

CHAPTER 100
NEW JERSEY COMMISSION ON SCIENCE
AND TECHNOLOGY

Authority

N.J.S.A. 52:9X-9.

Source and Effective Date

R.1991 d.419, effective July 17, 1991.
 See: 23 N.J.R. 1515(a), 23 N.J.R. 2513(a).

Executive Order No. 66(1978) Expiration Date

Chapter 100, New Jersey Commission on Science and Technology, expires on July 17, 1996.

Chapter Historical Note

Chapter 100, New Jersey Commission of Science and Technology, was filed as R.1986 d.350, effective September 8, 1986. See: 18 N.J.R. 1175(a), 18 N.J.R. 1828(a). Pursuant to Executive Order No. 66(1978), chapter 100 was readopted by R.1991 d.419. See: Source and Effective Date.

See section annotations for specific rulemaking activity.

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SUBCHAPTER 1. INNOVATION PARTNERSHIP GRANT PROGRAM

12A:100-1.1 Scope and purpose

(a) The New Jersey Commission on Science and Technology is responsible for facilitating a technology-based development strategy that will benefit the industries, businesses and educational institutions of the state. The basic approach of the Commission is to provide mechanisms that will encourage and enable the industrial and academic community to work together on research projects of common interest and, in turn, enhance the economic development of the state. Among the means which the Commission has identified as effective for stimulating this research and economic development activity are innovation partnership grants.

(b) The Commission sponsors innovation partnership grants at qualifying New Jersey academic institutions in specified science and technology fields identified by the Commission and its expert panels as having outstanding potential for economic growth in New Jersey.

(c) An innovation partnership shall be designed to produce tangible results within a 12 month period and shall involve a financial investment by the academic institution, the industry sponsor, and the Commission on Science and Technology.

12A:100-1.2 Definitions

The following words and terms, when used in this subchapter, shall have the following meanings unless the context clearly indicates otherwise.

“Commission” means the New Jersey Commission on Science and Technology as established by N.J.S.A. 52:9X-1 et seq.

“Innovation partnership” means a specifically directed research project undertaken as a cooperative venture between an academic researcher and an industrial sponsor. The objective of these partnerships is to explore new areas of research in a given technology for the purpose of producing new concepts, materials, devices, processes or knowledge that will:

1. Enhance the research program and overall reputation of the academic institution;
2. Assist and advance the activities of the industries involved in the technology;
3. Permit the commercialization of cooperative research.

“Qualifying academic institution” means a regionally accredited four-year academic institution of higher education in New Jersey, offering accredited baccalaureate degrees in science and engineering in fields pertinent to the Commission’s sponsorship.

Amended by R.1989 d.225, effective May 1, 1989.
 See: 21 N.J.R. 433(a), 21 N.J.R. 1146(a).

Added definition of “Commission” as established by N.J.S.A. 52:9X-1 et seq.

Expanded institutional eligibility requirements and revised definition of “Qualifying academic institution” by changing “research institution” to “four-year academic institution” and “doctoral” to “accredited baccalaureate” degree.

12A:100-1.3 Program description

(a) Innovation partnership grants will provide support for academic researchers conducting basic, applied, or generic research in specified fields, and will be matched by funds provided by a New Jersey-based industry or business. The investment of the Commission will be used to support the

cost of equipment, supplies and the faculty and graduate students assigned to the research project. It is expected that the facilities required for the project will be provided by the academic institution or industry sponsor and that indirect costs equal to no more than 10 percent of all direct costs, exclusive of equipment, will be charged to the Commission.

(b) The individual innovation partnership grants to be made by the Commission will be for at least \$10,000 and no more than \$250,000 and will cover no more than a 12 month research effort.

(c) The Commission is particularly interested in innovation partnerships that will involve newly formed or expanding New Jersey-based companies for whom the support of the Commission and the cooperation of an academic research institution is necessary for continued business growth and development.

(d) In the event that revenues from the annual gross royalties, exclusive only of the inventor's share, received by the grantee, during the fiscal year (July 1 to June 30), as a result of any individual copyright or patent produced in whole or in part with the assistance of an innovation partnership grant award shall exceed an amount equal to 10 times the Commission's award, an amount equal to five percent of the annual gross royalties from that copyright or patent, exclusive of the inventor's share, shall be remitted to the Commission by the sponsoring institution within 90 days. The total royalties recovered by the Commission shall not exceed the Commission's original award.

Amended by R.1989 d.225, effective May 1, 1989.

See: 21 N.J.R. 433(d), 21 N.J.R. 1146(a).

