

# **Request for Proposals**

**Idaho State Board of Education  
Higher Education Research Council  
Idaho Incubation Fund Program  
FY 2018**

# **Idaho Incubation Fund Program Request for Proposals FY 2018**

## **Introduction**

The State Board of Education is appropriated funds each year by the Legislature through the colleges and universities appropriation to be used for the mission and goals of the Higher Education Research Council (HERC). These funds have been used to develop research infrastructure, promote STEM education, foster innovation and technology and enhance the research environment at Idaho's public institutions. Nationally and within Idaho, it is being recognized that the intellectual property and technology created through university research is not being fully utilized or reaching its economic potential.

HERC believes that to fully realize the potential of the technical advances of the universities, to meet the expectations of stakeholders, and to create opportunities for retaining students within Idaho, an incubation fund should be established. From these funds technologies that meet specific criteria will be incubated to support technology transfer and commercialization with expectations that the licensing of the technologies will provide benefits to the universities and stimulate economic development.

## **Eligibility**

- Boise State University
- Idaho State University
- Lewis-Clark State College
- University of Idaho

## **Call for Proposals**

### **Intent and Purpose**

The intent of the Incubation Fund is to provide funding that bridges the "Gap" between research and development and commercialization. HERC believes that technologies exist in the universities that with a modest amount of additional funding could be advanced and moved towards commercialization. Partnership with the private sector, although not always necessary, is a good indicator of progress towards a commercial outlet of these technologies. Commercialization of researched efforts in Idaho will enhance economic development.

### **Features of the Idaho Incubation Fund Proposals**

In order to be eligible for funding through this program, the underlying technology must be disclosed to the respective institution's Office of Technology Transfer with rights assigned to that institution.

### **Submission and Review Process**

It is the responsibility of each institution to identify their highest priority proposals. To accomplish this, institutions are encouraged to develop an internal process to screen proposals.

It is the institutions' responsibility to invite their faculty members to develop full proposals **OR** notify them that their proposal will not be considered further. Invited proposals must be submitted in final form to the respective institution's Office of Technology Transfer. The institutions will submit their recommendations to HERC for review by **May 26, 2017**. Once HERC has determined the final awards the institutions will be notified. It is the institutions' responsibility to notify faculty members whether they proposals were awarded or not.

### **Duration of the Awards**

The size and duration of awards will depend upon the budget justification offered, as well as, the availability of State funds. Awards may not exceed \$75,000 per project. Project awards must be expended in the state fiscal year (July 1 – June 30) in which funding for the award is received. Planning grants will not be considered for this solicitation. No project extensions will be granted.

### **Title, Ownership, Use and Disposition of Equipment Purchased with State Board of Education Awards**

For the purposes of this section the Grantee is the institution who has received the award.

1. Grantee Assurance. The grantee will assure that for each purchase of equipment, it is:
  - a. necessary for the research or activity supported by the grant;
  - b. not otherwise reasonably available and accessible; and
  - c. procured through the standard process through the Department of Administration's Division of Purchasing and/or the institution's purchasing policy (pursuant to Idaho Code §67-5728), as appropriate.
2. Title and Ownership. Unless otherwise specified in the grant, title to equipment purchased with grant funds will vest in the grantee upon acquisition.
3. Equipment Usage and Disposition. Equipment purchased with grant funds shall remain in use for the specific project for which it was obtained. After the expiration of the award and when there are no other obligations to the Board in connection with the award under which the equipment was acquired, an institution may use the equipment for non-award related purposes or may dispose of the equipment in accordance with Idaho State Board of Education Governing Policies & Procedures.

## **Proposal Content**

The proposal should be prepared following the instructions under Proposal Format and should contain only material itemized in that section. Proposals that do not adhere to the specified page and word limitations will be ineligible for consideration.

As detailed under Proposal Format, the proposal should clearly and concisely justify support for the project.

