CEIS Center for Emerging & Innovative Sciences

To: Faculty Researchers

From: Mark F. Bocko – CEIS Director

Re: CEIS Collaborative Innovative Research (CIR) Request for Proposals (RFP)

Date: April 21, 2026

The Center for Emerging and Innovative Sciences, CEIS, is soliciting proposals for the Collaborative Innovative Research Program for the 2026/27 program year.

Research proposals requested: The attached forms constitute a solicitation of research proposals for consideration for funding in the 2026/2027 program year (7/1/2026 – 6/30/2027). CEIS is a NYSTAR (Empire State Development Division of Science, Technology and Innovation) designated Center for Advanced Technology (CAT) funded by NY State. Proposals will be reviewed in May 2026, for projects to commence on July 1, 2026 subject to the availability of funds. The goal of the CEIS CIR program is to stimulate economic growth in NY State by promoting technology transfer from our universities to New York companies. Proposed projects must involve a NY industry partner that is actively engaged with the research, financially sponsoring the research, and willing to provide ongoing economic impact reporting for the project.

Who may apply: The CIR program is open to Principal Investigators (PIs) from the faculties of the University of Rochester, the Rochester Institute of Technology and other regional universities. Persons eligible to be PI's must be full-time faculty or hold a similar position in their university. Note that only university PIs are eligible for CIR funding. CEIS does not award funds directly to companies.

Types of projects considered: CEIS support traditionally spans a broad range of optics, photonics and imaging interests, including ophthalmic and vision science, fiber optic communications, biomedical imaging, geospatial imaging, precision optics, consumer imaging and displays. Proposals in other technical areas will be considered as well.

Award specifics: In general, awards are computed as one-half the dollar value (excluding qualifying "in kind" contributions) of designated funds from NYS companies. Travel expenses are not allowed on the CEIS portion of the award. Equipment purchased is considered the property of the CAT. F&A on the CEIS awarded funds is restricted to 15% on payroll expenses (salary and benefits) only and may be allowed at a reduced rate of 25% of payroll expenses only on the company matching funds with Dean's Office approval. CEIS awards are capped at $40,000 per proposal; for companies and researchers with multiple projects, total awards are capped at $60,000 per faculty researcher and $80,000 per company partner. Submission of a new proposal is required for all 2026/2027 funding, even for continuing projects.

New this funding cycle: The CEIS contract with NYSTAR/ESD requires us to actively solicit bids for contracts and/or utilize vendors from qualified State certified MBEs, WBEs, or Service Disabled Veteran Owned Businesses (SDVOBs) for budget items such as office and lab supplies, equipment (including computers), and subcontracts. Your help in identifying and supporting NYS certified M/WBE and SDVOBs will help us meet this requirement. Eligible suppliers/vendors may be viewed here: https://www.osc.ny.gov/state-vendors/resources/minority-and-women-owned-business-enterprises-mwbes and https://www.osc.ny.gov/state-vendors/sdvob.

Selection of proposals for awards: For each category of projects, proposals will be ranked by an external review panel and the awards will be given according to rank to the funding maximum. We anticipate making awards for a July 1, 2026 start date subject to the availability of funds. The criteria for evaluation will be based on:

a. Scientific and technical merit
b. Potential economic impact on the state of New York
c. Demonstrated technical accomplishments and economic impact (for continuing projects)
d. Level of corporate support relative to requested NYSTAR funding (minimum of 2:1 required)
e. Consistency with the technical themes and strategic interests of CEIS (exceptions on a case by case basis)

Scientific and technical merit: The scientific and technical quality of the proposed fundamental or applied research or development activities is assessed by external expert reviewers. The proposal should clearly and succinctly state the problem, objectives, methodology, work plan and deliverables of the project.

Economic impact: Ranking also is dependent upon the potential jobs and revenues that will result from the proposed projects. PIs are strongly encouraged to work closely with their industrial sponsors on the Economic Impact portion of their proposals to give realistic quantitative estimates of the expected impact.

Proposal submission: All proposals must be submitted by email as attachments using the forms on the CEIS web site at http://www.ceis.rochester.edu/funding/CIRP.html. Please note: Documentation of company commitment must accompany the proposal. Proposals will not be reviewed if this is missing. Proposals must be received by Cathy Adams (cathy.adams@rochester.edu) not later than May 20, 2026. RIT proposals are to be initiated in Novelution approximately a week prior to the program deadline.

Award announcement questions: Proposals will be reviewed and awards announced to PIs, their account administrators, and industry contacts by the end of June. Questions about the proposals or the CIR RFP process may be addressed to Cathy Adams (cathy.adams@rochester.edu).

