



**South Carolina
Centers of Economic Excellence (CoEE)**

**GUIDELINES FOR
COEE COMMERCE AWARD
REQUEST FOR PROPOSALS**

FY 2010-2011

January 18, 2011

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ANNOUNCEMENT OF REQUEST FOR PROPOSALS

**The South Carolina Centers of Economic Excellence Review Board
announces the competitive award process
for three Centers of Economic Excellence (CoEE) Commerce Awards
for Fiscal Year 2010-2011.**

CoEE Commerce Endowed Chair One: In association with the Boeing Corporation project in South Carolina identified by the Secretary of Commerce. \$2 million maximum award amount.

CoEE Commerce Endowed Chair Two: In association with the Boeing Corporation project in South Carolina identified by the Secretary of Commerce. \$2 million maximum award amount.

CoEE Commerce Endowed Chair Three: In association with the ZF Friedrichshafen AG (ZF Group) project in South Carolina identified by the Secretary of Commerce. \$2 million maximum award amount.

Eligible Institutions: The State's three senior research institutions: Clemson University, the Medical University of South Carolina, and the University of South Carolina-Columbia. These institutions may apply individually, cooperatively with each other, and/or cooperatively with other South Carolina higher education institutions. Cooperative proposals between the three senior research institutions and other higher education institutions are strongly encouraged. For cooperative proposals, one of the senior research institutions must act as singular fiscal agent for the award.

Eligible Disciplines and Fields: The South Carolina Research Centers of Economic Excellence Act stipulates that CoEE Commerce Award state funds may be used only in the areas of Engineering, Nanotechnology, Biomedical Sciences, Energy Sciences, Environmental Sciences, Information and Management Sciences, and for other sciences, research development, or industry that create well-paying jobs and enhanced economic opportunities for the State of South Carolina as determined by the Secretary of Commerce.

Letter of Intent Deadline: A letter of intent for each anticipated proposal must be received no later than February 1, 2011.

Proposal Deadline: Proposals must be received by 5 p.m. on February 14, 2011.

Information on Submitting a Proposal: Submission instructions and CoEE Program *Guidelines* may be requested from Arik Bjorn in writing or via email at:

Centers of Economic Excellence Program
c/o SC Commission on Higher Education
1333 Main Street Suite 200
Columbia, SC 29201-3245

abjorn@che.sc.gov
803.737.2293

I. CoEE Program Mission Statement

The South Carolina Centers of Economic Excellence program serves the public interest by creating incentives for the state's research universities, in cooperation with other institutions of higher education in the state, to raise capital from non-state sources to fund endowments for specialized research professorships. These professorships in turn serve as the nucleus for unique, university-based research centers which cultivate critical, public-private industrial partnerships, expand the state's knowledge base, create well-paying jobs, and enhance economic opportunities and improve the quality of life for the people of South Carolina.

II. Introduction and Purpose

The S.C. Economic Development Competitiveness Act was signed into law on June 23, 2010. The law enacts revisions to the S.C. Research Centers of Economic Excellence (RCEE) Act. The revisions took effect January 1, 2011, and create a new type of CoEE Award to be made in concert with the South Carolina Department of Commerce. Such "CoEE Commerce Awards" may not individually exceed \$2 million and do not require the dollar-for-dollar non-state match of traditional CoEE awards. In place of a matching requirement, the Secretary of Commerce is required to certify that a "significant capital investment" has been made which will "directly support the industry" of a proposed CoEE Commerce Award professorial endowment. Once the Review Board has made a CoEE Commerce Award and the Secretary of Commerce has issued the significant capital investment certification, state funds may be released to an institution to maintain a permanent professorial endowment to support research in the specified industry.

At its December 6, 2010, meeting, the CoEE Review Board approved rules and procedures for the issuance of CoEE Commerce Awards via an annual, 12-month proposal cycle. The Review Board anticipated an initial, six-month proposal cycle for FY 2011. Exceptions to the rules and procedures for the initial CoEE Commerce Award proposal cycle proposal are (a) institutions are permitted to submit proposals in February (rather than January), and (b) the CoEE Review Board is not required to notify the Secretary of Commerce of the anticipated available funding for CoEE Commerce Awards for FY 2011 within five business days after its final meeting of fiscal year 2010. (Such notification will be submitted by January 31, 2011.)

