

Request for Proposals

FY 2023

State Board of Education

Higher Education Research Council

Idaho Global Entrepreneurial Mission Initiative

IGEM-HERC

Introduction

Idaho's public four-year institutions of higher education seek to be a driving force in innovation, economic development, and enhanced quality of life in the State of Idaho through nationally and internationally lauded research programs in strategic areas. By developing and leveraging the State's unique research expertise and strengths, Idaho's universities will serve as a catalyst and engine to spur the creation of new knowledge, technologies, products and industries. This in turn will lead to new advances and opportunities for economic growth and enhance the State's reputation as a national and international leader in excellence and innovation. To that end the Idaho State Board of Education has established the Higher Education Research Council.

Per [Board Policy III.W.](#), the Higher Education Research Council (HERC) provides guidance to Boise State University, Idaho State University, Lewis-Clark State College and the University of Idaho for a statewide collaborative effort to accomplish these goals and objectives. In addition, HERC provides direction for and oversees the use of the limited resources of the State of Idaho provided by the Legislature. Research activities are promoted that have the greatest beneficial impact on the quality of education and the economy of the State, as well as, the implementation of the higher education research policy of the Board and the development and implementation of the statewide higher education research strategic plan.

Eligibility

The following institutions are eligible to submit IGEM initiative proposals:

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

Call for Proposals

Intent and Purpose

The legislature has appropriated funds to the State Board of Education to be awarded for competitive state university research under the direction of HERC in support of the goals of the Idaho Global Entrepreneurial Mission (IGEM) initiative. **These funds are to be used as seed funding for strengthening Idaho's future by strategically investing in the development of expertise, products, and services which result in state economic growth.** Selected project proposals must be in alignment with the statewide higher education research strategic plan. Planning grants will not be considered for this solicitation.

The goals of IGEM-HERC¹ are to a) leverage the talents and expertise of Idaho's

¹ The IGEM-HERC program is run by the Higher Education Research Council under the authority of the Idaho State Board of Education, with the goals stated in this RFP. The Idaho Department of Commerce also offers IGEM grants, but these grants have different goals than the IGEM HERC grants. More information about IGEM Commerce grants can be found at <https://igem.idaho.gov>.

research activities and the private sector to further the economic vitality of the state; b) create a platform to facilitate and accelerate the transfer of technology from our state research facilities and into the private sector; and c) create new ideas, products, and companies that will lead to higher-paying jobs and a strong economic foundation for Idaho.

Process and Requirements

Each eligible institution shall develop a competitive process for collecting proposals on campus, review the proposals, and submit priority projects to HERC for consideration. No more than three (3) proposals per institution will be accepted for consideration.

For those proposals geared toward technology development, where applicable, the underlying technology must be disclosed to the respective institution’s Office of Technology Transfer or appropriate institutional office with rights assigned to that institution.

It is the responsibility of each institution to identify their highest priority proposals. Proposals should be submitted to the appropriate office on campus consistent with internal procedures. This entity is responsible for submitting proposals to HERC.

Tentative Schedule (Subject to Change)

Date	
October 15, 2021	RFP released
February 1, 2022	Proposals due to the Office of the State Board of Education by 5:00 pm MT (HERC@osbe.idaho.gov)
March 3, 2022	Finalists may be asked to meet with HERC on this date to discuss their proposal
No later than May 1, 2022	Notification of decision
July 1, 2022	Anticipated funding availability

Proposal Content

The proposal shall 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 format as described in the NSF PAPPG:

Proposal Font, Spacing and Margin Requirements

1. Use one of the following fonts identified below:
 - a. Arial (not Arial Narrow), Courier New, or Palatino Linotype at a font size of

- 10 points or larger;
 - b. Times New Roman at a font size of 11 points or larger;
 - c. Computer Modern family of fonts at a font size of 11 points or larger.
2. A font size of less than 10 points may be used for mathematical formulas or equations, figures, tables, or diagram captions and when using a Symbol font to insert Greek letters or special characters. Other fonts not specified above, such as Cambria Math, may be used for mathematical formulas, equations, or when inserting Greek letters or special characters. PIs are cautioned, however, that the text must still be readable.
 3. No more than six lines of text within a vertical space of one inch.
 4. Margins, in all directions, must be at least an inch. No proposer-supplied information may appear in the margins.
 5. Paper size must be no larger than standard letter paper size (8 ½ by 11”).

