



# Seed Grant Application Instructions

## **Key Dates:**

Application Submission – Tuesday, August 14, 2018 by 5:00 PM (EST)  
Grant Notification – October 12, 2018

*Upcoming Application Deadline TBD, in December 2018*

### **Contact:**

Shane Beckim  
Investment Officer  
Phone: 207-588-1018  
Email: [sbeckim@mainetechnology.org](mailto:sbeckim@mainetechnology.org)

### **Additional Contact:**

Kim Doughty  
Lending & Grant Associate  
Phone: 207-203-2072  
Email: [kdoughty@mainetechnology.org](mailto:kdoughty@mainetechnology.org)

## Table of Contents

### Seed Grant Application Instructions

Program Overview	page 3
Application Process	page 6
Reporting Requirements	page 7
Seed Grant Application Instructions	page 8
Seed Grant Attachments	page 13
Application Checklist	page 17

#### Application Requirements

##### Online submissions

- Must be one, complete PDF attachment uploaded via **MTI's Online Application Portal**, by 5pm on the stated deadline date.
- Once your final draft is complete, use the following link to access MTI's Online Portal:  
[https://www.GrantRequest.com/SID\\_2050?SA=SNA&FID=35038](https://www.GrantRequest.com/SID_2050?SA=SNA&FID=35038)

##### Application layout

- 1" margins, 12 pt. font, 8.5" x 11" pages
- All applications should be presented in a **narrative format** with the use of diagrams, data, tables, and charts as needed. Hyperlinks are allowed within the application narrative.
- Applications **must be arranged in the order dictated by the Application Checklist** – See Application Checklist included here on Page 17.

Award Cycle	Activity
August 14, 2018	Applications due by 5:00 PM (EST) via MTI's <b>Online Application Portal</b> Late submissions / Incomplete submissions will not be accepted.
September, 2018	Tech Board Review Committee (TBRC) Meetings.
October 9, 2018	MTI Board of Directors will review the recommendations of TBRC. MTI Board of Directors makes final award decisions.
October 12, 2018	Applicants notified of results.

## Program Overview

### Confidentiality

MTI will treat all application materials as “confidential information” under MTI laws (5 MRSA section 15302-A(2)(C)). This assures that MTI will treat the applications, reports, and other information submitted to MTI, with the exception of a “Non-confidential Project Summary” and the basic company contact and request amount information provided during registration as confidential information under the MTI law. MTI Board of Directors (BOD), Technology Board members, peer reviewers, other consultants, and staff are required to sign and adhere to confidentiality and conflict of interest policies, available on the MTI website.

Applicants should note the names of MTI Staff, Directors, Technology Board members or consultants from whom to withhold the application, due to conflicts of interest. All Technology Board and BOD members are listed on the MTI website.

### Seed Grant Specifications

Seed Grants will be awarded three times each year for up to \$25,000 per project. Each grant requires a 1:1 match consisting of actual cash, salaries, staff time, or equipment directly attributable to the proposed project. It is recommended that at least 50% of the match be in the form of cash. No overhead or sales and marketing costs may be used with Seed Grant funds or matching funds. Full grant payment will be contingent upon completing the scope of work in the application and submission and approval of a quality final report.

### Who is Eligible to Apply?

Maine entrepreneurs, Maine-based companies and non-profit research institutions and universities with operations in the state of Maine requesting funds to develop, transfer and advance technologies into the commercial market are eligible. *A Maine-based company is registered to do business in the State of Maine with definitive plans to create and/or retain quality jobs in Maine. Awardees must have a significant base of operations in Maine prior to signing their MTI Seed Grant Agreement.*

- Any size Maine-based company may submit an application.
- Companies with a significant base of operations and location in Maine.
- Companies with no current Maine operations must demonstrate a clear plan to locate or base significant operations in Maine and execute on such plans prior to execution of the Seed Grant Agreement.
- Academic and research laboratories (Technology Transfer) – Compelling Technology Transfer applications will have a realistic expectation that the innovation/technology will be further developed and/or commercialized by partners, or licensees. Technology Transfer Seed Grants are expected to fund projects where a majority of the project execution rests within Maine-based private and public academic or research institutions.
- The technology research and development projects submitted must:
  - Demonstrate a high potential for economic benefit to Maine.
  - Fall within one of [Maine’s targeted technology sectors](#) (see page 5).
  - Have a minimum of 1:1 matching investment contribution.
  - Comply with all the requirements of these Application Instructions.