III. Funding Availability

As of January 1, 2011, CHE staff identifies that **\$1,279,966** is available in the Centers of Excellence Matching Endowment (Treasurer's Account) for FY 2011 CoEE Commerce Award funding. This total is determined by segregating one-quarter of unobligated funds in the Treasurer's Account minus remaining FY 2011 operating budget costs (\$5,478,594 - \$358,732).

CHE staff estimates that the total available for CoEE Commerce Award funding at FYE 2011 will be just over **\$1.5 million**. CHE staff will provide updates on CoEE Commerce Award funding availability at the February 28, 2011, and June 6, 2011, CoEE Review Board meetings.

Per the Program *Guidelines*, the Review Board may make CoEE Commerce Awards pending the availability of funding. The Program *Guidelines* provide additional rules for funding disbursement of CoEE Commerce Awards. Per the *Guidelines*, CoEE Commerce Award funds may not be released until the Commerce Secretary "has submitted to the Review Board a Certification for the award and until the Review Board has formally received the Certification."

IV. FY 2011 Award Cycle Process

On September 1, 2010, S.C. Secretary of Commerce Joe Taylor submitted to the CoEE Review Board a request for three CoEE Commerce Awards of \$2 million each: two awards in association with the Boeing project in North Charleston and one award in association with the ZF Group project in Laurens County. Secretary Taylor provided a ranking preference first for the two awards made in association with the Boeing project, followed by the award made in association with the ZF Group project. At the time of award, the Review Board must formalize a funding ranking if multiple awards are issued. Per the *Guidelines*, once determined, “the funding ranking may not be altered.” [See *Guidelines* for additional information about funding ranking.]

The CoEE Review Board oversees a two-stage review process for determining CoEE Commerce Awards: direct presentations of the proposals to the CoEE Review Board and an external review of the proposals conducted by the CoEE Onsite Review Panel.

A. Direct Presentation to the CoEE Review Board

On February 28, 2011, institutions shall make a formal presentation of all CoEE Commerce Award proposals to the CoEE Review Board during its regular quarterly meeting. Institutions will individually present all of their submitted proposals in a consecutive manner. Each institution will be granted five minutes before the beginning of its first presentation for administration to provide prefatory remarks to the Review Board.

The presentation order by institutions for this and all future CoEE Commerce Award proposal cycles shall be determined according to the following pattern:

First CoEE Commerce Award Proposal Cycle (FY 2011): Clemson University, Medical University of South Carolina, University of South Carolina

Second CoEE Commerce Award Proposal Cycle: Medical University of South Carolina, University of South Carolina, Clemson University

Third CoEE Commerce Award Proposal Cycle: University of South Carolina, Clemson University, Medical University of South Carolina

Any proposal submitted as a collaboration will be presented during the allotted time for the institution designated as fiscal agent.

Presentations must be delivered by the Principal Investigator(s) designated in the Letter of Intent [see below]. Hardcopy versions of the presentations shall be distributed by the institutions at the meeting to members of the CoEE Review Board and CHE staff. Visual presentations (for example, PowerPoint) are encouraged; electronic versions of all visual presentations must be delivered to CHE staff **no later than 5 p.m. on February 14, 2011**. Once submitted, no revisions may be made to electronic versions of visual presentations. Neither hardcopy nor electronic versions of any presentation shall be distributed to Review Board members in advance of the February 28 meeting by persons other than CHE staff. CHE staff will provide Review Board members with electronic and hardcopy versions of all proposals at the same time in advance of February 28.

The final page of both the hardcopy and visual presentation must be the letter of support required in the Program *Guidelines* “from an officer or executive of each corporation or organization identified in the Secretary of Commerce’s formal allocation request.” Presenters must make brief remarks at the conclusion of their presentation [part of the 15-minute time limit; see below] regarding the potential or existing research collaborations and relationships with the corporation or organization identified by the Secretary of Commerce in his award request.

Each proposal presentation shall last no more than 15 minutes. Presentations will be timed. A timing warning will be issued at 13 minutes, and presentations will be cut off at 15 minutes. A maximum period of ten minutes will be permitted for questions to presenters and institutional administration following each presentation.

