Business-Academia Partnership Program

Addressing the Public Health and Economic Impacts of COVID-19 in North Carolina

Request for Proposals

Application deadline: 5:00pm on August 1, 2022

Please note: This is an updated version of the RFP as of July 12, 2022, with corrections highlighted in red on pages 4-6.

As provided in Section 8.12 of Session Law 2021-180 (as amended by Section 2.4 of Session Law 2021-189), the North Carolina Collaboratory, headquartered at the University of North Carolina at Chapel Hill (UNC-Chapel Hill), is requesting collaborative proposals for applied research and technology development for the purpose of monitoring, assessing, and addressing the public health and economic impacts of COVID-19 in North Carolina.

Opportunity Overview

- Eligible applicants are for-profit or nonprofit business entities (Business Partner) collaborating with an academic research group (Academic Research Partner) affiliated with an institution of higher learning located in North Carolina.
- The Business Partner must be organized pursuant to the laws of North Carolina or have their principal office in the State (see Session Law 2021-180, as amended by Section 2.4 of Session Law 2021-189, for full list of eligibility requirements).
- A maximum of $2,500,000 for the Business Partner and $500,000 for an Academic Research Partner may be requested.
- Applications must identify two independent Principal Investigators (PIs), one for the Business Partner and one for the Academic Research Partner.
- Applications should be submitted by the Business Partner PI via email to collaboratory@unc.edu.
- Projects may last for up to 36 months, and all funds must be expended by December 31, 2025.
- All awardees are subject to specific reporting and auditing requirements.
- No matching funds are required.
- Pursuant to Article 31A of North Carolina General Stature (NCGS) Chapter 116-255 Subsection (c)(2) and Section 8.12(a) of Session Law 2021-180, no indirect (F&A) costs are permitted.
- Applicants are responsible for identifying all confidential information within the application with specificity.
- All funds distributed via this program must be used in accordance with:
  - State regulations found in Title 09, Subchapter 03M of the North Carolina Administrative Code.

All applicants should read these instructions thoroughly before preparing an application. Questions regarding this Request for Proposals (RFP) are welcome and may be sent to collaboratory@unc.edu.
Jump to a section:

- Important Dates
- Background and Scope
- Funding Guidelines
- Eligibility
- Application Instructions
- Submission Process
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- Award Process
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Important Dates

- **Application deadline:** 5:00pm on August 1, 2022.
- **Award announcements:** on or before September 30, 2022
- **Earliest project start date:** October 15, 2022
- **Latest project end date:** December 31, 2025

Background and Scope

Established in the summer of 2016 by the North Carolina General Assembly (NCGA), the North Carolina Collaboratory facilitates the dissemination of expertise within The University of North Carolina (UNC) System and other institutions of higher learning across North Carolina for practical use by state and local governments. In November 2021, the NCGA appropriated $15 million to the Collaboratory to support applied research for technology development and commercialization (see Section 8.12(b) of Session Law 2021-180). Awards disseminated through this program are intended to support business-academic collaborations that monitor, assess, and address the public health and/or economic impacts of COVID-19 across the State of North Carolina.

This Request for Proposals (RFP) does not have any priority areas beyond the need to support business-academic partnerships that seek to develop technology for monitoring, assessing, and addressing the public health and economic impacts of COVID-19. This broad solicitation is intended to help businesses and academic research partners work together to propose innovative, collaborative projects that can transform applied research and innovation into technological solutions for the benefit of public health and the economy in North Carolina.

Funding Guidelines

The total amount available for grants in this Business-Academia Partnership Program is $15,000,000. Business Partners and Academic Research Partners should work together to request a minimum of $300,000 and a maximum of $3,000,000 using tiers listed in the table below.

To facilitate the review process, all applicants will be asked to state their chosen funding tier using the Cover Page and Budget templates provided in the application package. Applicants will only be considered for funding within their selected tier. **To accommodate the broad scope of this RFP, there are no parameters or definitions for funding tiers.** Instead, applicants should select their funding tier based on
their proposed activities and timeframe. During the review process, applicants’ chosen funding tiers and budgets will be assessed for their reflection of the actual needs of the proposed project and scope of work.