## **Eligible Projects**

MTI funding requires a specific scope of work that will lay the basic technical and/or business groundwork critical to securing additional funding from MTI or other sources of private and public capital, including from federal grants and solicitations, with the ultimate goal being commercial success of the technology and the enterprise.

## **Eligible Activities**

Seed Grants will support specific projects leading to the development of new and innovative products, processes or services that may include:

- R&D activities such as proof of concept work, prototype development, field trials, prototype testing, pilot studies.
- Business development activities such as market analysis, business plan development, intellectual property investigation and filing if they are part of the larger proposed Seed Grant R&D project.
- Consulting assistance preparing an MTI Development Loan application, developing investor presentations, or other commercialization and business development activity reasonably expected of early and mid-stage technology development if they are part of the larger proposed Seed Grant R&D project.

## **Academic and Research Institution Technology Transfer**

Early-stage, applied research conducted within private and public academic, or research institutions may apply for Seed Grants. The goal of the 'Technology Transfer' category is to increase the probability that technology and innovative solutions are transferred out of, or applied within the academic or research institution to address a commercial opportunity. Compelling Technology Transfer applications will have a realistic expectation that the innovation/technology will be further developed and/or commercialized by partners or licensees and those partners should be identified within the application.

Technology Transfer Seed Grants are expected to fund projects where the majority of the project execution rests within Maine-based private and public academic or research institutions.

MTI recognizes the distinctive nature of these institutions and that not all the criteria listed within this Application directly apply to technology transfer applications by institutions. However, applicants should make a reasonable effort to address the relevant portions of each section. Please contact MTI staff to assist with any questions.

It is expected that institutional applications will be accompanied by a letter of support or recognition of the applications by the institution's technology transfer office or equivalent.

Successful transfer of technology out of institutions may result in follow-on funding applications to MTI or SBIR/STTR programs from the commercial transferee or institution to complete the final stages of commercialization.

## **Limitations and Restrictions**

MTI will consider the number of applications, the scope of projects, and the applicant's capacity to simultaneously execute multiple projects as part of the review.

The total of all Seed Grant awards granted for projects related to the development of any one technology (product, process, or service) shall not exceed \$50,000 per organization or principal investigator. The total of all Seed Grant awards shall not exceed \$50,000 in a 24-month period per organization or principal investigator.

MTI funds may be used to purchase equipment only when the equipment purchase is necessary for the proposed R&D project. Recipients of awards that include equipment purchases may be required to sign a Purchase Money Security Agreement allowing MTI to file and hold a lien on equipment purchases. MTI must approve of purchased equipment disposition.

## **Economic Benefit to Maine**

Projects funded by the MTI must show a **high potential for significant economic benefit to Maine**.

Outcome measures will include some of the following benefits:

- creation or retention of jobs
- additional company investments
- increased competitiveness
- infrastructure investments by the company
- increased sales and revenue
- increasing Maine's capacity for R&D
- patents, trademarks and/or licenses
- additional outside investment into the company
- firm survival and growth

## **Maine's Seven Targeted Technology Sectors**

To view the list of our current Tech Board Review Committee members, please visit our website at: <https://www.mainetechnology.org/sectors>

Projects funded by MTI must fall within one of Maine's targeted technology sectors. All Seed Grants are reviewed by one of the seven sector-specific Tech Board Review Committees:

- Forestry & Agriculture
- Composite Materials Technology
- Environmental Technology
- Aquaculture and Marine Technology
- Biotechnology
- Precision Manufacturing Technology
- Information Technology

## Application Process

### Step 1 – Draft application feedback from MTI staff

MTI strongly encourages all applicants to submit by email a draft application at least two weeks prior to the targeted application deadline; *as time allows, MTI staff will provide feedback on draft applications submitted at least two weeks in advance of the targeted application deadline.*

### Step 2 – Receipt and Review of Complete Applications

Final Applications must be submitted via MTI's Online Application Portal. To access our Online Portal, please use the following link: [MTI Seed Grant Application Portal](#)

All applications submitted online must be in the form of one, complete PDF attachment containing all items listed in the "Application Checklist" on the final page of this Application Instructions document. The Application PDF should be itemized in the order of the Application Checklist.