Once institutions have presented all proposals, the CoEE Review Board will enter into Executive Session to discuss the proposals. At the beginning of this Executive Session, institutional administration will be allowed to make brief remarks to the Review Board about proposals from their respective institutions. Following these remarks, institutional administration will be excused from the Executive Session. Following the Executive Session, the CoEE Review Board will act to determine which proposals may move to the external review stage.

B. External Review by the CoEE Onsite Review Panel

CoEE Commerce Award proposals are subject to the CoEE Onsite Review Panel requirements found in S.C. 2-75-60. The Review Board will contract with no fewer than three out-of-state expert reviewers—to include individuals with expertise in economic development as well as in appropriate scientific disciplines—who will serve on the CoEE Onsite Review Panel, which will visit each institution that has submitted a proposal as a fiscal agent. Panel members will be asked to protect the confidentiality of the proposals and to disqualify themselves from reviewing a proposal in instances of potential conflict of interest.

The Onsite Review Panel will interview relevant investigators and other university personnel regarding proposals and will have access to materials germane to the proposed projects. The Onsite Review Panel will evaluate the proposals and present its findings to the Review Board, along with a general finding of “favorable” or “unfavorable” per presented proposal, by no later than May 31 in time for the June 6, 2011, CoEE Review Board meeting.

The CoEE Onsite Review Panel will convene the second week of May 2011.

At the beginning of each site visit, institutional administration may provide open prefatory remarks to the CoEE Onsite Review Panel lasting no longer than one hour.

Presentations must be delivered by the Principal Investigator(s) as designated in the Letter of Intent [see below]. Per the *Guidelines*, individual presentations “must include an appearance by at least one representative from the corporation or organization which offered a letter of support for the proposal.” **[See special section below, PAGE 12, on responsibility of proposed fiscal agent institutions to inform a corporate or organizational representative identified as offering support to a proposal of instances where other representatives within his or her corporation or organization may offer support for competing proposals.]**

Hardcopy versions of the presentations shall be distributed by the institutions on the day of presentation to the Onsite Review Panel and to CHE staff. Visual presentations (for example, PowerPoint) are encouraged. Neither hardcopy nor electronic versions of any form of any presentation shall be distributed to Panel members in advance by persons other than CHE staff. CHE staff will provide Panel members with electronic and hardcopy versions of all proposals at the same time in advance of the site visit.

Each presentation shall last no more than 45 minutes. Presentations will be timed. A timing warning will be issued at 40 minutes, and presentations will be cut off at 45 minutes. A maximum period of 15 minutes will be permitted for questions by the Onsite Review Panel following each presentation. The Onsite Review Panel must ask the corporate or organizational representative at least one question or for an oral statement to supplement the letter of support issued by his or her corporation or organization.

At the conclusion of each site visit, institutional administration is invited to provide concluding remarks to the CoEE Onsite Review Panel.

C. Award Determination by the CoEE Review Board

At its June 6, 2011, meeting, the CoEE Review Board shall make a determination of award for all CoEE Commerce Award proposals which have met the requirements specified above. If a proposal has not met all of the requirements or if the Review Board acts not to approve a proposal, the proposal may be resubmitted for consideration during a subsequent CoEE Commerce Award RFP cycle. The CoEE Review Board may make a maximum determination of award of \$2 million per proposal.

Before the end of the fiscal year, the CoEE Review Board Chair shall notify the Secretary of Commerce by letter of the issuance of new CoEE Commerce Awards along with the funding ranking for new CoEE Commerce Awards as determined by the CoEE Review Board. The letter shall include the date of each award and the timeline by which all significant capital investment certifications must be submitted to the CoEE Review Board in order for award funds to be disbursed.

V. Request for Proposals

A. Letter of Intent and Submission Instructions

Letter of Intent: A Letter of Intent (see Attachment I) **must be received** by CHE staff by 5 p.m., on Tuesday, **February 1, 2011**. The Letter of Intent must be submitted in hardcopy and electronic form and contain all appropriate institutional signatures. A Letter of Intent Form is required for each proposal. Letters of Intent are limited in the same way that proposals are limited; see Submission Limitations below.