<table>
<thead>
<tr>
<th>Tier</th>
<th>Total Award</th>
<th>Business Partner Award</th>
<th>Academic Partner Award</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>$3,000,000</td>
<td>$2,500,000</td>
<td>$500,000</td>
</tr>
<tr>
<td>2</td>
<td>$1,200,000</td>
<td>$1,000,000</td>
<td>$200,000</td>
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<tr>
<td>3</td>
<td>$600,000</td>
<td>$500,000</td>
<td>$100,000</td>
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<tr>
<td>4</td>
<td>$300,000</td>
<td>$250,000</td>
<td>$50,000</td>
</tr>
</tbody>
</table>

**Funding restrictions**

- No single Business Partner shall receive more than $2,500,000 in grant funds.
- No single Business Partner may apply for more than one grant. Consequently, no single Business Partner may submit an application for more than one funding tier.
- An Academic Research Partner may receive multiple grants if they are affiliated with multiple Business Partners.
- No single Academic Research Partner, including an Academic Research Partner with a multi-campus team, shall receive more than 20% of the total grant funds awarded to its Business Partner.
- As set forth in NCGS 116-255(c)(2) and Section 8.12.(a) of SL 2021-180, requests for indirect (F&A) costs are not permitted.
- Projects may last for up to 36 months.

All funds distributed via this program constitute federal financial assistance via the American Rescue Plan Act of 2021 to the State of North Carolina and have been appropriated to the Collaboratory by the NCGA as part of the Coronavirus State and Local Fiscal Recovery Funds (CSLFRF) Program. Consequently, all funds must be used in accordance with the following:

- State regulations found in Title 09, Subchapter 03M of the North Carolina Administrative Code.
- Any additional guidance, requirements, and/or restrictions from the federal and State government that go into effect after the public release of this RFP.
4. Identify in their grant applications one or more Academic Research Partners that meet the requirements listed below.

An eligible **Academic Research Partner** should:

1. Be affiliated with an institution of higher education located in North Carolina.
2. Be connected to the applied research and development activities described by the Business Partner in their grant applications.

Further eligibility criteria are described below:

- For a single proposal submitted by a Business Partner, members of the Academic Research Partner project team may span multiple institutions of higher education in North Carolina.
- There are no limitations on the number of Academic Research Partner teams at any given institution of higher education within North Carolina; a university may have multiple Academic Research Partners working with separate Business Partners to submit an application.
- An Academic Research Partner may not have personnel also affiliated with the Business Partner and vice versa.

Although this appropriation defines ‘Academic Partner’ as any institution of higher education in North Carolina, NCGS 116-255(c)(1) states that the Collaboratory may give funding preference to constituent institutions of The University of North Carolina System. Further, NCGS 116-255(b)(3) states that the Collaboratory shall support research programs at institutions of higher learning, particularly historically minority-serving institutions (i.e., Elizabeth City State University, Fayetteville State University, North Carolina Agricultural & Technical University, North Carolina Central University, the University of North Carolina at Pembroke, and Winston-Salem State University). Accordingly, the Collaboratory encourages applications involving partnerships with these campuses.

**Principal Investigators**

Two independent Principal Investigators (PI) should be identified for the proposed project: one representing the Business Partner, and one representing the Academic Research Partner. Both PIs should be employed with their respective institutions at the time of the award and for the duration of the project and must adhere to their institutional policies for financial relationships and conflict of interest. **Any potential conflicts of interest pertaining to financial relationships among team members MUST be disclosed in the Project Team template provided in the application package.**

The independence of each PI is paramount. Specifically, **an individual may not serve as the PI for both the Business Partner and Academic Research Partner**, and no reporting, managerial, financial or supervisory relationship may exist between the two PIs.

Any individual with the resource, skills, and knowledge required to carry out the proposed activities may serve as PI in accordance with their institutional policies and procedures. Individuals from underrepresented racial and ethnic groups and individuals with disabilities are encouraged to apply for this funding opportunity.

**Intellectual Property and Data Sharing**

**CORRECTION:** This agreement does **not** need to be in place at the time of submission. If an agreement is not established before the submission deadline, **a Letter of Intent from both applicants is sufficient.** Please see related corrections in the Proposal Content section and email collaboratory@unc.edu if further clarification or guidance is needed.