All applications must be submitted no later than 5:00 pm on the deadline date. Late applications, incomplete applications, applications that exceed page limits, and any other applications that do not comply with the guidelines identified in this Application Instructions document will not be accepted.

### Step 3 – Technology Board Review Committee Evaluation

All complete applications will be forwarded to the specified sector's Technology Board Review Committee (TBRC) for consideration. The TBRC's volunteer technical/business advisors will evaluate applications using MTI's Seed Grant evaluation criteria to determine which projects meet MTI's funding objectives. Each committee will then make funding recommendations to the MTI Board of Directors. Use the following hyperlinks for more info on [MTI's Technology Sectors](#) and [current TBRC members](#).

### Step 4 – MTI Board of Directors Decision

The TBRC funding recommendation will be provided to the MTI Board of Directors for final consideration. The MTI Board of Directors will consider the highest quality applications recommended for funding across all sectors and make its funding decision based on the recommendations and reviews of the TBRC. The MTI Board may take an action other than that recommended by the TBRC, due to availability of funds, to balance and encourage synergies across sectors and to serve the best interests of the organization. In such cases, MTI will send a letter to the applicant's principal contact and to the TBRC, explaining the Board of Directors' action and rationale.

### Step 5 – Grant Notification

All applicants will be notified first via email of the outcome of their application review. All non-funded applicants will also be provided with summarized review comments from the TBRC. MTI staff will be available for conversations by phone or in person to discuss the outcome of the application.

### Notification Process for Seed Grant Recipients

Seed Grant recipients will be notified via email and arrangements will be made to finalize the contract for the Seed Grant Agreement. Grants are contingent upon execution of the Seed Grant Agreement. MTI's standard payment process begins with a dispersal of 80% of the approved funding request, upon successful execution of the Seed Grant Agreement. The final 20% of the grant will be disbursed upon project completion and successful submission of the Project Final Report, subject to review by MTI staff, as specified in the Seed Grant Agreement. MTI reserves the right to adjust the disbursement schedule upon notification to the Recipient.

The Seed Grant Agreement requires that the expected project endpoints and targeted project completion date (including time for compilation of the Project Final Report) must be specified and agreed to by both the Recipient and MTI.

Applications not selected for funding will be notified by email and provided written feedback specific to the review of the application. All applicants are encouraged to meet with MTI staff for a detailed debriefing regarding the review of their proposal.

## **Reporting Requirements**

Completion of the grant project requires the submission to MTI of a project final report as outlined in Appendix C of the Seed Grant Agreement, to include the following:

- 1) A written report documenting the efforts and findings of the project and next steps to be taken to advance the technology toward commercialization, including both technical and financial objectives. Project timelines shall be projected at 12 months or less. Only one 90-day agreement extension may be requested prior to the completion of the project.
- 2) Documentation of all expenses identified within the project budget including submission of the project reporting form and all supporting documents for any individual expenses valued at \$1,000 or greater. It will be the responsibility of the grantee to maintain all financial and technical documents pertaining to awards made by MTI for a period of five years beyond the completion date of the grant.

## **Appeals Process**

MTI's standard appeals policy will govern the program. Appeals must be filed within 2 (two) weeks from the date of the MTI notification. The full existing policy is available at:

<http://www.mainetechnology.org/appeal>

## **Resubmission of Previously Unfunded Applications**

It is important for applicants to put forth their best effort in submitting their original application. MTI strongly encourages all applicants to submit to MTI staff via email a draft application, at least two weeks prior to the targeted application deadline; *as time allows, MTI staff will provide feedback on draft applications submitted at least two weeks in advance of the targeted application deadline.*

In cases where a first Seed Grant application submission is denied funding, MTI encourages applicants to discuss the details of the application review with MTI staff, so that applicants may develop a stronger proposal for resubmission on a subsequent application deadline.

For resubmissions, applicants should also take advantage of the one additional page allowed to address feedback from the previous unfunded application proposal.

# Seed Grant Application Instructions

For general program information, please view our webpage: [www.mainetechnology.org/sg](http://www.mainetechnology.org/sg)

Once your final draft is complete, please submit your final application through [MTI's Online Application Portal](#).

