Science and Technology Foundation

Alaska Science and Technology Foundation

"The purpose of the foundation is to promote and enhance through basic and applied research: Economic development and technological innovation in Alaska; public health; telecommunication; and sustained growth and development of Alaskan scientific and engineering capabilities."

January 31, 1989

Annual Report

SCS CSHB 390 (Fin)

"The Alaska Science and Technology Foundation is established as a public corporation in the Department of Revenue.

"The purpose of the foundation is to promote and enhance through basic and applied research: Economic development and technological innovation in Alaska; public health; telecommunication; and sustained growth and development of Alaskan scientific and engineering capabilities."

Legislation signed by the Governor:
May 13, 1988

STEVE COWPER
GOVERNOR

STATE OF ALASKA
OFFICE OF THE GOVERNOR
JUNEAU

A MESSAGE FROM GOVERNOR COWPER

The Alaska Science and Technology Foundation demonstrates the commitment of this Administration to basic and applied research. Last May, I signed into law the bill creating an endowment which will live beyond politics. When fully funded the Foundation will have the ability to award grants to assist in major technological breakthroughs as well as ideas of the "basement inventor".

The successful states of this nation combine the talents of their people with the opportunities of the times. Alaska has natural resources, great potential markets, and a creative, determined population. The Alaska Science and Technology Foundation will serve us all by bringing these elements together.

Steve Cowper
Governor

ALASKA SCIENCE & TECHNOLOGY FOUNDATION

January 31, 1989

To the Governor, the Legislature and the people of Alaska:

On behalf of the Board of Directors of the Alaska Science and Technology Foundation, we are pleased to submit the first annual report.

Since being appointed in September, the Board has met three times, nearly completing the start-up activities required to implement the law which created the Foundation.

There has already been a great deal of interest in the Foundation in terms of its role as a tool for economic development and as a vehicle for funding specific research proposals. In the next few weeks, the Foundation's internal structure will be in place and the Board will begin to consider a broad range of projects.

As indicated by the language in the legislation, there are numerous areas in which the Foundation will have the opportunity to make a difference. Important among these is the challenge of finding and assisting the ideas that will contribute to the diversification of our state's economy.

Sincerely,

Edward R. Clinton

Edward R. Clinton
Chairman

Founded 1988

P.O. Box 230507, Anchorage, Alaska 99523
Telephone: 907/562-3699 Fax: 907/561-6174

Progress To Date

In the final days of the 1988 legislative session, the Alaska Science and Technology Foundation was voted into law by the Legislature and signed by Governor Steve Cowper.

The Governor announced his appointments to the Board of Directors in September. The following month, the Board met in Anchorage. At that time, the Governor spoke of his vision for the Foundation, that it "become a means of creating a continuous flow of new, practical knowledge about Alaska. That information will be dependable and broadly accessible by the public . . . We have made a long-term commitment to the creation of a scientific community within the state."

At the October 11-12 meeting, the Board elected Anchorage entrepreneur and engineer Ed Clinton as Chairman, Juneau anthropologist Lynn Wallen as vice chairman, biologist Frank Williamson of Fairbanks as secretary, and businessman and Native leader Perry Eaton, originally from Kodiak, as treasurer. Bylaws were adopted. Several standing committees were established including a Solicitations Committee to design the process for handling research proposals; a Peer Review Committee to design the procedure for proposal peer review and to locate qualified reviewers; and a Public Information Committee to encourage input and public participation in the Foundation's activities.

The Board held its second meeting on November 17 and 18 in Fairbanks. At that time the Budget Committee report regarding FY 90 was discussed and adopted by the Board. The Board approved the relevant documents prepared by the Search Committee for the recruitment of the Executive Director. Governor Cowper had urged the Board to be deliberate and thorough in its selection process in order to find someone of outstanding ability. A nationwide search was launched in early January. The Board anticipates that it will find and hire an individual for this position by early May.

The January 12-13 board meeting took place in Kodiak. The Board met with leaders of the fishing, fish processing and fish technology industries to hear firsthand how the Foundation might address their needs. A session designed for public testimony resulted in a standing-room-only crowd. The participants spoke of many issues, including the urgent need for assistance with safety and training, and new developments in fishing gear design.

Even before the Board was appointed last fall, proposals for research projects began to arrive. At the Kodiak meeting, the Board adopted procedures for the preparation and review of proposals in order to insure professional handling and equitable treatment of applications.

At all three meetings, the Board reflected enthusiasm for the mandate it has been given by the Legislature and the Governor. The interaction of the Board members, who represent many different backgrounds and academic disciplines, has led to spirited and constructive debate and discussion.

At a speech to the Kodiak Business and Industry Council, Chairman Ed Clinton summed up the sense of mission held by the Board members of the young Foundation: "We have a working Board, comprised of very talented, experienced individuals. They are real participants. They are busy people but have the focus and dedication needed to make the goals of the Foundation real and attainable."

Board of Directors

Edward R. Clinton, *Chairman*

Founder, Dowland-Bach and Alaska Valve and Fitting Company

Ed Clinton is an inventor and innovator and has twenty-three years experience as a small business owner in Alaska. He was attracted to Alaska in the mid-1960s to participate in the developing Kenai oil fields. As a metalurgist and mechanical engineer, he became fascinated with the technical problems of cold weather performance of oil field systems. In 1965, he founded Alaska Valve and Fitting Company, which distributes high tech metal fittings for pressurized fluid systems.

As Prudhoe Bay came on line, Clinton became intrigued with the continuous failure of the lower 48 equipment when exposed to the extremes of the Arctic. As a result, he patented the first successful "arctic duty" wellhead safety system, designed to prevent catastrophic surface failure of completed oil and gas wells. Dowland-Bach Corporation manufactures these systems and is actively involved in additional research and development.

Small Businessman of the Year for Alaska in 1981, Clinton served on the Small Business Advisory Council from 1982-1986. He is the holder of two U.S. patents with two others pending. He received his engineering degree from the University of Pittsburgh.

Perry R. Eaton, *Treasurer*

President and CEO, Community Enterprise Development Corporation

Raised in Kodiak, Perry Eaton has a lifetime relationship with commercial fishing, rural Alaska, Native issues and business. As the President of CEDC, he has successfully guided the full range of activities of this non-profit corporation which is designed to strengthen Alaska's rural economies. CEDC and its for-profit arm, Alaska Rural Investments (ARI), have holdings which include the Alaska Commercial Company, Frontier Expeditors and Alaska Village Tours, Inc. ARI is the eighth largest Alaskan owned company in the state.

Eaton's earlier professional experience has included positions as Assistant Vice President of First National Bank of Anchorage, Vice President of First National Bank of Anchorage, Vice President of United Bank Alaska, Executive Vice President of the Alaska Native Foundation and summer work as a Kodiak purse seiner.

His service on national boards includes the National Consumer Cooperative Development Corporation, the National Rural Development and Finance Corporation, and the National Cooperative Bank. Previous board positions have included Koniag, Inc., Alaska Housing Finance Corporation, Commonwealth North, and the Alaska Historical Commission.

Mr. Eaten studied business at Seattle Community College.