Business Partners and their Academic Research Partners should agree in advance as to how intellectual property (IP) and data will be handled. This agreement should be consistent and in compliance with all
relevant policies stipulated by both partners’ respective institutions as well as state and federal regulations. The Collaboratory is responsible neither for the agreement reached nor how IP and/or data are handled by the Academic Research Partner and the Business Partner.

As part of the application, both partners should work together to create a document declaring that a university-business agreement is in place at the time of submission, signed by individuals authorized to sign on behalf of the applicant institutions (see Proposal Content). Applications will be reviewed for the presence of this agreement or a letter of intent.

Research Subjects and Materials

All research and other activities must be conducted in accordance with established federal guidelines and policies for research involving human subjects, laboratory animals, or hazardous agents and materials. Any projects involving vertebrate animals must comply with federal guidelines for vertebrate animal care and experimentation. Institutional Review Board (IRB) and/or Institutional Animal Care & Use Committee (IACUC) approval is not required at the time of submission, but the application should a) briefly describe any human and/or animal subject activities and b) confirm that the proposed project will be disclosed to appropriate compliance office(s) and IRB and/or IACUC (see Proposal Content). As applicable, successful applicants will be required to submit IRB/IACUC protocol numbers and expiration dates to the Collaboratory before award funds are released.

Submission of an application to this RFP indicates an acceptance of all the above requirements for the proposed project. Applicant institutions are responsible for a) ensuring all proposals submitted to the Collaboratory have been reviewed and approved by appropriate institutional personnel and b) overseeing compliance for all awarded projects.

Application Instructions

As much as possible, applications should be informative and understandable to a scientifically or technically literate lay reader (see Review Process). All activities described in the application should accurately reflect the amount of funds requested for the project and be feasible within the proposed project timeframe.

Applicants are responsible for identifying any confidential information with specificity (i.e. identifying specific words, phrases, sentences, images, etc.) within all application documents.

The final application containing all required documents for both partners must be submitted by the Business Partner PI (see Submission Process). Applications may not be submitted by the Academic Research Partner PI.

Proposal Format

Proposals must adhere to the following formatting requirements:

- Use margins of 0.5 inches or larger (top, bottom, left and right) for all pages.
- Use fonts of standard type (e.g. Times New Roman, Arial or Calibri) at 11 points or larger. Smaller text in legends is acceptable if the text remains legible when the page is viewed at 100%.
- Follow the page limits for each section of the application, as outlined below.
- Concise writing and frequent use of white space and headings is strongly recommended.

Applications that include documents that are illegible and/or do not conform to instructions within this RFP will be withdrawn from consideration and will not undergo review.
Proposal Content

Proposals must not exceed the page limits included in each section. Once completed, the following components should be assembled in the order listed below and combined in a single PDF for submission to the Collaboratory (see Submission Process).