Applications must be submitted online, and the Application PDF must be uploaded as one, complete PDF attachment including all required items listed below – please note that MTI strongly encourages the inclusion of supporting documents (item 3), and item 1/1a, if applicable.

PLEASE NOTE: MTI does not accept applications submitted via fax, nor does MTI accept incomplete applications, applications exceeding page limits, nor any other submissions that do not comply with the guidelines laid out within this application instructions document.

## REQUIRED ITEMS:

### Registration Information via Online Application Portal

*Please Note – “Public Information” submitted in MTI’s Online Registration Form may be shared with media or MTI partner organizations (excluding TIN & email addresses, which are used only for MTI’s internal operations). MTI treats all contents of the uploaded application documents as confidential. For our confidentiality and conflict of interest policies, please refer to our website at: [www.mainetechnology.org/tb](http://www.mainetechnology.org/tb)*

**NOTE:** On our website, you will also find listed all MTI Technology Board reviewers, as well as MTI’s Board of Directors. If there are specific individuals whom you would prefer not review your application, please be sure to provide their names in the “Withhold From” field of your Online Registration Information – MTI will withhold your confidential application information from all individuals identified here, and those individuals will not have access to your application materials, other than (a) the public information you provide in the Online Registration Information sections and (b) your Non-confidential Project Summary.

### Non-Confidential Project Summary (≤ 100 words) via Online Portal

Applicants submitting through MTI’s Online Application Portal will be asked to include a non-confidential project summary, along with their initial registration information. The project summary must be **non-confidential** and must not exceed 100 words. Please note that this summary may be included in subsequent MTI press releases, and may also be provided to members of the public or MTI partner organizations, if so requested. The summary should describe the benefit and feasibility of the project, as well as the project’s specific goals. A complete non- confidential summary includes the following:

- Identification of the technology
- Summary scope of the project
- Expected outcome of the project

PLEASE NOTE: The History of Previous Grants (if applicable) and Application Narrative should be the opening pages of your Application PDF to be uploaded via MTI’s Online Application Portal. Please title your Application PDF file as follows: “[Company Name], [Primary Contact Name], SG”



## **1. History of Previous MTI Grants/Awards or Other Related Research Grants – IF APPLICABLE (≤ 2 pages)**

On separate pages (limit 2 pages) please submit the following information for your previously funded MTI project(s), with significant focus on related projects:

- Project ID Number and Title
- Identify the relationship of previous award(s) to this Seed Grant Application.
- A history of the previously funded project(s). Include a description of the scope of work proposed and accomplished.
- Explain why the project was or was not a success.
- Identify subsequent efforts leading toward commercialization of the funded technology.
- In addition, applicants may consider including details on any relevant state, federal or other funding received in the last 5 (five) years or which is currently pending.

### **1a. Resubmission of Previously Unfunded Applications (Additional 1 page)**

On a separate page, applicants of previously declined Seed Grant applications may address the concerns raised during the review of the previous application. Unfunded applicants are strongly encouraged to meet or call MTI staff prior to resubmission. The primary purpose of the meeting is to understand how and if the resubmission will address prior weaknesses. This information is in addition to the History of Previous MTI Grants.

## **2. Application Narrative (≤ 5 pages)**

### **Introduction**

Give a brief overview of the company origins and accomplishments to date. Discuss the opportunity that is being pursued, what makes the proposed solution unique and how it will be achieved. Identify existing sales revenue figures relative to the proposed technology and/or general company business.

### **Scientific and Technical Merit / Proposed Innovation**

- Clearly describe the specific technical problem or opportunity to be addressed through the development of the proposed technology (product, process or service).
- Describe the proposed technology and its importance to the industry. Pictures or diagrams may be used within this section or within the supporting documents to support your description. Demonstrate that the technology is based on sound scientific principles.
- Provide comparisons to existing technologies and identify the advantages the proposed technology has over those identified.
- Describe risk areas associated with the technology development plan.
- Identify standards, specifications (including engineering and testing), tests and certifications associated with the technology being developed.

### **Market Potential**

- Describe the addressable market opportunity for the proposed technology and include relative metrics and trends. Describe how the company evaluated the market and include sources. Additional data may also be included within the supporting documents.
- Provide a competitive analysis and insights into the competitive landscape of both direct and indirect competition.
- Clearly state the competitive advantage of the company's technology or business approach.
- Describe commercial purchasing drivers such as price, quality, support, etc.