Gary R. Freitag

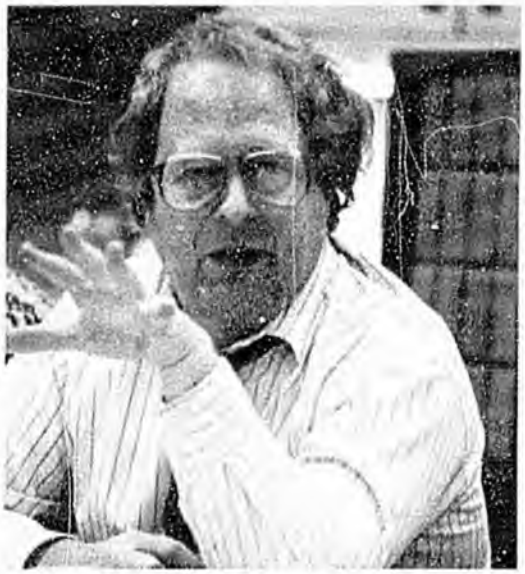
Research and Evaluation Manager, Southern Southeast Regional Aquaculture Association, Inc., Ketchikan

Gary Freitag is well acquainted with Alaska's maritime issues centering on salmon enhancement, estuarine chemistry and mechanics, sedimentation and statewide fisheries planning. Through extensive data analysis of salmon returns in Southeast Alaska, he is a true expert on conditions which impact "fry" population health and numbers.

As a chemist, he worked with a research team to develop a more efficient polymer for pollution control and secondary oil recovery. Another of his research projects led to the development of a patented, light-curing polyester resin for fiberglass pipe, used in a variety of applications.

Freitag's professional assignments have included working as a member of the Chinook Technical Team of the Pacific Salmon Commission working on the U.S./Canada salmon treaty negotiations. He also served on the fish monitoring team for the U.S. Borax mine at Quartz Hill and the Alaska State Fish and Game Technical Planning team on king salmon.

He holds a B.S. degree in Chemistry from the Philadelphia College of Textiles and Science, and an M.S. in Oceanography from Old Dominion University's Institute of Oceanography.



James Kenworthy

Manager, Research and Technological Programs, Michigan Strategic Fund

Dr. Kenworthy brings to the Alaska Science and Technology Foundation first-hand experience of how the State of Michigan is improving its economy through research and technological development.

His current duties include staffing the Research Excellence Fund, which dedicates $27 million per year for research in industrial technology, biotech, and materials research at Michigan's public universities. He also manages the Centers for Excellence Program at three non-profit technology centers in Michigan. In addition, he has helped establish in Michigan such industry/university research and development consortiums as the Michigan Materials Processing Institute and helped locate in the state the National Center for Manufacturing Science and NSFNET, the backbone network connecting the nation's public super computers and regional networks.

He has worked with the National Science Foundation on the issue of how states and the federal government should undertake research-based economic development.

Dr. Kenworthy holds a B.A. from Amherst College and an M.A. and Ph.D. from the University of Michigan.

George Kozmetsky

Executive Associate for Economic Affairs, The University of Texas System

Dr. Kozmetsky is a co-founder, a Director, and a former Executive Vice President of Teledyne, Inc. His business acumen spans service, manufacturing and technology-based industries and he is an acknowledged expert in high technology and venture capital.

His responsibilties at the University of Texas at Austin include serving as Director of IC^2 Institute, an academic research unit specializing in economic development. In addition he is a full professor in the Management and Computer Science Departments as well as the Department of Medicine of The University of Texas Health Science Center in San Antonio

Dr. Kozmetsky's professional affiliations include the American Association for the Advancement of Science (fellow), The Institute of Management Sciences (charter member and past president), The American Society for Macro Engineering (chancellor), the Large Scale Programs Institute (president), the National Science Foundation (special reviewer), and the British Interplanetary Society.

A native of Seattle, he holds a B.A. and an M.B.A from the University of Washington and a Ph.D. in Commercial Science from Harvard University.

Anne P. Lanier

Director, Arctic Investigations Laboratory, Centers for Disease Control, Anchorage

As the Director of the Anchorage Field Station of the Centers for Disease Control, based in Atlanta, Georgia, Dr. Lanier is the team leader of a federal arctic research facility which has a forty year history of addressing health problems of Alaska and other circumpolar populations. Prior to assuming the directorship, she served as Deputy Director and medical epidemiologist.

Additional medical assignments have included staff physician at the Alaska Native Medical Center in Anchorage and epidemiologist at the Mayo Clinic in Rochester, Minnesota.

Her professional affiliations include the American College of Epidemiology (fellow); the American Society of Circumpolar Health (board member); the Society for Epidemiological Research; and the Alaska Public Health Association.

Board certified in preventive medicine and general public health, Dr. Lanier has published over fifty articles on health problems reflecting her interest in Alaska's public health and disease prevention and control.

Dr. Lanier received a B.A. from Lawrence University, her M.D. from Washington University School of Medicine and an M.P.H. from the University of Minnesota, School of Public Health.

Robert E. LeResche

Executive Director Alaska Power Authority

Bob LeResche is the Executive Director of the Alaska Power Authority.

Prior to his appointment to this position by Governor Steve Cowper, he was the owner and principal of LeResche & Company, an investment banking and management firm specializing in natural resource transactions involving natural gas, coal, fisheries, mining and timber.

In 1977 he was appointed Alaska Commissioner of Natural Resources by Governor Jay Hammond and served in that capacity until 1981. During his tenure, he devoted special attention to establishing closer trade relations between Alaska and the nations of the Pacific Rim.

Other positions he has held include Vice President for corporate development of Sealaska Corporation, Director of state division of Policy Development and Planning, Chief of the Habitat Division and research biologist for the Alaska Department of Fish and Game, and adjunct Associate Professor at the University of Alaska.

Dr. LeResche has a B.A. from Dartmouth College, an M.S. from the University of Alaska Fairbanks and a Ph.D. from Johns Hopkins University.

Lynn Ager Wallen, *Vice Chairman*

Consultant, Alaska Cultural Research Service, Juneau

Lynn Wallen has a background in both government and cultural anthropology. Her non-governmental career has been concentrated on the cultural values of Aalska's Southeastern and Southwestern Native peoples. She has been on the anthropology faculty of five universities including the University of Alaska and Georgetown University. She is a peer reviewer for the National Science Foundation on proposals related to Arctic and Antarctic social and behavioral science research. She is the author of numerous articles in books and professional journals. Dr. Wallen is the former curator of Collections of the Alaska State Museum in Juneau.

In Washington, D.C., she served as a Legislative Assistant to Congressman Don Young where she worked on energy, tax and economic issues. She returned to Alaska to take the position of Director of the Legislative Intern Program for the Legislative Council and later became the Special Assistant to the Executive Director of the Legislative Affairs Agency in Juneau.

Dr. Wallen's undergraduate studies were at the American College in Paris and George Washington University where she received her B.A. She holds an M.A. from the University of Alaska Fairbanks, and a Ph.D. from Ohio State University.

Francis S.L. Williamson, *Secretary*

Director, Institute of Arctic Biology, University of Alaska Fairbanks

As Director of the Institute of Arctic Biology at the University of Alaska Fairbanks, Dr. Williamson has a major leadership responsibility in research dealing with terrestrial and freshwater biological systems of the north. Prior to assuming this position in 1986, he was the Chief Scientist at the Division of Polar Programs at the National Science Foundation in Washington, D.C. Dr. Williamson is the current President of the Arctic Division of the American Association for the Advancement of Science. He serves on the Executive Council of the University of Alaska Fairbanks.