Added new (d) explaining program royalty policy established with the Commission and participating institutions.

12A:100-1.4 Submission of grant proposal

(a) The Commission will receive proposals for innovation partnership grants in specified fields from four-year academic institutions of higher education in New Jersey offering accredited baccalaureate degrees in science and/or engineering in fields pertinent to the Commission's sponsorship. Three copies of the proposal must be submitted.

(b) While grant proposals shall be submitted by an academic institution and officially sanctioned by its institutional representatives, the Commission encourages industries and businesses to propose projects to academic researchers and to assist, where necessary, with the preparation of the project proposal.

Amended by R.1989 d.225, effective May 1, 1989.

See: 21 N.J.R. 433(a), 21 N.J.R. 1146(a).

(a): Expanded grant proposal submission process beyond graduate research university participation to four-year academic institutions offering baccalaureate degrees in science and/or engineering.

12A:100-1.5 Contents of grant proposal

(a) All grant proposals submitted for consideration by the Commission shall be signed by the designated institutional officer and the principal investigator, and shall include the following:

1. The project title;
2. A brief introduction that summarizes in plain language the objectives of the project;
3. A brief discussion of the scientific principles that support the proposed research;
4. A description of the proposed research plan;
5. A description of the expected project outcome;
6. A discussion of the significance, implication and utility of the expected project results;
7. A listing of names and locations of the industry sponsors of the project;
8. The name, title, department, institution, address and telephone number of the principal investigator;
9. The names and curriculum vitae of the key personnel to be assigned to the project;
10. A project budget;
11. A listing and approximate cost of the equipment to be purchased for the project; and
12. A description of the resources to be provided by the sponsoring industries and academic institutions.

12A:100-1.6 Review criteria

(a) The grant proposals submitted in response to any request-for-proposal will be reviewed under Commission staff coordination, by a panel of experts from related industries and out-of-state universities. The criteria that will be used to rank and evaluate each of the proposals are as follows:

1. Technical and scientific merit of the project;
2. The creativity and inventiveness of the proposed research;
3. The unique nature of the research and the degree to which state-of-the-art techniques and processes are to be used;
4. The ability of the project to strengthen the overall research program of the institution and to have a positive long term effect on the institution's scientific capabilities and reputation;
5. The commercial applicability and usefulness of the proposed project outcome; and
6. The degree of interest shown by industry and the apparent availability of matching funds.

12A:100-1.7 Matching fund requirements

(a) The Commission requires that any funds it commits to support the work of an individual or group of researchers through an innovation partnership shall be matched in at least an equal amount by an industry sponsor.

(b) The industry sponsor shall be a New Jersey-based company or business with a vested interest in the outcome of the project. The industry sponsor can be a company or industry based in another state if it can be shown that the outcome of the project will be of benefit to New Jersey.

12A:100-1.8 Acceptable categories of matching funds

(a) The following are considered acceptable categories of matching funds:

1. Cash or in-kind contributions to the sponsoring academic institutions for the expenses of the research project (salaries, supplies, equipment, graduate student tuition expense, indirect cost recovery);
2. Equipment donations (the certified value of the contribution to the academic institution should be identified) or vendor discounts on equipment purchases (beyond any prevailing educational discount for equipment to support one of the Commission's programs);
3. Supplies or materials required for the project;
4. Support or sponsorship of graduate students assigned to the project and working at the facilities of the industry sponsor.

12A:100-1.9 Commitment of matching funds

(a) When a grant proposal for an innovation partnership grant is submitted to the Commission, the intended sources of industry matching funds should be clearly identified.

(b) If and when a grant award is made, the sponsoring academic institution must provide to the Commission a copy of a letter from the industry sponsor, confirming the financial commitment of the sponsor to the project. The total amount of the grant will not be released to the institution until such confirmation of commitment is received by the Commission. Instead, the institution will receive 50 percent of the Commission's award and be allowed six months after the date of the award to identify and obtain commitments from an innovation partner.

(c) Should no innovation partner be identified within six months to fully match the award, the institution will be required to return to the Commission the portion of the award monies that have not been matched.

(d) All final project reports and financial statements must identify the amount and allocation of the industry matching funds.

12A:100-1.10 Accounting and auditing

(a) When an award is made, the recipient institution shall commit itself to the matching requirements of N.J.A.C. 12A:100-1.5 as a part of the terms and conditions of the grant document.

(b) No grants received under the Commission's programs will be commingled with any other funds derived from State sources. Separate financial accounts will be maintained for funds matching State funds. Audits will follow procedures established by the State Auditor, in accordance with P.L. 1985, c.102.