### **Proposal Format:**

Each page of the proposal must be in a standardized 12-point font, double spaced, with one inch (1”) margins. A signed electronic copy of the proposal, in PDF format, must be provided to the Board office by the submittal deadline. Proposals that do not adhere to the specified page limitations, including those in the required appendices, will be ineligible for consideration.

### **Proposal Elements:**

Each proposal must contain the following elements in the order indicated and must not exceed 10 pages overall:

1. Name of Idaho public institution
2. Name of faculty member directing project
3. Indicate if this technology been proposed and/or been awarded an Incubation Fund Award in the past. Answer the following questions:
  - a. When was the original proposal submitted?
  - b. If this technology has received an award in the past, how is this proposal different from the last proposal awarded?
4. Executive Summary – 1 – 2 paragraphs describing all the project elements of the proposal.
5. “Gap” Project Objective and Total Amount Requested – Describe the objective of this project.
6. Description of how resource commitments reflect the priorities of the home institution(s)
7. Specific Project Plan and Budget – Describe tasks to be undertaken, the team (personnel and qualifications) milestones, performance metrics, and budget. Address the following items in this section which will be used as evaluation criteria for your proposal:
  - The Market Opportunity – Address the following items:

- Describe need the project would address
- Describe applications and markets for the technology. Include market size and demand projections.
- Describe the product, its potential market audience, the competition, and barriers to market entry
- The Technology and Path to Commercialization – Address the following items:
  - Describe the technology and the current state of the technology
  - Describe how the technology contributes to the product and market need and its intellectual property status.
  - Identify who developed the technology and with what funding
  - Identify the concrete steps to bring technology to market
- Commercialization Partners (Public or Private) – Address the following items:
  - Identify commercialization partners, if any, or methods to be used in developing commercialization partners.
  - Provide a clear description of the business relationship between institution's personnel and their public/private partners, including space, funds, facilities, and people for the project.
  - Clearly outline responsibilities for project tasks, proposed schedule of meetings and a discussion of potential future activities that would take place upon successful completion of the project.
- Institutional Support – Address the following items:
  - Summarize the home institution's commitment at a level appropriate to the project.
  - Describe how the unique infrastructure (facilities, equipment, expertise, location, etc.) at your institution may directly support the project.
- Budget – Include a proposed overall budget (round all budget totals to the nearest \$100). Unallowable costs will include foreign travel, patent searches, and facility and administrative (F&A) costs. Address the following items:
  - Identify items of equipment costing more than \$1,000.
  - A description of the role of personnel or the nature and purpose of other expenditures should be included for each item in the personnel categories
  - A description of need for and purpose of equipment for all expenditures over \$1,000
  - A description of purpose and destination of proposed travel expenditures
  - An explanation of role of additional participants and the nature of expenditures involved
  - Description of expenditures under other direct costs.

Grantees should anticipate that awarded funds will be tracked and contingent upon meeting milestones on schedule.

**Appendices:**

1. Facilities and Equipment: Include a description of the available facilities and equipment.
2. Biographical Sketching and Individual Support: Provide a one- to two-page biographical sketch that includes a complete listing of current support for PI's and co-PI's. Provide a description of qualifications and services expected from all visiting professors and postdoctoral associates. This appendix may be single-spaced.
3. Provide documentation of other sector resource commitments.

**Reporting Procedures**

The Higher Education Research Council (HERC) will have a primary role in oversight of the Idaho Incubation Fund projects. The progress, financial (burn rate report) and plans of each funded project will be assessed bi-annually or at project milestones. The Project Director will prepare an end-of-project report for HERC. The report will be due within 60 days following the completion of the project. Reports should be in standard report format to include a report cover and table of contents.

Information to be reported in the reports must be detailed enough to judge whether the project is on track for success and will include but is not limited to:

- Summary of project accomplishments for the period just completed and plans for the coming reporting period
- Summary of budget expenditures for the period just completed
- Describe any faculty and student participation in the project
- Patents, copyrights, Plant Variety Protection Certificates received or pending
- Documented commercial discussions, technology licenses signed, or start-up businesses created
- Status of private part/industry partnerships
- Any other pertinent information, including market changes or unexpected commercial obstacles

Projects not meeting satisfactory progress as determined by HERC may be terminated. Failure to meet all reporting requirements, including timelines may result in the termination of the funding and the inability for the PI to receive future funding from HERC sponsored programs. If terminated, all remaining funds for the project will revert to HERC for redistribution.