- Describe targeted customers. A letter of commitment or support from a significant interested buyer, end-user, or partner may also be included within the supporting documents.
- In conjunction with the description of the intellectual property, applicants will complete Form D listing and describing all relevant background intellectual property material to the recipient's ability to conduct the project described in the application.

## **Scope of Work**

Eligible Activities for a Seed Grant scope of work must be based upon research and development (R&D) efforts to bring new products, processes, or services to market. The applicant should be as specific as possible when describing the details of the scope of work. The proposal should articulate explicitly what activities will be conducted, where the proposed work will be done, who will conduct the R&D – and how. Be sure to identify Objectives and Deliverables of the proposed scope of work.

- Describe any previously conducted research that is directly related to this application including any by the project manager/principal investigator or the proposing firm.
- State the specific project objectives including the technical questions to be answered and details of the experimental design process. Include any preliminary data that supports the choice of methodology and the feasibility of the technology being developed.
- Provide a timeline, recommended to be in the form of a Gantt chart, corresponding to the proposed scope of work not to exceed 12 months. The proposed timeline will be taken into consideration as part of the applicant's ability to complete the project in a timely manner.
- Describe the applicant's current infrastructure available to carry out the proposed project (e.g. necessary equipment and facilities).
- Identify measurable outcomes that support continued commitment to commercialization and growth (such as prototype developed, prototype tested, field trials completed, etc.).
- Describe how the proposed scope of work will advance this technology toward commercialization.

## **Commercialization Strategy**

It is ideal for the applicant to have previously developed a formal business plan based on early stage market research and strategic development from which the following information should be obtained:

- Briefly describe the proposed business model and any pricing and cost insight.
- Describe how and where the technology will be manufactured or implemented.
- Describe ownership over any primary intellectual property or proprietary knowledge associated with this project and how it provides a competitive marketplace advantage and/or barrier to current or future competitors.
- Describe the sales and marketing strategies that will drive the technology to commercial success.

## **Maine Economic Impact**

Describe how the proposed project may lead to positive economic impact to the company and to the State of Maine including measures such as:

- Number of new job expectations and retention of existing jobs.
- Estimated new or increased revenues.
- Intellectual property protection secured.

## Management Team

It is not necessary to identify each team member's personal background in this section. That information should be contained within the professional summaries.

- Identify the key project personnel including staff, consultants, advisors and partners.
- Briefly identify each person's title and role.

## SPECIAL NOTE - TECHNOLOGY TRANSFER APPLICANTS ONLY

MTI's experience suggests that Tech Transfer projects are most successful when there is a high degree of interaction between the academic or research institution and the candidate and/or target industry company team members. This joint activity should be clearly outlined in the description of the project. Describe the expected interaction to move the technology from the academic or research institution to the industry partners or company.

### 3. Supporting Documents - Optional ( $\leq 4$ pages total)

This section is intended to support any claims made within the application narrative.

On separate pages, not to exceed four single-sided pages, submissions may include any articles, letters, or other documents that support the application. Supporting documents often include published market information, details and data from prior market research efforts, letters from experts in the field, partners, collaborators, suppliers, and/or potential customers. Pictures and diagrams of the technology can also help illustrate the proposal's innovative merit.

### 3a. Applications with Pay for Intellectual Property Filing (1 Additional page)

Applications requesting funds to pursue intellectual property protection, such as patent protection, copyrights and trademarks, must include supporting documents from the patent attorney or agency conducting the intellectual property investigation. The specific intellectual property should be defined. The applicant should provide an analysis of patentability or Prior Art Search Report. These are both acceptable forms of supporting documents.

## 4. Form B: Budget Summary

All eligible and properly documented MTI-funded expenses and matching contributions may be claimed back to the application deadline date.

Use Budget Form B provided at [www.mainetechnology.org/sg](http://www.mainetechnology.org/sg) to indicate:

- Number of hours and hourly rate for all employees and consultants/contractors.
- Line-item expenses for the proposed project (*Note: indirect costs, overhead expenses, and sales and marketing costs are not allowable for Seed Grant projects*).
- Total funds requested from MTI.
- Total matching funds committed. The match commitment must be greater than or equal to the MTI funding request. It is recommended that at least 50% of the match be in the form of cash.