These requirements apply to all uploaded sections of a proposal, including supplementary documentation.

A signed electronic copy of the proposal, in PDF format, must be sent to HERC@osbe.idaho.gov 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 and describe the following project elements in the order indicated and must not exceed 10 pages overall (excluding cover sheet and budget sheet).

1. Name of primary Idaho public institution
2. Name of Principal Investigator directing the project
3. Project objective and total amount requested
4. Resource commitment – Describe how resource commitments reflect the priorities of the institution(s) involved in the proposed project.

Specific project plan and timeline (1-3 years) – Describe the project plan, tasks to be undertaken, where the project sits on an appropriate Technology Readiness Level (TRL) spectrum, and how the project will move along this spectrum in the future. See the Evaluation of Proposals section below for more information about this TRL criterion.

5. Potential economic impact – Provide rationale that the project will have a potential impact on the economy of Idaho. Failure to do so will hinder further consideration of the proposal.
6. Criteria for measuring success – Include metrics by which project success and economic impact will be measured. Progress towards these measures will be required as part of awarded proposals reporting requirements. Metrics must be specific, objective, measurable, and realistic. Each metric must be measurable during the annual reporting period.
7. Budget – Detail the proposed budget, as well as the total project budget using the attached template. The use of funds must be detailed to the extent possible. When possible, identify items of equipment costing more than \$1,000. Include financial commitments from the institution as well as third party financial commitments. Round all costs to the nearest \$100. Facility and Administrative Costs (F&A) are not allowed.
8. Budget justification – Clearly describe and justify the purpose of each item in the budget.
9. Project management – Include a project management chart (e.g. GANTT, PERT, WBS, etc.) showing timelines and milestones of the project and a description of the management structure of the grant.
10. Additional institutional and other sector support – Summarize any institutional commitments at a level appropriate to the project, particularly if those commitments include support for new lab space, facilities, etc. Describe any support from external partners, including space, funds, facilities, and people for the project.
11. Future funding – Describe one or more funding programs (state, federal, industry or other) where an application will be submitted no later than the end of the IGEM-HERC award to move this project along the TRL spectrum.

Appendices: Appendices shall follow the proposal format requirements as noted earlier. There are no page limitations for Appendices.

Appendix A: Facilities and Equipment – Include a description of the available facilities and equipment.

Appendix B: Biographical Sketches – Academic PIs and co-PIs must provide a three-page maximum, NSF-style biographical sketch (see NSF PAPPG https://www.nsf.gov/pubs/policydocs/pappg22_1/nsf22_1.pdf).

Appendix C: Current and Pending Support – A complete listing of current and pending support for PIs and co-PIs must be provided.

Appendix D: Senior Personnel – Provide a description of qualifications and services expected from all consultants, visiting professors, postdoctoral associates, and other senior personnel.

Appendix E: Other – Provide documentation of other sector resource commitments including up to five (5) letters of support or private sector partnerships. Letters of support must explicitly describe the role(s)/contribution(s) of the supporting partner in the proposed project.