Dr. Williamson came to Alaska in 1955 as a biologist with the Arctic Health Research Center, U.S. Public Health Service. Also in Alaska, he served as a consultant with the Atomic Energy Commission's Plowshare Program at Cape Thompson, as a consultant for the Battelle Memorial Institute conducting bioenvironmental studies on Amchitka Island, and for the Department of the Interior during selection of national interest lands within the State.

In 1975, Dr. Williamson was named Commissioner of Health and Social Services by Governor Jay Hammond.

Dr. Williamson received his B.S. degree from San Diego State University, his M.A. from the University of California at Berkeley and his Sc.D. at Johns Hopkins University.

Financial Statement As Of December 31, 1988

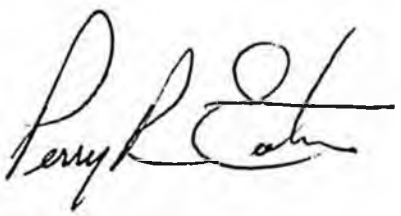
The passage of SCS CSHB 390 (Fin), creating the Alaska Science and Technology Foundation, was implemented by an initial Capital Appropriation of $6 million to be used for grants.

"Under certain conditions, the legislation authorizes the Governor to make additional deposits to the Foundation Endowment, "not to exceed $34 million" per year. The maximum level of the Endowment is $100 million. To date, no deposits have been made pursuant to this authorization.

An operations appropriation of $270,886 was made for FY 89 to fund the Foundation until June 1, 1989. The Governor has requested a 12 month operations budget of $305,401 for FY 90.

Expenditures through December 31, 1988 were $38,893.95. This reflects the organizational phase of the Board, its first two meetings and early staffing in Juneau and Anchorage.

The balance in the FY 89 operating account is $231,992.05. The Capital appropriations account balance is $6 million.



Perry R. Eaton
Treasurer
January 31, 1989

Questions and Answers

Q. What is the purpose of the Alaska Science and Technology Foundation (ASTF)?

A. The Foundation was created to make public funds available for long-term investment in economic development and technological innovation within the State. Through the awarding of grants for basic and applied research, the Foundation will act as a catalyst to help build our science and engineering capabilities, to improve the public health and well-being, and diversify the state's economy.

Q. What types of projects is the Foundation seeking?

A. Proposals are encouraged for all projects which will assist in meeting the above goals. In addition, there are specific areas in which proposals are being sought. Some of the topic areas are: Fisheries, coal technology, forest products technology, rural energy systems, telecommunications, and public health and safety. A complete RFP list will be available at Foundation headquarters after mid-February. This indicates topics of particular interest. The Board will consider unsolicited proposals as well.

Q. What funds are available for grants?

A. The 1988 Capital appropriation of $6 million is currently available. At its full maturity, the ASTF Endowment will have $100 million. The interest the Endowment earns will be used to fund grants.

Q. What will be the amount of grant awards?

A. At least half of the grants will be made in amounts less than $100,000. An upper limit has not been established at this time.

Q. What is the process for submitting a proposal to the Foundation?

A.
- Submit "pre-proposal" on forms provided by ASTF.
- Review by Board for decision of interest.
- Invitation to submit full proposal (25 pages maximum).
- Peer review of proposal and recommendations.
- Decision by Board.
- Grant contract written and signed.

Q. What is the Foundation's confidentiality policy?

A. It is the policy of the Board to maintain confidentiality of idea development and trade secrets to the greatest extent possible under the law.

Q. Is there a specific date for proposal submission?

A. On April 1, 1989, the first group of proposals will begin the review process. Later dates will be announced for summer and fall.

Q. What time interval is generally involved in this process?

A. Approximately three to six months.

Q. Once the grant is awarded, what is the involvement of the Foundation?

A. Grants are awarded for a finite period. Benchmarks established in the contract will be the key to continued incremental funding, when documentation is received and approved. Once research is completed, the Foundation will assist in obtaining business expertise to bring about actual production when appropriate.

Q. Who manages the Foundation?

A. A nine member Board of Directors determines policy and reviews proposals. An Executive Director and small staff will handle operations and administration.

If you have any other questions or would like to receive the proposal forms, please contact Foundation headquarters.

Chairman Ed Clinton listens to concerns of a leader in the Kodiak commercial fishing industry.

Alaska Science and Technology Foundation

P.O. Box 230507
Anchorage, Alaska 99523

Telephone 907/562-3699
Fax: 907/561-6174

FOUNDED IN 1988

Alaska Science and Technology Foundation
GENERAL SOLICITATION

Background

The Alaska Science and Technology Foundation was created by statute in 1988 during the second session of the 15th Alaska Legislature. The bill creating the ASTF, sponsored by Governor Steve Cowper, was introduced as HB 390 in the House of Representatives in January, 1988 and received the broad support of the Alaska Legislature in its passage. Governor Cowper signed the bill into law in Fairbanks, Alaska in June of 1988.

The statute creates the Foundation "to promote and enhance, through basic and applied research: economic development and technological innovation in Alaska; public health, telecommunications, and sustained growth and development of Alaska science and engineering capabilities".[1] The Foundation, through policy and procedures developed by the nine-member Board of Directors, solicits and awards grants on a competitive basis. This solicitation presents the criteria by which competitive project proposals will be assessed. The law provides that the Foundation will give priority to projects proposed by Alaskan's which otherwise meet Foundation solicitation criteria. Special provisions mandate that "not less than fifty percent of the endowment income that is distributed as grants by the Foundation in a fiscal year must be for grants of $100,000 or less, exclusive of other funding."[2]

The ASTF Board of Directors perceive the need for engaging in longer-term development strategies that encourage a stable and sustainable economy, bring new business to the state, improve the health and safety of Alaska's citizens, and develop Alaska's technological capabilities. Through this and future solicitations, the Foundation endeavors to encourage innovation and the pursuit of excellence in fields where Alaskans have gained, or, given the opportunity, can gain the experience and knowledge necessary for achieving and maintaining competitive advantage.

Purpose

The legislative history established the purpose of the Foundation. The mission and purpose of the Foundation is to make long term investments to improve the economic and health status of Alaska and its residents. The one means named in the legislation to achieve this purpose is to increase the capability for basic and applied research of the state's scientific and engineering infrastructure. The two windows to Foundation resources -- the Alaska Research Projects and the Alaska Development Projects -- are aimed at two critical but different parts of the innovation process.

1. 1988 SLA CH. 37.17.010
2. 1988 SLA CH. 37.17.090(d)

While the Foundation is committed to using its resources to make the strategic investment decisions that will have the greatest impact on the future economic and public well being of Alaska's residents in a long-term (ten year) time period, the Foundation is interested in funding particular projects that promise practical, measurable results in the near- to mid-term (2-5 year) time period necessary in order to ensure a longer term impact on the state.

The Role of the Foundation

In seeking to achieve this public purpose, the Foundation also believes that the way it conducts its business with the people of Alaska and the relationship established between the Foundation and the public could be at least as important as the specific results of its expenditures.