Letter of Intent Format: Letters of Intent must be submitted on the form provided in this document. The Letter of Intent must list the formal name of the proposed Center of Economic Excellence and the faculty affiliation (“institutional home base”) of the endowed professorship. (For collaborative proposals, the CoEE Chair position must be formally associated with one research institution—the only exception being a CoEE Endowed Chair “housed” at an inter-institutional department, such as the South Carolina Pharmacy School. This does not preclude a CoEE Endowed Chair from holding other faculty positions at other South Carolina institutions of higher education.) **Only the three research institutions may be represented on the Letter of Intent form as potential CoEE award recipients.**

Proposal Deadline: Proposals must be **received** by CHE staff by 5 p.m. on Monday, **February 14, 2011**.

Mailing Address: Mail or deliver Letters of Intent and Proposals to: S.C. Centers of Economic Excellence Program, c/o Mr. Arik Bjorn, S.C. Commission on Higher Education, 1333 Main Street, Suite 200, Columbia, SC 29201.

Email Address: Any items which require submission by email should be sent to Mr. Arik Bjorn at abjorn@che.sc.gov.

Submission Limitations: No more than three proposals may be submitted by each individual research institution per requested CoEE Commerce Award. Because the statute strongly encourages collaboration and cooperation, there is no limitation on the number of collaborative proposals in which one institution serves as fiscal agent but has other South Carolina higher education institutional partners.

Internal Review: Given the short notice for the initial CoEE Commerce Award RFP cycle, an internal review process at the institutional level is not required other than that institutions are asked to produce proposals of a high quality consistent with the institution’s mission, strategic plan, and resource allocation commitments. Each proposal must include a one-page letter of support signed by the University President. [see below.]

Proposal Submission: (1) Twenty copies, including the signed original copy, which should be bound with a clip and not stapled, must be submitted. Other copies may be stapled in the upper left-hand corner; (2) all copies of the proposal should be printed only on one side; (3) every page of the proposal must be numbered at the bottom center; (4) the font should be Times New Roman 12-point; double-spaced unless otherwise indicated; (5) one copy of the proposal on CD ROM in MS Word (***not*** a PDF file) must be provided, separated into (a) project summary, and (b) entire proposal.

B. Proposal Format

1. Cover Page

The title of the proposed CoEE Endowed Professorship and Center of Economic Excellence should be brief, informative, and intelligible and suitable for use in the public press. For collaborative proposals, clearly indicate the lead fiscal agent. Only the three research institutions may be represented as potential CoEE award recipients. The name and logo of the fiscal agent and any collaborating research institution or collaborating South Carolina institution of higher education must be included. The cover page must also contain a maximum, three-sentence summary description of the center's basic scientific and economic goals and functions.

The cover page must also contain the name of the organizational or corporate representative who has issued a formal letter of support for the proposal, including his or her formal title and contact information.

The cover page must contain the funding total sought, which must not exceed \$2 million.

2. Table of Contents

A Table of Contents must be provided which includes the location of each section of the proposal.

3. Economic Impact Summary (Limited to 2 pages; may be single-spaced)

See the Program *Guidelines*, which refer throughout to key phrases in the South Carolina Research Centers of Economic Excellence Act. Proposals must address directly the ways in which the endowed professorship will create "research areas targeted to create well-paying jobs and enhance economic opportunities for the people of South Carolina," particularly in "knowledge-based industries" (S.C. 2-75-5(B)(2)), with especial detail to the "qualified project or industry sector" (S.C. 2-75-30(C)) associated with the award request.

This summary and the Endowed Professorship Summary (Item 4 below) are intended to serve as succinct, accurate descriptions of the proposed project when separated from the application. They form an essential part of reports that must be made to the General Assembly and the Budget and Control Board on the impact of the CoEE Program. **Neither summary should contain proprietary or confidential information.** Plain language should be used that will convey the public benefit of this project. Note that the summaries may be posted on program websites or distributed to provide useful information to various public, governmental and private interests.

4. Endowed Professorship Summary (Limited to 1 page; may be single-spaced)

The proposal must contain a one-page summary, suitable for publication, about the proposed CoEE Endowed Professorship, the research to be conducted, and other related activities supporting establishment of a Center of Economic Excellence. The summary

must not be an abstract of the proposal but rather a self-contained description of the Endowed Professorship envisioned as well as the research and related activities that would result should the proposal be funded. The summary must include a one-to-two sentence, non-technical description of the project's overall objectives and key milestones. The initial formal title for the proposed CoEE Endowed Chair must be listed **in boldface** (with the understanding that this title is subject to change) along with the proposed Endowed Chair's faculty affiliation ("institutional home") [see "Letters of Intent Format" Section on page 8]. A CoEE Endowed Chair's faculty affiliation may not be changed to another academic institution post-award without receiving CoEE Review Board approval.