<table>
<thead>
<tr>
<th>Document</th>
<th>Page Limit</th>
<th>Instructions</th>
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</thead>
<tbody>
<tr>
<td>(1) Cover Page</td>
<td>-</td>
<td>Complete the template provided in the application package.</td>
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<tr>
<td>(2) Project Team</td>
<td>-</td>
<td>Complete the template provided in the application package.</td>
</tr>
<tr>
<td>(3) Performance Site</td>
<td>-</td>
<td>Complete the template provided in the application package.</td>
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</tbody>
</table>
| (4) Business-University Agreement or Letter of Intent | - | CORRECTION: This agreement does not need to be in place at the time of submission. If an agreement is not established before the submission deadline, a Letter of Intent from both applicants is sufficient. Please email collaboratory@unc.edu if further clarification or guidance is needed. Provide a signed agreement between the Business Partner and Academic Research Partner that contains the following:  
   Project title.  
   Name and contact details for both PIs.  
   Name and contact details for signing officials.  
   Proposed project start and end dates. (See Important Dates for suitable start and end dates.)  
   Total requested funds for each partner. (See Funding Guidelines for tiers.)  
   A statement declaring that both applicant institutions are subject to and compliant with the requirements of:  
    o State regulations found in Title 09, Subchapter 03M of the North Carolina Administrative Code.  
   Separate statements declaring each of the following:  
    o Appropriate programmatic and administrative personnel of the applicant institutions are aware of the requirements of this RFP and have established the necessary inter-organizational agreement(s) consistent with these requirements and any relevant institutional policies and procedures, including agreements on how data and intellectual property (IP) will be handled by both partners.  
    o Appropriate conflict of interest (COI) officers for both applicant institutions will review and approve this project and subsequently maintain and enforce institutional COI policies.  
    o The project, if awarded, will be reviewed and approved by IRB and/or IACUC, as applicable.  
    o The project, if awarded, will be performed in compliance with federal statutes and regulations prohibiting discrimination, including Title VI Civil Rights laws.  
  The agreement should be signed by individuals authorized to approve and sign on behalf of the applicants’ respective institutions. |
| (4) Public Information Summary | 1 | Provide a summary that is informative and understandable to a scientifically or technically literate lay reader. To ensure suitability for public communication, do not include proprietary/confidential information. |
• **Heading 1: Overview and goals.**
  o What needs will be addressed by the proposed project?
  o Who are the end users/beneficiaries of the proposed technology?
  o What are the goals of the proposed project?

• **Heading 2: Partnership.**
  o What are the respective roles of the Business and Academic Partners in the proposed project?

• **Heading 3: Expected Outcomes.**
  o What deliverables will be produced?
  o How is this project expected to advance technology development/commercialization?
  o What is the expected impact of the proposed project on monitoring, assessing and/or addressing the public health and economic impacts of COVID-19 in North Carolina?

<table>
<thead>
<tr>
<th>(5) Project Description</th>
<th>6</th>
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<tr>
<td>Using the headings provided below, address the following points using language suitable for a scientifically/technically literate lay reader. <strong>Identify all confidential information with specificity</strong> (i.e. identify specific words, phrases, sentences, images etc.).</td>
<td></td>
</tr>
</tbody>
</table>
| **Heading 1: Problem and/or need.**
  o Describe the problem and/or unmet need motivating your proposed solution.
  o Identify the end users/beneficiaries of the proposed technology. |
| **Heading 2: Prior work.**
  o Outline prior work and evidence to support your proposed solution.
  o Demonstrate that the project is feasible, and the project team has the capabilities to successfully complete the project within the proposed timeframe.
  o If applicable, mention funding already received for this work. |
| **Heading 3: Novel solution.**
  o Describe the proposed solution and how it will address the problem/need. |
| **Heading 4: Anticipated challenges.**
  o Describe any anticipated commercial and/or scientific challenges.
  o Describe how potential pitfalls and high risks will be managed and mitigated. |
| **Heading 5: Approach and deliverables.**
  o Outline the project objectives and activities.
  o Describe the expected milestones and deliverables, and how project success will be defined.
  o Describe how the Business Partner and Academic Research Partner will work together to achieve success. |
| **Heading 6: Commercialization.**
  o Mention the IP status of the proposed solution/technology and how this will be protected.
  o Outline the target market and competition for this technology and your anticipated path towards commercialization.
  o Describe the plan for sustaining this work beyond the period of funding to achieve your development/commercialization goals.
  o If applicable, describe the potential for enhancing economic development through the creation of new businesses/jobs. |
| (6) Project Timeline | 2 | Using a table or diagram as preferred, provide a project timeline with the following information clearly marked and described:  
- Proposed activities, milestones, and deliverables.  
- The respective roles of the Business Partner and Academic Research Partner in each activity. |
| (7) Scope of work | 2 each | Provide **separate scopes of work (2 pages each)** for the Business Partner and Academic Research Partner. Describe their respective aims, activities, milestones, deliverables and timeline. |
| (8) Bibliography | - | Using your preferred reference style, provide full references for all information/literature cited in the application. |
| (9) Budget | - | Use the templates provided to provide **separate budgets** for both the Business Partner and Academic Research Partner.  
**Budget guidelines:**  
- A maximum of $2,500,000 for the Business Partner and $500,000 for the Academic Research Partner may be requested.  
- Budgets should cover no more than 3 years (36 months).  
- No matching costs are required.  
- All funds must be managed in accordance with State law.  
- Budgets must align with the proposed activities, scope of work and project timeline.  
**Allowable budget requests:**  
- Salary and fringe/benefit costs for personnel who are directly contributing to project activities, including (but not limited to) PIs, other key personnel, project managers, and students.  
- Travel expenses.  
- Equipment specific to the project.  
- Materials and supplies.  
- Contracted services.  
- Publication fees.  
- Student tuition.  
- IACUC and/or IRB costs, as applicable.  
**Budget restrictions:**  
- Institutional overhead/indirect costs (F&A) are **not** permitted. |
| (10) Budget justification | - | The Business Partner and Academic Research Partner should provide **separate budget justifications** to explain in detail each expense listed in their respective budget forms. Salary/fringe requests should be accompanied by the name, title, responsibilities, and effort (% or calendar months) of individuals in the proposed project. If any equipment or contracted services are included, please provide quotes from the vendor(s). |
| (11) Biographical sketches | 2 each | Complete the biographical sketch template for the Business Partner and Academic Research Partner PIs and other key personnel (as defined by NIH guidelines) participating in the project. |
| (12) Letters of support (optional) | - | Letters of support are not required but may be provided from individuals such as (but not limited to):  
- A potential end user or beneficiary of the proposed technology. |
A stakeholder supporting the existence of a legitimate business opportunity if the technology development is successful.