Evaluation of Proposals

Review of the Full Proposals and Awards Selection Process

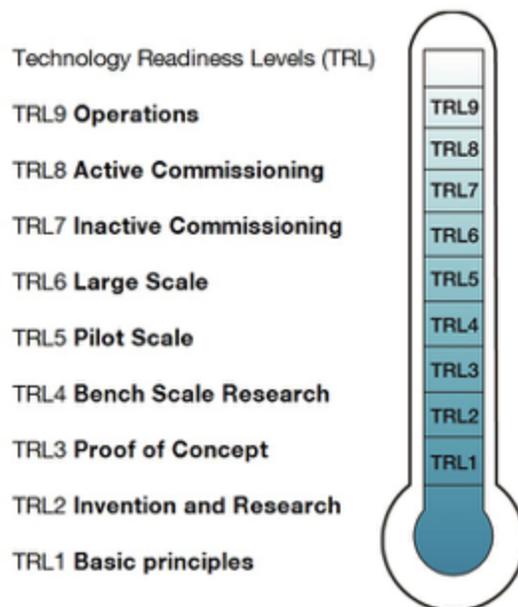
Proposals must be targeted to specific projects and will be evaluated according to criteria listed below. HERC members will evaluate each proposal and make determinations for grant awards. External experts with technical and economic development knowledge may be invited to assist in the review process, if necessary. Appropriate protection of proprietary information will be given for any external reviews. Finalists may be required to present their proposal to the Council prior to an award decision.

Priority will be granted to those proposals that can show a strong collaborative effort between or among institutions. Priority will also be granted to those proposals that can show a strong collaboration with the private sector or exhibit high potential for near term technology transfer to the private sector. However, HERC will give serious consideration to proposals that fall lower on the federal agency-appropriate Technology Readiness Level (TRL) spectrum and that show a strong likelihood for moving up that spectrum in the future. Competitive proposals will provide an explanation of where the proposed project currently sits on the TRL spectrum and plans to advance the project along the spectrum. HERC recommends proposals use a TRL spectrum as defined by an appropriate federal agency for this type of research. Generic examples are provided below as a general guide.

TECHNOLOGY READINESS LEVEL (TRL)

RESEARCH	9	ACTUAL SYSTEM PROVEN IN OPERATIONAL ENVIRONMENT
	8	SYSTEM COMPLETE AND QUALIFIED
	7	SYSTEM PROTOTYPE DEMONSTRATION IN OPERATIONAL ENVIRONMENT
DEVELOPMENT	6	TECHNOLOGY DEMONSTRATED IN RELEVANT ENVIRONMENT
	5	TECHNOLOGY VALIDATED IN RELEVANT ENVIRONMENT
	4	TECHNOLOGY VALIDATED IN LAB
	3	EXPERIMENTAL PROOF OF CONCEPT
RESEARCH	2	TECHNOLOGY CONCEPT FORMULATED
	1	BASIC PRINCIPLES OBSERVED

From: <https://www.twi-global.com/technical-knowledge/faqs/technology-readiness-levels>



Criteria

1. Potential to develop expertise, products and services that will increase the

competitiveness of Idaho. (30 pts)

2. Likelihood the project will result in expanding current business and/or help create new business activities in Idaho. (15 pts)
3. Likelihood that the project will result in significant contributions to the field, the institution, and to the needs of the state as defined in the higher education research strategic plan². (15 pts)
4. Likelihood that the project will result in establishment of commercialization partnerships or methods to be used in developing partnerships. (10 pts)
5. Plan to move along the TRL spectrum, plan for additional funding mechanisms, and potential for economic development and future return on investment. (30 pts)

Reporting Procedures

The recipients of awarded projects will be required to report to HERC semi-annually, in a format established by HERC, the progress of the project including economic impact performance metrics and financial data (burn rate report). On completion or termination of the project, the Principal Investigator will prepare an end-of-project report for HERC. The report will be due within 60 days following the completion of the project. Upon completion of the project, the Principal Investigator(s) will be required to comply with HERC's annual request for information pertaining to the economic impact to Idaho for up to five years following the date of award and/or completion of the project. Lack of response to requests for information from HERC or the Board during any reporting period will result in termination of the award and/or loss of eligibility for future HERC funding.