## **Evaluation of Proposals**

### **Review of the Full Proposals and Awards Selection Process**

Proposals will be reviewed based on the following elements:

Particular attention should be placed on the market opportunity and the path to commercialization. A review team, overseen by the Higher Education Research Council and in coordination with the Idaho Technology Council, will evaluate each proposal.

The highest ranking proposals will be funded up to the level of funding available. Most projects will be funded in the range of \$10,000-75,000 per project for a period not to exceed 12 months. Project awards must be expended in the state fiscal year (July 1 – June 30) in which funding for the award is received. No project extensions will be granted. Quarterly project meetings will be held to monitor progress and allow for mid-project adjustments as appropriate.

### **Proposal Submission**

1. All proposals and notices of intent must be signed and submitted by the Authorized Organizational Representative (AOR) of the institution.
2. Specific questions about proposals beyond the details of this document should be directed to the Vice President for Research at your institution.

## COVER SHEET FOR GRANT PROPOSALS

State Board of Education

SBOE PROPOSAL NUMBER: (to be assigned by SBOE)	AMOUNT REQUESTED:		
TITLE OF PROPOSED PROJECT:			
SPECIFIC PROJECT FOCUS:			
PROJECT START DATE:	PROJECT END DATE:		
NAME OF INSTITUTION:	DEPARTMENT:		
ADDRESS:			
E-MAIL ADDRESS:	PHONE NUMBER:		
NAME: TITLE: SIGNATURE:			
PROJECT DIRECTOR/PRINCIPAL INVESTIGATOR			
CO-PRINCIPAL INVESTIGATOR			
NAME OF PARTNERING COMPANY:		COMPANY REPRESENTATIVE NAME:	
NAME:		SIGNATURE:	
Authorized Organizational Representative			



**SUMMARY PROPOSAL BUDGET**

Name of Institution:

Name of Project Director:

**A. PERSONNEL COST (Faculty, Staff, Visiting Professors, Post-Doctoral Associates, Graduate/Undergraduate Students, Other)**

Name/ Title	Salary/Rate of Pay	Fringe	Dollar Amount Requested

<b>% OF TOTAL BUDGET:</b>		<b>SUBTOTAL:</b>	
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**B. EQUIPMENT: (List each item with a cost in excess of \$1000.00.)**

Item/Description	Dollar Amount Requested
<b>SUBTOTAL:</b>	

**C. TRAVEL:**

Dates of Travel (from/to)	No. of Persons	Total Days	Transportation	Lodging	Per Diem	Dollar Amount Requested
<b>SUBTOTAL:</b>						

**D. Participant Support Costs:**

	Dollar Amount Requested
1. Stipends	
2. Other	
<b>SUBTOTAL:</b>	

E. Other Direct Costs:	Dollar Amount Requested
1. Materials and Supplies	
2. Publication Costs/Page Charges	
3. Consultant Services (Include Travel Expenses)	
4. Computer Services	
5. Subcontracts	
6. Other (specify nature & breakdown if over \$1000)	
<b>SUBTOTAL:</b>	
F.. Total Costs: (Add subtotals, sections A through E)	<b>TOTAL:</b>
G.. Amount Requested:	<b>TOTAL:</b>
Project Director's Signature:	Date:

<b>INSTITUTIONAL AND OTHER SECTOR SUPPORT</b> (add additional pages as necessary)	
<b>A. INSTITUTIONAL / OTHER SECTOR DOLLARS</b>	
Source / Description	Amount
<b>B. FACULTY / STAFF POSITIONS</b>	
Description	
<b>C. CAPITAL EQUIPMENT</b>	
Description	
<b>D. FACILITIES &amp; INSTRUMENTATION (Description)</b>	