A project manager who will participate in the project and oversee the production of proposed deliverables.

(13) Vertebrate animals (if applicable) - As applicable, describe the proposed use of the animals in the project and procedures for ensuring that discomfort, distress, pain and injury will be limited. Provide a statement that demonstrates the applicant institution(s) have the appropriate compliance infrastructure and policies in place for all proposed vertebrate animal work, and assurance that the project will be reviewed and approved by an IACUC for either or both partner institutions.

(14) Human subjects (if applicable) - As applicable, describe the involvement and characteristics of human subjects, as well as study procedures, materials used in the research, potential risks to subjects, the process for recruitment and informed consent, and protection against risks. Provide a statement that demonstrates the applicant institution(s) have the appropriate compliance infrastructure and policies in place for all proposed human subjects work, and assurance that the project will be reviewed and approved by an IRB and comply with HIPAA for either or both partner institutions.

Submission Process

The deadline for submissions is 5:00pm on August 1, 2022. Applications received after this deadline will not be reviewed or considered for funding.

All application material should be combined into a single PDF and submitted via email to collaboratory@unc.edu. Submission emails should be sent by the individual serving as the Business Partner PI and contain the following:

- **Subject line:** “Application for Business-Academia Partnership Program 2022”.
- **Body:** Include the names, institutional affiliations and contact details for both PIs.
- **Attachments:** A single PDF containing all application materials listed in the section above.

Following submission, a reply from the Collaboratory will be sent to the email address used for application submission to confirm receipt. If an email reply is not received by the submitting applicant, please contact collaboratory@unc.edu before the deadline.

This request for proposals (RFP) is solely a request for expressions of interest and statements of qualification. It is not an offer to contract or an invitation capable of acceptance to create a contract. The Collaboratory may cancel or modify this RFP at any time without liability for any loss, cost, or expense as a result of that cancellation or modification. For more information about the Collaboratory and previously funded projects, please see https://collaboratory.unc.edu/.

Review Process

All proposals will be evaluated by a review panel comprised of individuals from both inside and outside the Collaboratory. **Due to the broad nature of this RFP, applicants should assume the review panel will be scientifically and technically literate but not subject matter experts.**
As part of the review process for this program, the Collaboratory will share the contents of grant applications with both internal and/or external experts to assess the merits of each application and their adherence to requirements described in this RFP. The Collaboratory will endeavor to maintain the confidentiality of all information provided in an application, but the applicant is responsible for specifically identifying all confidential information within the application that should not be shared outside the Collaboratory and review panel.

If deemed necessary by the review panel, applicants may be asked to submit additional information or documentation, and/or present their proposal and other relevant information to reviewers before a funding decision is made.