The Foundation seeks to award and administer its resources in a way that insures public accountability for its investment by selecting and evaluating projects to fund based on outcomes and results, not inputs or intentions. Since recipients are responsible for achieving those specific practical results necessary to benefit Alaska, the Foundation does not intend to manage or micro-manage how the projects are carried out. The Foundation intends to operate in as non-bureaucratic a manner as possible. The Foundation recognizes the need to be clear about the public purpose of the Foundation, the way in which projects will be selected and evaluated, and the need to ensure the defined results promised by proposers while leaving to Foundation recipients the initiative of proposing how those results will be achieved and disseminated, and what adjustments over time may be required to achieve those outcomes. The Foundation seeks to use and administer its public resources in order not to create a long term dependency on the Foundation for its resources and guidance, but rather to increase the ability and independence of its recipients to continue to undertake activities without the need for state resources.

In sum, the Foundation views itself as a catalyst or seed capitalist of activities. The relationship between the Foundation and the recipients of its funds will therefore not be a traditional grantor-grantee relationship but rather one where the Foundation seeks in project managers and their organizations fellow investors and risk takers in projects. As a non-managing partner, the Foundation does not expect to interfere in the management of projects as long as projects are achieving the timely results identified by the proposer in his application for Foundation funds. The Foundation will not interfere in the management of projects that are on time and achieving defined benchmarks in order to insure the independence necessary to evaluate the results of projects and maintain the accountability necessary for the expenditure of public funds. If projects are falling behind schedule and not meeting benchmarks defined in the original application, the Foundation reserves the right to take any action necessary to preserve public funds.

In order to initiate the type of partnership described above, the Foundation requests potential proposers to submit a brief preproposal application as a means to discuss the proposed project before an entire application is written. The Foundation will also undertake to hold a series of workshops around the state to answer questions on this solicitation or the grant award process. As a steward of public resources, the Foundation must reserve the full discretion to fund projects it deems worthy and to administer the funds in a way to achieve the program goals.

Foundation Resources

With its current limited resources, the Foundation establishes at this time one program for accessing its resources. Within the broad program, the Foundation recognizes two broad and potentially overlapping types of project "windows" that occur at different stages of the innovation process: Alaska Research Projects and Alaska Development Projects. All projects must have one project manager responsible for the project and a clear description of the relationship between the project manager and the organization, if any, to which he is attached.

Selection Criteria/Foundation Goals

The selection criteria will match the following goals for the use of Foundation resources.

The Foundation seeks to have the greatest possible impact on the Alaska's future economy and public health. Therefore successful applications will have the following characteristics:

1. Projects will leverage existing resources.

A project should demonstrate that the proposer and, if applicable, the organization of the proposer, are co-invested in the success of the project and share in the benefits and liabilities. Projects that contribute cash, time of the individuals involved, and in-kind contributions directly to the project will be more likely to be funded. Hard match will be counted more than softer in-kind contributions. However, the absence of cash by proposers with limited means does not eliminate their application from consideration. Conversely, obtaining outside matching funds does not guarantee funding by the Foundation.

Overhead or indirect charges will not be paid on foundation grants. Only those expenses that can be directly related to the costs of the project are eligible expenses. Since the Foundation seeks to add to the level of research and development in Alaska and its relevance to the state, projects that ask the Foundation to take over the financing of existing activities will not be eligible.

2. Projects will be "vertically integrated" to demonstrate an ability to move research and development to the next stage of development.

Proposals must identify their eventual market and users and demonstrate an ability to move the project toward its practical application in Alaska. The personal involvement and real support of end users or eventual beneficiaries in the research will be a clear measure of how projects are evaluated on this criteria.

Because of the Foundation's mandate to focus on the practical impact of projects on Alaska, projects must be defined and organized to demonstrate that the effort is problem- or market- or need-driven rather than research or science driven.

In some cases a proposer or a proposer's organization will not be the best vehicle to take research and development to its next stage of development. Project applications should therefore identify the vehicle -- industry group, business, community -- that will be needed to commercialize or deploy the project results and their willingness and ability to undertake the next needed step in this process.

To encourage follow-through on final project activities, project managers will be asked to submit a brief report and to execute the dissemination plan for results before receiving a final disbursement of 15% of the project's funds. In addition, up to a 10% bonus may be paid at the sole discretion of the Foundation to the project manager if it is demonstrated that the deployment plan has exceeded expectations and promises a greater impact than originally envisioned.

3. Projects will demonstrate first class thinking and the ability to undertake first class work.

The Foundation is not biased towards projects that are high- or low-tech; rather the Foundation is interested in the most applicable technology that promises the greatest benefit for Alaska. The Foundation has no preconceived idea about the educational background, physical location, or ethnic origin of anyone needed to successfully propose and carry out a project. Rather applications will be evaluated on the basis of the ability demonstrated by the proposer to undertake the project, the clarity and quality of presentation and organization in the project, and the presence of the resources needed to carry out the project. While applications for $5,000 or more will be subject to peer review to determine their quality and promise, all applications must clearly communicate to a lay audience what is being proposed, why it should be funded, why the proposer can be expected to succeed, how the results will be disseminated, and what specific outcomes will benefit the state. Successful proposals will be as clear, specific, and brief as possible.

4. Projects will identify clear, measurable benchmarks.

Projects must identify quarterly benchmarks for the period of the grant. Projects must also identify a definite end point as the maximum time limit for the completion of the project, after which no further disbursements will be made by the Foundation. Foundation funds will be disbursed on a quarterly basis dependent on the satisfactory completion of identified benchmarks and the overall progress of the project.

Good proposals will identify in the application the important and necessary technical and market (economic development, public health, or telecommunications) milestones that need to be achieved for the project to remain on target and on schedule. Benchmarks should not be a matter of interpretation but rather a simple undisputed measure of progress. Quarterly reports will be a brief report on those benchmarks with any necessary explanation for why targets have or haven't been met.

5. Projects will clearly demonstrate why the Foundation, and not another organization, should fund the project.

All applications should contain an analysis demonstrating why the proposed research and development activity is not being undertaken by others, how this project relates to any existing earlier work, and why the work is not eligible for other funds. The limited resources of the Foundation as well as the strategic role the Foundation seeks to play does not permit the Foundation to fund projects that should have been funded by other investors or resources but for reasons of quality were not. The Foundation does not seek to replace or subsidize these market decisions. However, the Foundation recognizes that in a number of cases, good projects were passed over by others because of the sometimes conservative nature of basic research decisions by the federal peer review system, because national funding agencies are sometimes less interested in projects that will have a primary focus on Alaska problems and needs, because the project was considered too applications-oriented by a federal research agency, or because it was considered by business investors to be at too early a stage to justify the risk of private business financing.

The Foundation seeks to develop the expertise needed to point proposers to other sources of public or private capital for projects that should be attracting non-Foundation funds.

6. **Projects must demonstrate either a definite conclusion or, if ongoing, the likely prospect of follow-on investors or other resource support.**

The Foundation has as its goals the completion or self-sufficiency of all funded activities. Good projects will be conceived as either a one-time project with benefits which will be realized at its successful completion or as projects that are likely to attract non-state government follow-on investors or resources at the completion of the grant period. Follow-on investors or funders can be other research funding or private sector financing. The Foundation will not fund projects which function as long term programs that are likely to depend on further Foundation resources for their continued existence. Renewals will not be granted.