### 4a. Budget Supporting Document ( $\leq 2$ pages)

Documents explaining the details of numbers used in Form B. Examples of budget supporting documents may include: lists of items to be purchased, purchase order agreements for materials to be used within the project, and scope of work agreements with consultants for work to be performed on the project.

## **WAGE / SALARY RATE GUIDELINES:**

All paid salaries/wages **must be the actual pay rate (based on historical paystubs), or must NOT exceed MTI limits** based on reasonable rates for the current market within Maine. Unpaid salaries may not exceed the MTI salary rate limits set. For more details on the salary rates and matching funds guidelines, see Page 12 of these application instructions. MTI will verify payments and rates for employees and consultants before issuing funds.

### **5. Commitment Letters (≤ 1 page per letter)**

On separate pages, please provide letters of commitment for all matching funds contributed toward completion of the proposed project. Letters must account for all items included in the Match Funding columns of the Budget form, including match committed by the applicant's company. A sample commitment letter is provided within this Application. It is recommended that at least 50% of the match be in the form of cash. Non-cash match or Other Match typically consists of unpaid time contributed by the principals of the company.

Additional Commitment Letters may also be included from external partners and contractors to verify their committed efforts towards the proposed project. A summary of those efforts should also be highlighted in the scope of work section of the narrative; however, more specific details may also be included within these additional commitment letters.

### **6. Professional Summaries (≤ 2 pages per person)**

On separate pages, please submit professional summaries for the primary contact and any other company employees identified on Form B: Seed Grant Budget Form or within the project Scope of Work, including any named consultants and/or contractors. Be sure the summaries indicate experience relevant to the performance of tasks related to this application. Additional summaries may be provided for key team members or advisors who may not be working directly on the proposed project.

Note: Biographies may not be longer than two pages per person. Any additional biography pages over the 2-page per person limit will be discarded. Professional summaries may come in the form of a resume, CV, or paragraph summary style.

### **7. Form D: Intellectual Property Plans and Proprietary Positions of the Applicant (1-page form) - Required even if not applicable.**

Using Form D, list and describe all relevant intellectual property, owned or needed by the company, university or non-profit research institution, for which use is material to the recipient's ability to conduct the project described in the application.

If no intellectual property exists, please indicate this in the first row of Form D and include with your Application PDF to be uploaded via MTI's Online Application Portal.

## Form B: Budget Example

An Excel version of this document is available on the MTI website.

<b>Company Name:</b>				<b>Product Name:</b>			
<b>Date Submitted:</b>				<b>Project Title:</b>			
<b>Principal Contact:</b>				<b>Phone/Email:</b>			

  

Project duration can be no longer than 12 months; activities and expenses may only be incurred after the deadline date				Budgeted Expenses				Actual Expenses (reporting only)			
Start Date:	To	End Date:	Total	MTI Funds	Cash Match	Other Match	Total	MTI Funds	Cash Match	Other Match	
INTERNAL PROJECT PERSONNEL - <small>When reporting, please include time logs.</small>		Hours									Hourly Rate
Name/Title:		0	\$0	\$0			\$0				
Name/Title:		0	\$0	\$0			\$0				
Name/Title:		0	\$0	\$0			\$0				
Name/Title:		0	\$0	\$0			\$0				
<b>Personnel Subtotal</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
EXTERNAL CONTRACTORS & HIRED SERVICES - <small>When reporting, please include paid</small>		Hours	Hourly Rate								
Name/Title:		0	\$0	\$0			\$0				
Name/Title:		0	\$0	\$0			\$0				
<b>Contractual Services Subtotal</b>		<b>0</b>	<b>Avg</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
<b>EQUIPMENT PURCHASES</b>											
Type:				\$0			\$0				
Type:				\$0			\$0				
<b>Capital Equipment Purchases Subtotal</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
<b>EQUIPMENT USE, LEASE, OR SHARING</b>											
Type:				\$0			\$0				
Type:				\$0			\$0				
<b>Equipment Use, Leasing or Sharing Subtotal</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
<b>PROJECT SUPPLIES (List category &amp; describe)</b>											
List/Describe:				\$0			\$0				
List/Describe:				\$0			\$0				
<b>Project Supplies Subtotal</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
<b>TRAVEL (List where/reason)</b>											
Where:	Reason:			\$0			\$0				
Where:	Reason:			\$0			\$0				
<b>Travel Subtotal</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
<b>OTHER DIRECT COSTS (List &amp; describe)</b>											
List/Describe:				\$0			\$0				
<b>Other Subtotal</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
<b>TOTAL EXPENSES</b>				<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	
							<b>Total Match</b>			<b>\$0</b>	
							<b>Total Match</b>			<b>\$0</b>	