Review Criteria

The Collaboratory seeks to ensure the highest principles of academic research rigor and scientific inquiry are followed in all projects. Accordingly, reviewers will assess proposals for compliance with the following principles:

1. The development of significant questions that can be investigated empirically.
2. Linkage of research to relevant theory.
3. The use of methods that directly address the question of interest.
4. A coherent and explicit chain of reasoning.
5. A standard of generalizability with existing research and research contexts.
6. Publication of research to encourage professional critique.

Specific to this RFP, the review panel will also evaluate all proposals according to the following criteria:

- What is the potential for the proposed project to effectively monitor, assess, and/or address the public health and/or economic impacts of COVID-19 in North Carolina?
- Does the proposed project clearly demonstrate a beneficial collaboration between a Business Partner and Academic Research Partner?
- Is there a clear description of the project’s target milestones and deliverables?
- Is there a clear description of the project’s definition of success?
- Is the proposed budget reasonable for the proposed project activities and timeline?
- Is the plan for performing the proposed activities well-reasoned, well-organized, and based on sound rationale?
- How well qualified is the project team to conduct the proposed activities?
- Is there a well-defined path to commercialization and/or market opportunity available for the proposed technology?
- Does the project team have the essential expertise and experience to increase the likelihood of positive commercial outcomes?

Award Process

The Collaboratory anticipates notifying applicants of award decisions no later than September 30, 2022. Projects may last for up to 3 years (36 months), starting no earlier than October 15, 2022, and ending no later than December 31, 2025.

Before funds are released, award recipients will be required to provide the following information:

- IACUC/IRB approval dates and protocol numbers (as applicable).
- Payment information, such as a W-9 form, remittance address and ACH banking details.

Funding for selected projects must be managed in accordance with the following:

State regulations found in Title 09, Subchapter 03M of the North Carolina Administrative Code.

Any state and federal regulations that may arise and/or change during the project performance period, as and when the Collaboratory receives updated guidance from relevant entities such as, but not limited to, the US Treasury, NCGA, NC Pandemic Recovery Office (NCPRO), NC Office of State Budget and Management (OSBM), UNC System, and UNC-Chapel Hill.

**Reporting and Auditing Requirements**

In total, four types of reports must be submitted to the Collaboratory by each partner, subject to change following updated guidance received from the state, federal and university entities:

1. Monthly expenditure reports.
2. Quarterly progress reports.
3. Final expenditure reports.
4. Final performance reports.

Any changes in reporting requirements in response to updated regulations will be provided by the Collaboratory. Failure to submit reports by the deadlines provided by the Collaboratory may result in a hold on or retraction of the remaining funds from the award. Within all reports, award recipients will be responsible for identifying all confidential information **with specificity**.

Business and Academic Research Partner institutions are expected to **keep complete records of the receipt and disbursement of all funds under this project** for a minimum of five years after the completion of their project, or until all audit exceptions have been resolved, whichever is longer, as required by OSBM and subject to updated guidance from State, federal, and university entities.

Business and Academic Research Partner institutions will also be subject to **audit requirements** stipulated in the North Carolina State Administrative Code and Federal Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards, 2 C.F.R. Part 200. This includes:

- Obtaining and monitoring Single Audits under 2 CFR 200.501 if the funding recipient receives $750,000 or more in federal awards.
- Obtaining and monitoring Single Audits under 09 NCAC 03M .0205(a)(3) and (b)(4) if the funding recipient receives $500,000 or more in state financial assistance using federal funds.

A funding recipient receiving less than these thresholds must retain and provide records for review or audit as requested by federal or state entities or the Government Accountability Office. As per state requirements, non-state entities may also be required to provide an audit by internal and/or external auditors to meet the requirements of the North Carolina Administrative Code and other applicable federal and/or State guidance, regulations, and/or policies.

During and after the project, Business and Research Academic Partners may be expected to respond to requests from the Collaboratory and participate in seminars, conferences, and deliver presentations to the legislature and **Collaboratory Advisory Board**.

**Contact**

Questions regarding this funding opportunity and the application process are welcome and should be sent to the Collaboratory team via email to collaboratory@unc.edu.