7. **Projects must primarily benefit Alaska. Projects must not be detrimental to community health; projects must both assist community development and involve the community, affected end-users, and beneficiaries in project design and development.**

Every project will exist in a particular community but will seek a wider impact. Whether a project is aimed primarily at economic development, public health, or telecommunications, it must involve the resident community and eventual end-users in a constructive way in the project. Good projects will seek to involve the affected community and end-users in more than an advisory capacity but instead will proactively create structures and opportunities for affected communities, end users, and potential beneficiaries to participate in the planning, monitoring, and dissemination of project activities.

Because the Foundation's resources are earmarked state revenues, the primary beneficiary of the project must be the current and future residents of the state. Projects that aim to solve problems that are largely national or international without having a particularly strong impact on Alaska should be funded from federal, foundation (non-ASTF), or other resources. Grant agreements and contracts will be made with non-Alaska individuals and organizations only if no reasonably-priced Alaska project manager and organization exists and the problem to be addressed is sufficiently urgent to the state that it must fund the highest quality effort wherever located.

3. **Projects in the Development category must benefit the state's economic base. Within the Research category, preference will be given to projects that demonstrably enhance the scientific and engineering capabilities of the state.**

A state's economic base consists of the products and services it produces that are largely priced and consumed on a national or international market. Natural resources, manufacturing, and agriculture compose most of Alaska's economic base. The state's economic base supports the larger service economy of commercial, retail, finance, and government services. Projects that are primarily aimed at economic development must promise to expand the state's economic base either by increasing exports or substituting imports through an Alaskan provider of a good or service that is currently being purchased out of state.

Because of its mission to aid the state's future economy, Foundation resources cannot be used to provide an edge for the development of one potential service business against a future or existing provider because neither activity expands the overall economic base of the state. As an example, tourism brings money into the state and so is part of the state's economic base. But some tourism related facilities (such as restaurants, hotels, airlines) are also used by the resident population and thus are considered part of Alaska's service economy. Tourism related projects will be examined to insure that they are bringing larger benefits to the less developed areas of the state rather than requesting subsidies for the existing infrastructure.

Since a majority of state revenues are collected from corporations largely headquartered and owned out of state, research on the base economy will be considered eligible if it helps the state's citizens and its government become more informed about the effect of its policies and actions on private sector activities in the economic base. However, like other research projects, such social science research projects must also demonstrate that there are other interested investors and users in the project. In addition, Foundation resources will not fund economic development projects that substitute for or subsidize existing state government or educational activities.

By statute, one of the legislated purposes of the Foundation is to promote the "sustained growth and development of Alaskan scientific and engineering capabilities." When project proposals are evaluated, preference will be given to those that are most likely to meet this purpose.

9. Projects must be in harmony with the values of the resident community and the state.

It is the Foundation's intent to promote high quality research and development projects that are consistent with the values of the Alaskan people and that improve their quality of life. To that end, projects must be in harmony with the values of the communities in which the projects will be carried out or communities the projects will effect. Community attitudes regarding their natural surroundings and the tenor of local lifestyles must be considered. When feasible, applications should include a letter of support from the community in which the project will be carried out or which will be significantly affected by the project. Only projects which comply with federal, state, and local environmental laws and regulatory procedures will be eligible for funding. Foundation funding will not be considered a substitute for normal permitting or licensing procedures.

10. Projects should not be detrimental to animal health and life.

The Foundation favors research that does not cause illness, injury, or death to mammals and birds in laboratories or in the wild. Research projects using animal subjects must explain why alternative, non-animal protocols were not chosen. Laboratories must be accredited by AAALAC (American Association for the Accreditation of Laboratory Animal Care). Animals acquired from pounds or from dealers that supply pound animals shall not be used by researchers or laboratories funded by the Foundation.

ALASKA SCIENCE & TECHNOLOGY FOUNDATION

February 17, 1989

FEB 22 1989

The Honorable Bettye Fahrenkamp
Alaska State Senate
P.O. Box V
Juneau, Alaska 99811

Dear Senator Fahrenkamp:

On behalf of the Board of Directors, thank you for the opportunity to address the Joint Resources Committee this past Tuesday.

We were very pleased to introduce the members as well as share the vision and potential of the Foundation with your committee.

We look forward to future exchanges of ideas and information. Please do not hesitate to call if we can answer any future questions.

Sincerely,

Ed Clinton
Chairman

CR/eam

Founded 1988

P.O. Box 230507, Anchorage, Alaska 99523
Telephone: 907/562-3699 Fax: 907/561-6174

Alaska Science and Technology Foundation Board of Director
Briefing of the House and Senate Resources Committees
2:00p.m., February 14, 1989; Capital Room 124

Speakers and Topics

(Proposed Format)

	Topic	Board Member
1.	Opening Remarks, Introductions	Ed Clinton, Chairman, ASTF Board of Directors
2.	An Overview of Other State's Technology-Based Development Programs...Mistakes and Successes; Principles Applied in Developing the ASTF Program.	Dr. James Kenworthy, Chair, ASTF Solicitations Committee; Director of Research, Michigan Strategic Fund
3.	Overview of the Proposal Review and Project Award Process; the Future of Technology Based Economic Development.	Dr. George Kozmetsky, Chair, ASTF Advisory Search Committee; Executive Associate for Economic Affairs, Univ. of Texas; co-founder, Teledyne Corporation
4.	Developing the Foundation's initial Request for Proposals...Progress to Date...Request for Legislative Input	Bob LeResche, Chair, ASTF Compliance Committee; Executive Director, Alaska Power Authority
5.	Other Board Member Comments	
6.	Questions to the Board from Committee Members	

Board members making presentations will limit their comments to 5 to 10 minutes each.

The members of the Alaska Science and Technology Foundation Board of Directors are:

Mr. Edward R. Clinton, *Interim Chairman*
President, Founder, Dowland-Bach Corp.
Anchorage (Public Member)

Mr. Perry Eaton
President, CEO, Community Enterprise Development Corporation
Anchorage (Public Member)

Mr. Gary Freitag
CEO, Southern Southeast Regional Aquaculture Association
Ketchikan (Public Member)

Dr. Anne Lanier
Director, Arctic Investigations Laboratory Center for Infectious Diseases
Anchorage (Scientific Member)

Dr. Robert E. Leresche
Director, Alaska Power Authority
Juneau (State Agency Member)

Dr. James Kenworthy
Director, Research and Technology Programs
Michigan Strategic Fund
Lansing, Michigan (Out-of-State Member)

Dr. George Kozmetsky
Executive Associate for Economic Affairs
University of Texas System
Founder, Teledyne Corporation
Austin, Texas (Out-of-State Member)

Dr. Lynn A. Wallen
Arthropologist
Juneau (Scientific Member)

Dr. Francis S. L. Williamson
Director, Institute of Arctic Biology
University of Alaska
Fairbanks (University Scientific Member)

Alaska Science and Technology Foundation

RESEARCH AND DEVELOPMENT GRANTS PROJECTS

GENERAL INSTRUCTIONS FOR APPLICATION

As stated in the Foundation's "General Solicitation", there are two "windows" available to proposers for competitive funding of projects. The Alaska Research Projects window seeks to encourage pre-commercial projects which can reasonably be expected to result in a product, process, or service that directly relates to the employment or health status of Alaska residents and the development of Alaska resources. The Alaska Development Projects window is designed to encourage projects that result in new products, processes, or services,[1] employment of Alaska residents and development of Alaska resources.