  

<b>The following boxes indicate if the form is filled out correctly</b>	<b>Budget is in balance</b>	<b>Expenses are in balance</b>
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*By submitting this document the 'grantee' represents that all resources represented are real and would be specifically dedicated to the funded project.*

**Instructions**

- If you are completing this form in Excel & you require more lines for each item, click on the plus (+) sign on the far left to expose additional lines.
- If this form is being completed as part of the **MTI Seed Grant Application** process, enter budget details into the following columns: Total Budget (Column F), MTI Funds (Column H), Cash Match (Column I) and Other Match (Column J). **DO NOT COMPLETE** the Actual Expenses columns.
- If an **MTI Seed Grant** has been **granted** and this form is being submitted as part of a **final report**, enter actual project expenses for the current milestone period into the following columns: Total Expenses (Column L), MTI Funds (Column N), Cash Match (Column O) and Other Match (Column P) accordingly.

**4. Allowable Rates**

- Hours put in by sole proprietor or equity owner that does NOT currently receive payroll or salary (i.e., sweat equity), using MTI's approved pro-bono hourly rates not to exceed \$50 for principals or executive level management and not to exceed \$30 for all other individuals participating in the project
- Hours put into the project by consultants that receive NO dollar payment for work (i.e., working pro bono); the maximum hourly pro-bono rate for a consultant is \$50
- Hours that equipment owned either by the applicant or an outside third party is used for activities necessary to complete the project where no payment is made for its use and is instead assigned a fair market value which requires justification for an hourly rate.

COMMITMENT LETTER (Example)

\*You may use a copy of this letter by replacing all italicized words with information pertaining to your application.

*(insert date here)*

Maine Technology Institute  
Brunswick Landing  
8 Venture Avenue  
Brunswick, ME 04011

Dear MTI President,

This letter represents a commitment by *(insert company name here)* to provide \$ *(insert total cash + other amount)* in matching support for a Seed Grant project entitled “\_\_\_\_\_”. The support is provided from *(insert project start date)* to *(insert project end date here)*.

Of this support, \$\_\_\_\_\_ is committed as direct cash by *(insert cash contributors name)* to carry out its work on this project.

We are providing other support valued at \$\_\_\_\_\_, which unpaid hours contributed by ownership, use of company equipment, materials, and other services devoted to the project.

Sincerely,

*(sign)*

*(insert name of company officer)*

*(insert title of company officer)*

**FORM D: INTELLECTUAL PROPERTY RELATED TO PROJECT**

List all patents, copyrights, trademarks, trade secrets or any other intellectual property which use is material to the applicant's ability to bring the technology to market.

**This form is required even if there is no intellectual property at this time.**

<b>Company Name</b>		<b>Project Title</b>	
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<b>Item description Patent, copyright, trademark, etc.</b>	<b>Reference Information Patent or trademark number</b>	<b>Comments Describe the rights to the technology and the applicant's freedom to utilize</b>

## MTI Allowable Rates and Matching Fund Requirements

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### Cash Match

*Definition:* A match in funding that results in the applicant disbursing dollars toward the completion of the proposed project. Cash match is weighted higher than other match in the application review process.

#### Examples of what is eligible for cash match:

Actual dollars paid to consultants hired by applicant to complete the project

- Actual dollars paid to employee(s) of applicant to cover hours that employee(s) worked on project
- Actual dollars paid for project materials, related project travel expenses, and intellectual property costs
- Actual dollars paid for the purchase or rental of project related equipment
- Funding from a Federal SBIR/STTR Phase I or Phase II award, as long as the dollars received from the grant are going toward activities or the purchase of the equipment relevant to the technology being developed and are included as part of the proposed project
- Third party investment in company from sources other than an SBIR/STTR Phase I or Phase II award

#### Examples of what is NOT eligible for cash match:

- Funding from a Federal SBIR/STTR Phase I or Phase II award or funding from any other third party investment that is NOT going toward funding activities or purchasing equipment relevant to the technology being developed by the proposed project
- Actual dollars from any other MTI or State of Maine funding program

### Other Match in Services or Equipment

*Definition:* A match in funding where the applicant contributes or receives services or equipment that helps to complete the proposed project without compensation.