CEIS Collaborative Innovative Research (CIR) Proposal Form
2026 - 2027

I. ADMINISTRATIVE INFORMATION

Project Title	
Continuation of Previously CEIS Funded Project	Y ☐ N ☐
Company Partner	
Small NYS Company	Y ☐ N ☐
Company Address	
Company Contact	
Contact's Phone and Email	
PI Name	
PI's Phone and Email	
PI's University Address	
PI's Dept Admin/Grant Admin	
Administrator's Phone and Email	
Internal FAO for Company Funds (applicable for project with UR PI)	

CEIS Collaborative Innovative Research (CIR) Proposal Form
2026 - 2027

II. PROJECT DESCRIPTION

Project Description

a. Project Abstract (100 word maximum, non-confidential)

b. Project Start Date

c. Science and Technology

Narrative; 4 page limit to be submitted separately. Half the proposal score is based on the quality of this section. Be sure that the problem, objectives, methodology, alternatives, deliverables and other relevant factors are briefly but clearly addressed.

d. Technology Transfer (How will the results be transferred to your company sponsor?)

III. PROJECT DELIVERABLES

(One or two-sentence descriptions.)

Date	Deliverable

IV. NYS ECONOMIC IMPACT

Proposal ranking will be strongly dependent on a credible estimate of the potential jobs and revenues caused by the proposed projects. PIs are expected to collaborate with their industrial sponsors in preparing the Economic Impact portion of their proposals. CEIS personnel may directly contact designated company contacts in order to enhance Economic Impact estimates.

See Economic Impact Guidelines for additional information.

Economic Impacts - Quantitative Estimate by Year						
	New Jobs *	Retained Jobs *	In Dollars **			
			Increased Revenue	Cost Savings	Funds Acquired	Capital Improvements
2026 - 2027						
2027 - 2028						
2028 - 2029						
2029 - 2030						
2030 - 2031						

* Net potential jobs, added or saved (#) each year. (Not cumulative)

** Potential added revenue, savings, financing, and capital expenditures ($) each year. (Not cumulative)

NOTE: Based on the Research and Development life cycle, the first year of the project is expected to return cost savings. As the development process continues further economic impact is expected with regards to revenues, jobs, etc.

Must complete a-d below

a. Rationale/derivation of estimate:

b. Source of estimate (Company CTO or other - name and title):

c. Describe the cause and effect relationship between your proposed research and potential economic impact:

d. How is your research incorporated in your corporate sponsor's business plans?

V. DOCUMENTATION OF COMMITMENT:

Documentation of company commitment must accompany this proposal in order to be reviewed by the committee.

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2026 - 2027

VI. CONFLICT OF INTEREST:

Do any of the PIs on this proposal have a direct financial interest (e.g. consulting arrangement, equity interest, patent license, etc.) in companies involved in this proposal?

☐ Y ☐ N

Based on your University's Conflict of Interest Policy, are there any apparent conflicts of interest?

☐ Y ☐ N

If yes, is there a conflict management plan in place? ☐ Y ☐ N (include a copy with this proposal)

My signature below acknowledges that I have read my University's Conflict of Interest Policy and all statements above are true to the best of my knowledge.

PI Signature

PI Name

Date

VII. SUPPLIER DIVERSITY:

The CEIS contract with NYSTAR/ESD requires us to actively solicit bids for contracts and/or utilize vendors from qualified State certified MBEs, WBEs, or Service Disabled Veteran Owned Businesses (SDVOBs). The following directories may be used to identify a NYS certified supplier or vendor for a product or service that is budgeted in your proposal:

https://www.osc.ny.gov/state-vendors/resources/minority-and-women-owned-business-enterprises-mwbes

and https://www.osc.ny.gov/state-vendors/sdvob

Is there a M/WBE or SDVOB identified in your proposal?

☐ Y ☐ N

If yes, please list vendor's name and projected spending amount.

If no M/WBE or SDVOB is identified, please explain.

VIII. PRE-EXISTING CONTRACTS:

Is there an existing agreement that covers any part of the work in this proposal at your University? If there is an existing agreement, the terms of this agreement would not be modified based on this CEIS proposal.

IX. UPDATED CEIS PROFILE or CURRICULUM VITAE:

Provide current information to CEIS c/o Margaret Urzetta (margaret.urzetta@rochester.edu) or send to RC Box 270194, Rochester, NY 14627-0194

X. BUDGET (using separate downloadable Excel file)

CEIS Proposal Budget Detailed 2026-2027

PI Name:	Project Title:	Date:	Administrative Contact and Phone Number:

Names and FTE must be provided for each Salary Category **A. Sr Personnel Salary/Wages - *Provide Names for All***	Annual Salary	% of FTE Required	NYSTAR Funding Requested $ NYSTAR	Company Match - NYS Cash	Company Match - Other	Total Funds
Principal Investigator(s):						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
						$0.00
		Subtotal A:	$0.00	$0.00	$0.00	$0.00
B. Other Personnel Salary/Wages - *Provide Names for All*						
Research Assistants						$0.00
# [ ]						
Undergrad Students						$0.00
# [ ]						
Technicians						$0.00
# [ ]						
Secretarial/Clerical # [ ]						$0.00
		Subtotal B:	$0.00	$0.00	$0.00	$0.00
~List Grad Students in section D below~						
		Total Salaries and Wages (A + B):	$0.00	$0.00	$0.00	$0.00
C. Fringe Benefits for A above						$0.00
Fringe Benefits for B above						$0.00
		Total Salaries, Wages and Fringe Benefits:	$0.00	$0.00	$0.00	$0.00
D. Graduate Students *(SC57810 - UR only)*		**Total Grad Students:**	$0.00			$0.00
List Names						
E. Materials and Supplies						
Laboratory and Instructional						$0.00
Other						$0.00
		Total Materials and Supplies:	$0.00	$0.00	$0.00	$0.00
						$0.00
G. Publication Costs						$0.00
H. Travel (Matching Funds only)						$0.00
		Total Miscellaneous (F, G, H):	$0.00	$0.00	$0.00	$0.00
I. Other Direct Costs (eg. Software, Postage, Printing)						
Item:						$0.00
Item:						$0.00
Item:						$0.00
		Total Other Direct Costs:	$0.00	$0.00	$0.00	$0.00
						$0
		Total Tuition:	$0.00	$0.00	$0.00	$0.00
						$0.00
		Total Equipment:	$0.00	$0.00	$0.00	$0.00
						$0.00
		Total Consultant:	$0.00	$0.00	$0.00	$0.00
M. Total Direct Costs (A through L)			$0.00	$0.00	$0.00	$0.00
N. 1) Indirect Costs - NYSTAR Request **15%**		***(contract cap; calculated on total salary & benefits in cell F28 above)***	$0.00			$0.00
N. 2) Indirect Costs - Matching Funds **25%**		***(contract cap; calculated on total salary & benefits in cell G28/H28 above)***		$0.00	$0.00	$0.00
O. Totals			$0.00	$0.00	$0.00	$0.00

From: Stillman, Susan
Sent: Tuesday, February 28, 2017 8:32 AM
To: Ritz, Michael; Sullivan, Jeffery P.
Subject: RE: Need to contact your ORACS rep

This question relates to the "new" University treatment of Graduate Students rolled out January 1, based on the ACA and FLSA requirements.

The three spend category options for graduate student payments are as follows:

1. SC57820 Stipends – used when the activity is a requirement of their degree program, and the funding source is any unrestricted or sponsored funding source that is a training grant or fellowship award (Object Class – Stipends)
2. SC57810 Assistantship - used when the graduate student activity is a requirement of their degree program and the payment is provided in part by a sponsored source that is not a fellowship/training grant (Object Class – Graduate Students)
3. SC57850 Grad Student Svc Required – any activity that is above and beyond what is necessary for the degree program, (Object Class – Graduate Students)

The default for both Object Class (Stipends and Graduate Students) are to be Included in MTDC and subject to F&A.

The NYSTAR award is a unique award. It is not a fellowship or training grant, as there are specific outcomes expected from the funded projects. The students paid on this award should be paid via #2 SC57810 Assistantship (not SC57820), since this is not a fellowship or training grant. This award has always exempted the graduate student payments. Prior to January, ORACS reviewed the current awards with graduate exemptions and this award will continue to have exemptions for graduate student payments.

It would be extremely helpful for the Object Class Set Budget Mapping sheet (included with the NOA) to specifically identify when the sponsor/award exempts graduate students from F&A. These grant lines will need to have an Object Class exception added.

CEIS Economic Impact Categories:

New Jobs

- Permanent, full-time positions
- Created as a result of business expansion due to Center collaboration

Retained Jobs

- Must be at risk due to company partner considering relocation due to high operating costs or incentives offered by another location or production contraction or plan closure.
- Company's collaboration with Center was a significant reason for retention.
- Documentation must substantiate that jobs were at risk with specific details regarding situation potential relocation or closure.

Increased Company Revenues

- Accruals due to company partner's collaboration with the Center in new product development or existing product improvements.

Cost Savings

- Accruals due to company partner's collaboration with the Center.
- Sources of cost savings include

    - lower cost or research performed at University saved
    - production process improvements
    - the value of accessing specialized equipment
    - expertise or analytical testing, and
    - CAT/University helped a company find a new better supplier at a company xxx dollars
    - other research savings

Cost savings is the difference between a particular activity's cost to the company minus the actual cost as a result of the collaboration with the Center including match contributed.

Funds Acquired (both Federal and Non-Government)

- Funds must be awarded to the company partner.
- Federal Funds Acquired includes grants from Federal Government agencies including Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) funds.
- Non-Government Funds Acquired includes venture capital, angel investor, stock proceeds, foundation grants and other business investments.
- New York State Government funds do not count as impact.
- Must demonstrate that the Center played a substantive role in helping the company obtain the funds.

Capital Expenditures

- Capital Expenditures include purchases of new capital equipment, and infrastructure improvements including construction or renovation of facilities.
- Expenditures must be made by company partner and specifically initiated as a result of the Center project(s).
- Documentation must specify that the Center played a substantive role in leading the company to make these investments.