The enclosed forms will be used to apply for both Alaska Research Projects and Alaska Development Projects funding. This package includes two different sets of forms: (1) *Pre-Proposal* application forms and (2) *Proposal* application forms. The Foundation requires proposers to submit a *Pre-Proposal* application for each project. This will assist us in reviewing your project's program eligibility, in providing you help while completing the longer, more detailed *Proposal* application forms, and in maintaining an accurate record of potential projects.

State statutes specify how certain information may be kept confidential. To encourage applicants to the Foundation for project funding, under AS 37.17.090 (f), information submitted in *Pre-Proposals* and *Proposals* to the Foundation will be excepted from public disclosure if the applicant so requests. Applicants should mark "confidential" all materials or data they will request not to be disclosed and sign the "Confidentiality Requested" statement included in this packet. (Please refer to page I-6 of these instructions.) The Foundation asks proposers to make every effort to minimize the amount of material or data so designated. **Please also note that all information submitted on the cover pages of *Pre-Proposals* and *Proposals* is considered public information.**

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[1] Note that not all service-related projects are eligible for funding. Please refer to the "General Solicitation", page 7, paragraph 2, as a guide for determining service project eligibility.

Pre-Proposal Forms

The *Pre-Proposal* form has three pages:

1. Project Summary

   The Project Summary provides the Foundation basic information identifying: (A) the project title, (B) the project manager and his/her working relationship to a business, educational, or other organization, (if any), (C) the project's co-investor(s), and (D) the type of project being proposed.

2. Project Overview

   The Project Overview section asks proposers to describe in general terms the basic focus of the proposed project and what is expected to result from its completion.

3. Project Detail

   The third page asks proposers to *briefly* answer some specific questions regarding:

   - o *WHAT* product, process, or service will result from the project;
   - o *HOW* the project will achieve these results, how progress towards these results will be measured, how the project relates to current and previous work in the appropriate field and how the proposed work is unique, and how results from the project will be disseminated;
   - o *WHERE* the project will take place, where the benefits will be received, and where do affected communities fit into the project;
   - o *WHY* the project will benefit Alaska and why the Foundation should fund the proposal.

Proposers should make every attempt to limit responses to the space provided under each heading in writing both Pre-Proposals and Proposals.

PROPOSAL FORMS

The Proposal application is organized around the questions of "Who", "What", "Why", "How", "When", and "Where". The purpose of this format is to encourage you to assess and present your project in a systematic way and answer each question in a manner that addresses each of the Foundation's project "Selection Criteria/Overall Goals" statements.

The Proposal forms consist of:

1. Project Summary (Page 1)

   The Project Summary provides basic information identifying: (A) the project name, (B) the type of project being proposed. (C) the project manager and his/her working relationship to a business, educational, or other organization, (if any), and (D) the project's co-investor(s). The project name should be brief and understandable to a non-scientist. If it is unclear, we will request a revision.

2. Project Detail (Pages 2-7)

   The Project Detail pages ask the questions of "Who", "What", etc. Your answers should provide a clear statement of your project goals and objectives and your plan for realizing these as a partner of the ASTF. Answers should be straightforward, concise, and complete.

   The WHAT section of the Project Detail asks for a description of the product, process, or service that will result from the project. This goal description should be supported with a sequential listing of benchmarks to be reached in the course of the work, including the questions to be answered.

   The HOW of the proposal is intended to capture scientific/technical information for use by reviewers. You should show that (1) the proposal is based on accepted scientific principles, (2) the project's success does not depend on technologies not yet developed, (3) project staff is fully qualified and able to successfully execute the project, and (4) the proposed budget, facilities, and equipment are appropriate and adequate to the work proposed.

   A schedule of events related to the project is requested in the WHEN section. This schedule should include the objectives to be reached as major milestones, highlighting any critical events. Flowcharting or other graphical rendering of quarter-by-quarter events is recommended. The schedule will be used to assess whether enough time is alloted for project success and to measure progress if the project is funded.

Proposal Forms (continued)

2. You should also clearly specify the benefits to result from the project. As an example, benefit measures could include dollars saved, population served, production or systems efficiencies realized, etc.

   You should include copies of letters of endorsement from community groups and from project co-sponsors. Copies of any necessary permits should also be attached.

3. Project Budget (Pages 8-11)

   These forms are designed to lead you through the process of determining what your project will cost while identifying the sources of funding and the amounts received from each source. In addition, all proposals must include a completed quarterly cash flow projection.

   As stated in the "General Solicitation", the Foundation normally requires projects to include partnership investments on the part of the proposer and/or co-investor(s). In-kind matches, contributions of time, and of facilities and equipment may all be counted towards a match though cash matches will be more important in the overall evaluation of certain projects.

4. Business Plan

   The Business Plan section applies to proposals designated as Alaska Development Projects (ADP). Enclosed with this general solicitation packet is a copy of the Alaska Department of Commerce and Economic Development publication, "Business Planning Guide." This document will guide you in developing the necessary financial, marketing, and production plans needed for commercialization of your products. You should use the business plan process outlined in the "Business Planning Guide" to submit your business plan to the Foundation for your project. You can receive assistance in developing a business plan through the Department of Commerce and Economic Development, Division of Business Development, (907) 465-2017 and through the Small Business Development Centers operated in communities throughout Alaska. A list of SBDCs and related contact information is attached as Appendix A of these instructions.

PROJECT SOLICITATION AND REVIEW

The Foundation considers the "General Solicitation" to be notice of a standing ASTF commitment to accept and consider all proposals for project funding which conform to the stated criteria, whether specifically solicited or not. Formal "Request for Proposals" (RFPs) will be periodically solicited for specific areas of research and development that the Foundation believes are potentially important to the economic, health, and/or telecommunications interests of the State. The Foundation reserves the right to fund proposals in any area of inquiry, whether or not the areas are specifically mentioned in an RFP. All proposals must be submitted in the form designated and include the information requested in the *Pre-Proposal* and *Proposal* forms.

Unsolicited Proposals

When unsolicited proposals are received, we will acknowledge receipt by letter and send you a solicitations packet that includes:

1. ASTF's "General Solicitation" document outlining the Foundation's program philosophy and stating the basic criteria by which all proposals will be evaluated.

2. "Pre-Proposal/Project Summary" forms and instructions.

3. "ASTF Project Proposal" forms and instructions.

4. General program guidelines, including statements of policy governing proposal solicitations and the review process, confidentiality in the proposal solicitation and review process, examples of the types of proposals that would not qualify for ASTF funding, and other general information.

You may contact the Foundation for answers to questions regarding the information requested in the *Pre-Proposal* and *Proposal* forms and for general information regarding the proposal review and funding process. The Foundation has the following interim staff available for fielding inquiries:

Board of Directors
Alaska Science and Technology
Foundation
P.O. Box 230507
Anchorage, Alaska 99523
(907) 562-3699

Confidentiality

As previously stated, under law, the Foundation's Board of Directors may honor requests for making confidential certain sections of proposals. Such requests are to be made by proposers in writing and must include justification for the request. ASTF staff will hold proposals requesting confidentiality in a secured file. Requests for confidentiality will be considered on a case-by-case basis at regular meetings of the Board. All information having confidential status will remain so designated during the entire proposal review/selection/ funding process. All ASTF proposal reviewers are bound by a confidentiality agreement. (Sample copy available on request.)