#### Examples of what is eligible for other match:

- Hours put in by sole proprietor or equity owner that does NOT currently receive payroll or salary (i.e., sweat equity), using MTI's approved pro-bono hourly rates not to exceed \$50 for principals or executive level management and not to exceed \$30 for all other individuals participating in the project
- Hours put into the project by consultants that receive NO dollar payment for work (i.e., working pro bono); the maximum hourly pro-bono rate for a consultant is \$50
- Hours that equipment owned either by the applicant or an outside third party is used for activities necessary to complete the project where no payment is made for its use and is instead assigned a fair market value which requires justification for an hourly rate

#### Examples of what is NOT eligible for other match:

- The difference between personnel or a consultant's market rate and the reduced rate being charged to applicant
- The difference between a third-party manufacturer's market rate to rent use of equipment and what being charged to applicant

***MTI RETAINS SOLE DISCRETION TO DETERMINE MATCH  
ACCEPTABILITY AND ADEQUACY AS PROPOSED IN THE APPLICATION***



## MTI SEED GRANT APPLICATION CHECKLIST

MTI strongly encourages all applicants to email a draft proposal at least two weeks prior to the targeted application deadline. Please email your draft proposal to Kim Doughty, MTI's Lending & Grants Associate, at: [kdoughty@mainetechnology.org](mailto:kdoughty@mainetechnology.org)

Applications submitted through MTI's Online Portal must be uploaded as one, complete PDF attachment including all necessary items listed below – please title your Application PDF file as follows: “[Your Company Name], [Primary Contact Name], SG”

\_\_\_\_\_ **Online Registration Information:** Please note that the general contact information provided in the Online Application Portal is treated as public information; however, all contents of the uploaded application file, Tax ID#,s, and email addresses are confidential.

\_\_\_\_\_ **Non-confidential 100-word Project Summary:** Submit through MTI's Online Application Portal, along with initial registration information.

\_\_\_\_\_ **1. History of Previous Grants – if applicable (≤ 2 pages):** Information on your previously funded MTI and/or SBIR/STTR projects with significant focus on related projects

\_\_\_\_\_ **1a. Response to Previous Feedback if this is a Resubmission (Optional 1 page)**

*PLEASE NOTE: The History of Previous Grants (if applicable) and Application Narrative should be the opening pages of your Application PDF to be uploaded via MTI's Online Application Portal.*

\_\_\_\_\_ **2. Application Narrative (≤ 5 pages):** Please compose your narrative using the outline provided in the application instructions.

\_\_\_\_\_ **3. Supporting Documents (Optional; ≤ 4 pages):** Up to four additional pages, to include articles, diagrams, letters of support, or other documents that augment the proposal.

*An additional page of supporting documents is also allowed specifically for information pertinent to Intellectual Property. See Section 3a of Application Instructions for details.*

\_\_\_\_\_ **3a. Information Pertinent to Intellectual Property Protection (≤ 1 page)**

\_\_\_\_\_ **4. Form B - Budget Summary (≤ 1 page):** MS Excel file for Budget Form B available at: [www.mainetechnology.org/program/sg](http://www.mainetechnology.org/program/sg)

*Two additional pages of supporting documents are allowed specifically for information pertinent to Budget Form B. See Section 4a of Application Instructions for details.*

\_\_\_\_\_ **4a. Budget Supporting Documents (≤ 2 pages)**

\_\_\_\_\_ **5. Commitment Letters (1 page per letter):** Provide letters of commitment for all matching funds contributed. Use example commitment letter on Page 10 of Application Instructions. Additional Commitment Letters may also be included for external partners/contractors.

\_\_\_\_\_ **6. Professional Summaries (≤ 2 page each):** Submit professional summaries for the primary contact and any other key project employees, including any named consultants and/or contractors included in the Budget Form B.

\_\_\_\_\_ **7. Form D – Intellectual Property:**

A listing of all patents, copyrights, trademarks, trade secrets, or any other intellectual property related to the technology being developed.