Reports shall be presented in a format established by HERC. Information included in the annual reports must be detailed enough to judge whether the project is on track for success and may include the following components:

- Summary of project accomplishments for the reporting period and plans for the upcoming reporting period
- Summary of budget expenditures for the period just completed
- Demonstration of economic development/impact, including the following as applicable:
 - Patents, copyrights, Plant Variety Protection Certificates received or pending
 - Technology licenses signed, start-up businesses created, and industry involvement
 - Private sector engagement
 - Jobs created

² Idaho's higher education research strategic plan can be found at <https://boardofed.idaho.gov/board-facts/board-planning/higher-education-research-strategic-plan/>

- o External funding
- o Any other pertinent information
- Numbers of faculty and student participation as a result of funding
- Description of future plans for project continuation or expansion
- Commercialization revenue
- Description of current position on the TRL spectrum and future plans to move along this spectrum

Projects not meeting satisfactory progress as determined by HERC may be terminated and remaining funds will be returned to the State Board of Education.

Any adjustment resulting in a change in the scope of work must be reported to Board staff and HERC for approval. Such requests shall be submitted via email to HERC@osbe.idaho.gov. Budget adjustments that do not impact the scope of the project and do not exceed 10% of the annual award amount may be approved by Board staff. Adjustments over 10% of the annual award amount will be considered by the full Council.

Amount and Duration of the Grant Awards

The amount of awards for each project will depend upon the project and associated budget justification, as well as the availability of State funds. Grants are awarded annually, subject to legislative appropriations. Grants may be renewed no more than two times, for a total of three (3) annual awards per project, subject to annual HERC approval. Awards may not exceed \$700,000 per year, per proposal. Annual award amounts cannot be carried over from year to year and must be expended within the fiscal year awarded. Planning grants will not be considered for this solicitation.

Title, Ownership, Use, and Disposition of Equipment

1. Grantee Assurance – Grantee means eligible institution. The grantee will assure that for each purchase of equipment with grant funds, 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, Section V.I.

Proposal Submission

1. All proposals must be signed and submitted by the Authorized Organizational Representative 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.
3. Proposals must be submitted as a PDF in electronic format directly to the Office of the State Board of Education at: HERC@osbe.idaho.gov.

All information provided in the grant proposal as well as any additional information provided during the review process to the review team, HERC, or the Office of the State Board of Education, is public information. Applicants should be careful to not divulge any non-public, confidential, or proprietary information that they do not want disclosed as public information in the application and review process. The State of Idaho assumes no liability for non-public, confidential or proprietary information that is disclosed, intentionally or unintentionally, during the review and application process.

IGEM-HERC GRANT PROPOSAL COVER SHEET

State Board of Education

PROPOSAL NUMBER:
(to be assigned by HERC)

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:

SIGNATURE:

NAME:

TITLE:

PROJECT
DIRECTOR/PRINCIPAL
INVESTIGATOR

CO-PRINCIPAL INVESTIGATOR			
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NAME OF PARTNERING COMPANY:	COMPANY REPRESENTATIVE NAME:
NAME:	SIGNATURE:

Authorized Organizational Representative		
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IGEM-HERC 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

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

Item/Description
Dollar Amount Requested

SUBTOTAL:	

C. TRAVEL:

Dates of Travel No. of Total Transportation Lodging Per Diem

Dollar Amount Requested (from/to)	Persons	Days
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SUBTOTAL:	
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D. Participant Support Costs: Dollar Amount Requested	
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1. Stipends	
2. Other	

SUBTOTAL:	
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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)	

SUBTOTAL:

F. Total Costs: (Add subtotals, sections A through E)
TOTAL:

G. Amount Requested:
TOTAL:

Project Director's Signature: _____ Date: _____

IGEM-HERC INSTITUTIONAL AND OTHER SECTOR SUPPORT
(add additional pages as necessary)

A. INSTITUTIONAL / OTHER SECTOR DOLLARS

Source / Description	Amount

B. FACULTY / STAFF POSITIONS

Description

C. CAPITAL EQUIPMENT
Description
D. FACILITIES & INSTRUMENTATION (Description)