Proposals that do not include the written request for confidentiality yet include materials designated as confidential will be returned to the proposer. The Foundation accepts no responsibility for the security of proposer materials submitted to the Foundation that have not complied with ASTF confidentiality guidelines.

Disclaimer

Completion and submission of a *Pre-Proposal* and/or a *Proposal* should in no way be interpreted as obligating the Foundation to funding and/or establishing a priority position for funding of any proposed project, e.g., the receipt of a *Pre-Proposal* and/or *Proposal* by the Foundation does not create a contractual relationship between the Foundation and the proposer and the Foundation accepts no duty of care beyond that which is consistent with the guidelines and instructions within the "General Solicitation", the "General Instructions for Application", and the *Pre-Proposal* and *Proposal* application forms. In addition, Foundation staff will not comment on the prospects for funding of any proposed project.

The Foundation will accept and acknowledge receipt of all *Pre-Proposal* and/or *Proposals* that conform to the above-mentioned guidelines and instructions. The Foundation will provide assistance to individuals who request explanation or clarification of questions related to either *Pre-Proposal* or *Proposal* forms or statements made in the published guidelines, instructions, and Requests for Proposals. The Foundation will provide information to proposers regarding the status of their proposal with regard to the review process.

I have read and understand the above disclaimer.

Signed:_____ Date:_____
(Project Manager)

INCLUDE A COPY OF THIS SIGNED DISCLAIMER WITH THE PRE-PROPOSAL APPLICATION. A PRE-PROPOSAL RECEIVED BY THE ASTF WITHOUT A SIGNED DISCLAIMER WILL BE RETURNED.

CONFIDENTIALITY REQUESTED

I have read and understand the policy's governing confidentiality and hereby request that the Alaska Science and Technology Foundation hold in confidence all information and materials included in this Pre-Proposal / Proposal (circle one) designated as "Confidential" by stamp or similar marking. A justification of this request is attached.

Signed:_____ Date:_____
(Project Manager)

Appendix A

Small Business Development and Assistance Centers

Anchorage SBDC Office
University of Alaska Anchorage
430 West 7th Avenue, Suite 115
Anchorage, Alaska 99501
274-7232 / Robin Richardson Zerbel, Director

Kenai SBDC Site
Kenai Peninsula College
P.O. Box 848
Soldotna, Alaska 99669
262-5801 / Bill Phillips

Valdez SBDC Site
Prince William Sound Community College
Valdez Chamber of Commerce
P.O. Box 2418
Valdez, Alaska 99686
835-5109 / Debi Somerville

Kodiak SBDC Site
Kodiak College
P.O. Box 946
Kodiak, Alaska 99615
486-3099 / Val Rader

Fairbanks SBDC Office
Tanana Valley College
510 2nd Avenue, Suite 316
456-1701 / Tom Broderson, Director
800 427-1701 outside Fairbanks

Nome SBDC Site
Northwest College
P.O. Box 400
Nome, Alaska 99762
443-2201 / Jeanette Morton

Bethel SBDC Site
Kuskokwim College
P.O. Box 368
Bethel, Alaska 99559
543-2621 / Alice Crow

Kotzebue SBDC Site
Chukchi College
P.O. Box 297
Kotzebue, Alaska 99752
442-3400 / 800 478-1701

Juneau SBDC Office
University of Alaska Southeast
1108 F Street
Juneau, Alaska 99801
463-3789 / Paul Kennedy, Director
800 478-3789 outside Alaska

Ketchikan SBDC Site
Ketchikan College
7th & Madison
Ketchikan, Alaska 99901
225-6177 / C.L. Chesire

Sitka SBDC Site
Islands College
1101 Sawmill Creek Boulevard
Sitka, Alaska 99835
747-6653 / Dick Griffin

Alaska Business Development Center
143 E. 9th Avenue, Suite 250
Anchorage, Alaska 99501
(907) 279-7427 / Gary Selk, Director

Fairbanks Native Association
Native Business Center
Manpower and Training
310 First Avenue
Fairbanks, Alaska 99701
452-3428 or 465-4834 / Bob Kellar

Alaska Business Development Center
2201 N. Jordan Avenue
Juneau, Alaska 99801
(907) 789-3660 / Ren Walt

Pre-Proposal / Project Summary

Please read the "General Solicitation" and the "General Instructions for Application" before completing this Pre-Proposal.

Alaska Science & Technology Foundation

Project Title:

Project Type

- ☐ A. Economic Development
- ☐ B. Public Health
- ☐ C. Telecommunications
- ☐ D. Combined
- ☐ E. Other (Please Explain)_____

Project Description

Please provide a brief description of the project:

Project Cost

Please indicate the amount of total funds you will need from the Foundation for this project:

$_____

Please indicate the total cost of the project:

$_____

Project Manager:

Name:

Position/ Title:

Social Security #:

Address:

Phone: ( )

FAX: ( )

Affiliation (IF APPLICABLE)

Organization/ Business:

Address:

Contact Person:

Phone: ( )

FAX: ( )

(APPLICANTS ARE ENCOURAGED TO SUBMIT ADDITIONAL INFORMATION REGARDING THEIR WORK EXPERIENCE)

Co-Investor Information

Company Name:

Business Focus:

Contact Person:

Address:

Phone: ( )

FAX: ( )

Please attach copies of letters of endorsement or agreements from Co-Investor(s) in this proposed project if available at this time.

Project Manager's Signature:_____ **Date:**_____

(Please note that the information given on the first page of this project proposal is considered public information and is subject to disclosure.)

PROJECT OVERVIEW

In your own words, please describe the proposed project and the benefits you see resulting from its completion.

WHAT Please describe exactly what product, process, or service will result from the project.

HOW Describe how the project will achieve the results just defined. What quarterly benchmark measures will be used to gauge project progress? How does this project relate to previous research or projects undertaken by you or by others in this particular field? How is this project unique with respect to any previous related work? How will project results be disseminated; to whom?

WHERE Where will the project be undertaken and where will the project's benefits be received? Identify areas or communities (if any) affected by this project, before, during, and after. What plans are there for involving the community where the project will be done? Is the project consistent with prevailing community values?

WHY Why is this project of benefit to Alaska and Alaskans? Why should this project be funded with public money through the ASTF?

Alaska Science and Technology Foundation

PROPOSAL

Alaska Science & Technology Foundation

Please read the "General Solicitation" and the "General Instructions for Application" before completing this Proposal.

Project Title: _____

Project Type

- ☐ A. Economic Development
- ☐ B. Public Health
- ☐ C. Telecommunications
- ☐ D. Combined
- ☐ E. Other (Please Explain) _____

Project Description

Please provide a brief description of the project:

Funding sought from ASTF

Please indicate the amount of total funds you will need from the Foundation for this project:

$ _____

Please indicate the total cost of the project:

$ _____

Project Manager:

Name: _____ Address: _____

Position/Title: _____ _____

Social Security #: _____ Phone: _____ FAX: _____

Affiliation (If Any)

Organization/ Business Name: _____ Address: _____

_____

Project Manager's Relationship/Title: _____ Phone: _____ FAX: _____

Co-investor Information

Company Name: _____ Address: _____

Business Focus: _____ _____

Contact Person: _____ Phone: _____ FAX: _____

NOTE: Please attach copies of existing agreements between the proposer and Co-Investor(s) governing this proposed project.

