

Caltech | Funding Memo

Title: NSF Partnerships for Innovation - Limited Opportunity - 1 Submission

Funding Agency: National Science Foundation

Internal Deadline: 05/20/2021 05:00 PM PDT

External Deadline(s):

07/14/2021 05:00 PM PDT (Full Proposal)

Cognizant Office: Office of Sponsored Research

Description:

The National Science Foundation (NSF) supports fundamental research and education in all fields of science and engineering to promote the progress of science; to advance the national health, prosperity, and welfare; and to secure the national defense; and for other purposes. NSF-funded research supports discoveries in science and engineering that lay the foundation of knowledge for technological innovation. This solicitation offers two broad tracks for proposals:

- The **Technology Translation (PFI-TT) track** offers the opportunity to translate prior NSF-funded research results in any field of science or engineering into technological innovations with promising commercial potential and societal impact. PFI-TT supports commercial potential demonstration projects for academic research outputs in any NSF-funded science and engineering discipline. This demonstration is achieved through proof-of-concept, prototyping, technology development and/or scale-up work. Concurrently, students and postdoctoral researchers who participate in PFI-TT projects receive education and leadership training in innovation and entrepreneurship. Successful PFI-TT projects generate technology-driven commercialization outcomes that address societal needs.
- The **Research Partnerships (PFI-RP) track** seeks to achieve the same goals as the PFI-TT track by supporting instead complex, multi-faceted technology development projects that are typically beyond the scope of a single researcher or institution and require a multi-organizational, interdisciplinary, synergistic collaboration. A PFI-RP project requires the creation of partnerships between academic researchers and third-party organizations such as industry, non-academic research organizations, federal laboratories, public or non-profit technology transfer organizations or other universities. Such partnerships are needed to conduct applied research on a stand-alone larger project toward commercialization and societal impact. In the absence of such synergistic partnership, the project's likelihood for success would be minimal.

Caltech may only submit 1 proposal to the PFI-RP track ; there is no limit on the number of PFI-TT proposals submitted by an institution.

Frequency: Typically annual

Total Award: \$250,000 to \$550,000

- PFI-TT projects will be funded for up to \$250,000 for 18-24 months per award; approximately 40-50 awards are anticipated.
- PFI-RP projects will be funded for up to \$550,000 for 36 months. Approximately 10-15 awards are anticipated.

Indirect Costs:

- Caltech's federally negotiated F&A rate will apply.

Duration: 18-36 months

Discipline(s): Biology and Biological Engineering; Chemistry and Chemical Engineering; Engineering and Applied Science; Geological and Planetary Sciences; Humanities and Social Sciences; Physics, Mathematics, and Astronomy

Eligibility: Research Faculty, Tenure-Track Faculty, Tenured Faculty

- The PI must have the technical skills required to lead and execute the proposed research project.
 - Caltech researchers other than tenure-track faculty will need to obtain approval from the Division Chair and Vice Provost for Research prior to submitting an application.
- In addition to the PI, PFI-TT proposals must include a Senior Personnel or co-PI who brings technology commercialization experience in the targeted fields of application or industry sector. The technology commercialization expert must have an active role in the project.
- PFI-RP proposals must include, without exception, a co-PI who is a member or employee of the required Industrial Partner organization. PFI-RP proposals without an Industrial Partner co-PI may be returned without review.
- NSF Lineage Requirement: All proposals submitted to the PFI program must meet a lineage requirement under one of the following two paths: (1) NSF-supported research results, or (2) NSF-supported customer discovery results through the NSF ICorps Teams Program.
- Please see program solicitation (link below) for additional eligibility details.

Research Areas of Interest:

- Translational research and technology development

Post-Award Obligations:

- Please see program solicitation (link below) for reporting requirements.

Documents:

[Program Solicitation](#)

Pre-Proposal Requirements:

PIs interested in the PFI-RP track should submit a pre-proposal to ProvostOffice@caltech.edu no later than 5:00 pm on **May 20, 2021**. Pre-proposals should be a 1-2 page research summary noting the participants, and should include a basic budget. The pre-proposal need not be in any particular format at this stage since this is a preliminary assessment.

Opportunity ID: 747