply overhead/indirect costs as applicable for an externally funded project.

Please also include a brief description of any plans the team has for attracting supplemental funding above the \$5M. Questions to consider:

1. Where would supplemental funding come from?
2. What additional accomplishments could your team make with supplemental funding?

We will provide detailed budget requirements and consultation for teams advancing to the oral presentation stage.

*Intellectual Property:* Intellectual property (or "IP", which comprises patents, trademarks, copyright, and trade secrets) often plays a vital role in a business or other enterprise. A successful IP strategy can provide the enterprise with exclusive rights that permits investments to be made, in the reliance that the exclusive rights will allow the enterprise to obtain sufficient returns, or profits, to justify the investment. (One-Two Pages)

With that in mind, the RTI \$5M+ Research Collaboration Challenge reviewers request that you answer each of the following questions.

Note that in each case, "you" refers to any members of your team; "Background IP" is IP that existed before your collaboration, and "Foreground IP" is IP that which will be created under the Forethought project.

- 1) How important do you believe IP is to your proposal, either now or in the future? Please explain in detail (e.g., which parts do or do not relate to IP as defined).
- 2) Do you have background IP?
- 3) If so, do you have a written agreement in place among your team as to how background IP will be treated? If you do not have such an agreement, do you plan to put one in place, and if so, when?
- 4) What steps have you taken to protect your background IP, such as filing trademark or patent applications, or filing for copyright protection? If none, what are your plans to do so?
- 5) Do you have an agreement in place (or a plan for such an agreement) that governs how foreground IP will be treated among your team?
- 6) Do you expect to need access to the IP of any third parties (that is, individuals or entities not part of your current Forethought team)? If so, what are your plans and timeline (including any efforts to date) to obtain access?

7) Would you like to participate in a consultation on IP and its role in commercialization?

*Biosketches:* Include PI and all key personnel, including relevant publications, research funding to date, and the collaborative projects led by the individual. (One-Two Pages Each)

*Institutional Letters of Support:* Teams will submit letters of support from participating organizations **other than** the Forethought institutions listed above that are named in the proposal. (One-Two Pages Each)

## Questions

Direct questions to Jacqueline Olich, PhD, [jolich@rti.org](mailto:jolich@rti.org).