Project Manager's Signature: _____ **Date:** _____

(Please note that the information given on the first page of this project proposal is considered public information and is subject to disclosure.)

WHO

Project Manager

Name: _____ Social Security #: _____

Address: _____ Phone: ( ) _____

_____ FAX: ( ) _____

_____

Employment Background: _____

(APPLICANTS ARE ENCOURAGED TO SUBMIT ADDITIONAL INFORMATION REGARDING THEIR WORK EXPERIENCE)

Affiliation

Is a statement of support from the affiliate or organization enclosed? YES ☐ NO ☐

Please describe the relationship of the project manager with the listed organization or institution:

Personnel

Please list the names, titles, backgrounds, and individual expertise of each project staff member.

STAFF MEMBER	WORK EXPERIENCE / TECHNICAL EXPERTISE
1. _____ (Name) _____ (Title)	
2. _____ (Name) _____ (Title)	
3. _____ (Name) _____ (Title)	
4. _____ (Name) _____ (Title)	
5. _____ (Name) _____ (Title)	

Note: Resumes may be attached for key personnel

PROJECTED RESULTS

What product, process, or service will result from the project.

WHAT

WHY

1. Why is this project of benefit to Alaska and Alaskans?

2. Why should this project be funded with public money through the ASTF? What other sources of funds, public and private, have been sought for this project? What were the results of these other funding requests?

HOW

How will the project achieve results? What benchmarks are the best measures to determine the progress of the project in quarterly reports to the Foundation?

How does this project relate to previous research or projects undertaken by you or by others in this particular field? How is this project unique with respect to any previous related work?

How will this project's results and benefits be disseminated; to whom; where?

WHEN

Please outline the project's proposed schedule of events, the time involved and projected completion date of of each stage and highlight any concurrent events. What is the estimated total time involved and the absolute end-date for project completion? Include dates for commencement, submission of quarterly reports, completion, and final report.

Is the project complete at the end of the proposed funding period? If not, who are the expected follow-on investors?

WHERE

Where will the project be undertaken and where will the project's benefits be received? Identify areas or communities (if any) affected by this project, before, during, and after its execution.

What plans are there for involving the community where the project will be done? Please summarize the project's plan for involving the local community. Is the project consistent with prevailing community values?

Is a statement from the local community enclosed? YES ☐ NO ☐

Are copies of relevant permits enclosed? YES ☐ NO ☐

ASTF PROJECT PROPOSAL **PROJECT BUDGET**

ITEM	SOURCE				
	ASTF	Federal	Private	Applicant	TOTAL
1. Personnel Salaries					
A. Project Manager					
B. Staff Members: (list by title)					
i.					
ii.					
iii.					
iv.					
2. Consultant/Contractual Services					
3. Travel/Per Diem					
4. Facilities (Rental/Use)					
A. Space					
B. Office Equipment					
C. Office Furniture					
SUBTOTAL THIS PAGE					

Form 04-952 (New 2.89)

ITEM	SOURCE				
	ASTF	Federal	Private	Applicant	TOTAL
SUBTOTAL - PREVIOUS PAGE					
5. Machinery and Equipment Total (Please Itemize in Appendix A)					
6. Other Direct Costs	**LIST ONLY DIRECT COSTS WHICH ARE APPLICABLE TO THIS PROJECT**				
A. Supplies					
B. Postage					
C. Printing and Publication					
D. Telephone					
E. Utilities					
F. Final Audit and Accounting					
G. Insurance/Bonding					
I. Advertising					
J. Other					
TOTAL COSTS					

ASTF PROJECT PROPOSAL

PROJECT CASH FLOW ANALYSIS

	1st Qtr.	2nd Qtr.	3rd Qtr	4th Qtr.	TOTAL
Receipts (by source):					
ASTF:					
Co-Investors: (name)					
1)					
2)					
3)					
Applicant:					
TOTAL RECEIPTS:					
Disbursements (by category)					
Personnel					
Consultant/Contractual					
Travel/Per Diem					
Facilities (Rental/Use)					
Equipment					
Other Direct Costs					
TOTAL DISBURSEMENTS:					

Form 04-952 (New 2.89)

ASTF PROJECT PROPOSAL **PROJECT EQUIPMENT SCHEDULE**

Equipment Description	Source	Schedule Use	Cost	Check One		
				Rent	Buy	Other

Form 04-952 (New 2/89) Appendix A

Alaska Science & Technology Foundation

Summary
First Request for Proposals

The Alaska Science and Technology Foundation

is requesting proposals for research and development projects in Alaska to further the purposes of the Foundation, which are to make long term investments in economic development and technological innovation in Alaska through applied and basic research that will enhance the State's economy, help build our science and engineering capabilities, and improve the health status of Alaskans.

PROPOSALS ARE ENCOURAGED FOR ALL PROJECTS THAT WILL ASSIST IN ACHIEVING THESE GOALS. In addition, we are specifically seeking proposals for projects dealing with the areas listed in this request.

Fisheries

Develop projects that will result in information that can be used by state and federal management authorities to reduce salmon interception through international negotiation. Proposals might include programs that use high technology remote sensing of foreign fishing vessels and sampling for stock identifiers such as coded wire tags or scale pattern analysis.

Proposals should demonstrate how resulting data and surveillance information can be used by management authorities to reduce high seas interception.

Develop new methods to improve the handling, processing and marketing of Alaskan seafood products, including underutilized species.

Pursue any other project whose success promises to increase the return to Alaskans from our fisheries resources.

Coal Technology

Develop a functional and economic process for drying, stabilizing and beneficiating Alaska coal to enhance its marketability in export markets.

Pursue any other project which will result in a greater return to Alaskans from exploiting our energy resources.

Forest Products Technology

Develop economically viable processes for producing marketable products from Alaskan timber resources, including underutilized species and the small-log and pulp-log components of presently harvested species.

Achieve greater acceptance of Alaska spruce and hemlock species in building codes and specifications to enhance the domestic marketability of Alaska-made building products.

Pursue any other project which promises to capture more added value from processing forest products in Alaska.

Rural Energy Systems and Telecommunications

Develop standardized modular electric generation systems for use in rural Alaska that integrate diesel, renewable and local energy sources and provide flexibility to allow use in diverse locations, load profiles and seasonal availability of energy sources.

Develop economic telemetry and control systems to allow remote monitoring and control of isolated rural systems.

Accomplish any other project that promises to improve the quality or cost structure of energy or telecommunications in rural Alaska.

Public Health & Safety

Develop solutions to the problems of accidental and self-inflicted injuries and deaths in Alaska. Specific emphasis might be placed on marine safety in the commercial fishing fleet, and improvements in the the safety of logging and mining practices.

Develop effective programs for the prevention of alcohol and drug abuse in Alaska.

Develop programs which effectively promote individual and community health and wellness.

Develop and evaluate any other practical program which can be expected to improve the health and wellness status of Alaska residents in the near- to mid-term.

PROPOSALS ARE ENCOURAGED FOR ALL PROJECTS THAT WILL ASSIST IN ACHIEVING OUR LEGISLATED GOALS, WHETHER OR NOT THEY ARE SPECIFIED IN THE FIRST REQUEST FOR PROPOSALS!!