5. Proposal Narrative (Limited to 15 pages, double-spaced)

A complete and thorough description of the proposed Endowed Professorship position, and a complete description of the specific research and educational goals and objectives, including:

- The quality, strength and expectations of contributions of current faculty, which highlight the quality of the program that will attract an outstanding candidate to the Endowed Professorship position. The description should include national or objective means of quality assessment in addition to internal institutional evaluation. If new academic degree programs or bureaus, centers, or institutes are envisioned, these should be discussed briefly, including a prospective timeline for approval and creation.
- Information regarding the desired scholar's qualifications, leadership and ability to attract a critical mass of scholars and students and build a Center of Economic Excellence as well as the plan for the recruitment of the desired scholar/researcher.
- Institutional commitment and plans for raising additional funds beyond the initial award for the Endowed Professorship and or Center of Economic Excellence, as well as other special resources that are or will be made available to support the effort.
- A clear and concise description of how the project will meet critical statewide needs, particularly with respect to "recruiting and maintaining leading scientists and engineers...for the purposes of developing and leveraging the research capabilities of the universities for the creation of well-paying jobs and enhanced economic opportunities in knowledge-based industries for all South Carolinians" (S.C. 2-75-5).
- The potential for building collaborative partnerships among universities as well as with business and industry and/or community partners external to academe as a vehicle for increasing relevance and immediate utility of university research and education and promoting the transfer of technology. (This includes business and industry partners other than the organization or corporation directly associated with the award as cited by the Secretary of Commerce.)
- An outcomes assessment plan linked to the proposed objectives. The assessment plan must include plans for sharing the program's benefits with other universities and colleges in South Carolina as well as consortial arrangements in place or planned, as appropriate, with other higher education institutions.

6. Curriculum Vitae

Curricula Vitae for all personnel relevant to the proposed Endowed Professorship or Center. A list of each participant's publications during the last five years, including those in the process of publication, must be provided. Each curriculum vitae must list only academic essentials and be limited as to length.

7. Budget Information (Limited to 2 pages)

Restate the total funding amount sought in an amount not to exceed \$2 million.

A summary budget by broad categories must be submitted with the proposal, which, in general terms includes a general plan as to how the institution will expend endowment earnings (e.g., to offset Center personnel salary costs, to fund graduate assistantships, to purchase research equipment, etc.) during the first decade. This summary budget must include a general statement on institutional endowment policies as pertains to a potential award for this Center.

(All state funds awarded from the Centers of Excellence Matching Endowment fund for this Center must be applied to permanent endowment. Endowment earnings may only be used to cover direct costs for the newly created Center. It is understood that the institutional commitment will include indirect costs.)

8. Appendices

In general, all information necessary for the review of the proposal should be contained in the sections noted above. A letter from the University President supporting the project must be included in an appendix. For collaborative proposals, each participating University President must provide a letter of support.

Per the Program *Guidelines*: "Proposals for a Single Project Investment or an Industry Sector Investment must be accompanied by a letter of support from an officer or executive of each corporation or organization identified in the Secretary of Commerce's formal allocation request."

Additional letters of support beyond what is required in this subsection may be included. However, the "executive sponsor letter" (paragraph above) must be the final page of the proposal—with the exception of the original signed proposal, which has a checklist as a final page (see following subsection).

9. Checklist for Proposal Submission

A complete proposal must include a completed Checklist (Attachment II), which must be included as the final page of the original signed proposal.

C. General Information for Proposals

Appointments to any Endowed Professorship funded under this program must be made consistent with the laws of the state of South Carolina and with the policies and regulations of the institution serving as fiscal agent and with the policies and regulations of all institutions serving as collaborative partners.

In all venues (including but not limited to press packets, invitations, websites, formal publications, press releases, institutional annual reports) in which support for a Center of Economic Excellence or the related CoEE Endowed Professorship established under this program is acknowledged, this program must minimally be acknowledged by name as the Centers of Economic Excellence Program, the CoEE Program or the Endowed Chairs Program.

****** D. Special Responsibility of Fiscal Agent Institutions ******

Within 24 hours of receipt of all institutional letters of intent, CHE staff will distribute back to the institutions a list which includes the titles of all proposals, institutional affiliation, and the names of all corporate or organizational representatives designated as potentially offering letters of support.

Each institution must *immediately* inform the corporate or organizational representative it has designated as a potential sponsor of all other representatives identified within the same corporation or organization on the list issued by CHE. **This is done in order to guarantee that each corporation or organization—especially corporations or organizations which have executives in multiple locations—is fully informed of ALL potential letters of organizational support well in advance of the submission of formal proposals by the institutions.**

Upon the formal submission of each institutional proposal, CHE staff will request by email confirmation that the requirements of this subsection have been fully observed. A proposal is not considered submitted until an affirmative response has been received from the institution.

VI. Application Process and Timeline

FY 2011 deadlines are as follows:

- January 18, 2011** Announcement of Request for Proposals
- February 1, 2011** Letters of Intent Due
- February 14, 2011** Final Proposals Due; Electronic Presentations for February 28 also due to CHE staff
- February 28, 2011** Review Board Meeting (Presentation of Proposals by Principal Investigators to the Review Board); Select Proposals Sent to Onsite Review Panel stage
- May 9-11, 2011** Onsite Review Panel Convenes
- May 31** Onsite Review Panel Final Report Due
- June 6, 2011** Review Board Meeting (Determination of Awards)

VII. Program Contacts

For questions about the application process, please contact:

Mr. Arik Bjorn abjorn@che.sc.gov
Program Manager 803.737.2293
S.C. Commission on Higher Education

Attachment I

*Letter of Intent to Submit a Proposal for S.C. CoEE Commerce Award
FY 2010-2011*

PROPOSED CoEE NAME:		AMOUNT REQUESTED: [not more than \$2M]	
Institution Serving as Fiscal Agent:		Other Collaborating Institutions:	
Name of Proposed Endowed Professorship:		Institution Base of Endowed Professorship	
Principal Investigator	Title/Institution	SIGNATURE	
Email Address:	Phone:	Additional Contact Information:	
Co-Principal Investigator(s)			
NAME	TITLE	SIGNATURE	
** CORPORATE OR ORGANIZATIONAL REPRESENTATIVE TO OFFER LETTER OF SUPPORT **			
NAME	TITLE		
CONTACT INFORMATION:			
Authorizing Signature, Lead Fiscal Institution	Title	Date	
Authorizing Signature, Consortial Institution	Title	Date	
Authorizing Signature, Consortial Institution	Title	Date	
<p>Signatures of all authorizing individuals are required, and must indicate that the proposed Center of Economic Excellence has been approved internally by the Chief Academic or Research Officer, and the Director of the Office of Sponsored Programs, as a project consistent with the mission and objectives of each institution, and congruent with the goals of the South Carolina Research Centers of Economic Excellence Act.</p>			

*Letter of Intent to Submit a Proposal for S.C. CoEE Commerce Award
FY 2010-2011*

Proposal Summary

General Description of Proposed Research (not to exceed 200 words)

General Description of how the Endowed Professorship or Center will be “used to recruit and maintain leading scientists and engineers for the purposes of developing and leveraging the research capabilities of the universities for the creation of well-paying jobs and enhanced economic opportunities in knowledge-based industries for all South Carolinians.” [Refer to S.C. 2-75-5(B)(2).] (not to exceed 200 words)

Attachment II

CHECKLIST FOR PROPOSAL SUBMISSION

[to be attached as the final page of the signed original proposal]

- _____ Cover Page (with required signatures)
- _____ Table of Contents
- _____ Economic Impact Summary (Limited to 2 pages)
- _____ Project Summary (Limited to 1 page)
- _____ Project Description (Limited to 15 pages)
- _____ CVs
- _____ Budget Information (Limited to 2 pages)
- _____ Appendices (Letters of Support)
- _____ Letter of Support from Corporate or Organizational Representative (Penultimate Page)
- _____ Completed Checklist (Ultimate Page)
- _____ One CD ROM containing the entire proposal in MS Word (**not a PDF file**), double-spaced, 12-point, Times New Roman font