

CHAPTER 3

PROPOSAL SUBMISSION REQUIREMENTS CHECKLIST

NOTE: Proposals that deviate substantially from these guidelines or that omit required information may be found unresponsive and may not be considered for funding.

A. PROPOSAL FORMAT

- 1. **Bindings.** If submitting by paper rather than electronically, bind all copies (including signed original) of the proposal, except one copy, securely. Bindings that permit the proposal to lie flat while being read are preferred. Loose-leaf ring binders or stapled copies are not acceptable.
- 2. **Double-sided copy.** Print on both sides of the paper (front to back counts as two pages).
- 3. **E-mail proposal submissions.** Will not be accepted.
- 4. **Facsimile (fax) proposal submissions.** Will not be accepted.
- 5. **Figures, graphs, and images.** Should be of a size that is easily readable or viewable.
- 6. **Font.** Times New Roman, Arial, or equivalent and readable (12-point minimum).
- 7. **Line spacing.** Single.
- 8. **Margins.** One (1) inch top, bottom, left, and right.
- 9. **Number of copies if submitting by paper rather than electronically.** Sixteen (16) (1 original, signed, bound proposal plus 15 copies [1 unbound and 14 bound]). If the original proposal is in color, all copies must also be in color. If the proposal is submitted electronically, paper copies are not required.
- 10. **Page limit.** 30 pages for single company; 40 pages for joint venture.

Page limits exclude: SF-424 (R&R), Application for Federal Assistance; Research and Related Other Project Information; Form NIST-1022; Forms NIST-1022A through NIST-1022H; Executive Summary; list of bibliographic technical references; Table of Abbreviations; Financial, Employment, and Ownership Information for the Previous Three (3) Years; letters of commitment; letters of support; letters of corroboration; and any human and/or animal subjects documentation.

Page limits include: All text, schematics, diagrams, flowcharts, tables (except Financial, Employment, and Ownership Information for the Previous Three (3) Years), pictures, images, illustrations, and resumes. To maximize pages for relevant technical information, the following suggestions are offered:

- (1) List data only for the key people and briefly highlight their education and experience. Do not include lengthy resumes for all people involved in the project.
 - (2) Do not include copies of published papers as appendices.
 - (3) Do not include supplemental material not specifically requested in this Proposal Preparation Kit, either separately or bound with the proposal.
 - (4) Do not include company sales catalogs, financial statements (TIP may request these during the Evaluation Panel's consideration on the proposal), videotapes or audiotapes, presentation slides, and other marketing materials.
- 11. Page numbering.** Number pages sequentially.
- 12. Paper size.** 21.6 by 27.9 centimeters (8 1/2 by 11 inches).
- 13. Proposal language.** English.
- 14. Table of contents.** Not required.
- 15. Typed document.** All proposals, including forms, must be typed; handwritten proposals and forms will not be accepted.

B. PROPOSAL FORMS AND OTHER REQUIREMENTS

(Forms are included in this Proposal Preparation Kit as exhibits and are posted on the TIP Web site at <http://www.nist.gov/tip/helpful.html>.)

1. SINGLE COMPANY ONLY (also complete items in section B.3. below)

- a. Proposal is from a small- or medium-sized eligible company.
- b. Total project duration does not exceed 3 years.
- c. Total TIP funding requested does not exceed \$3 million.
- d. Proposal includes Form NIST-1022E, Estimated Multi-Year Budget – Single Company (see Exhibit 8).

2. JOINT VENTURE ONLY (also complete items in section B.3. below)

- a. At least two separately owned, small- and/or medium-sized eligible companies OR at least one small- or medium-sized eligible company and one institution of higher education are part of the joint venture and are substantially involved in the R&D and both are contributing to the cost share.
- b. Lead member of the joint venture submitting the proposal is the small- or medium-sized company or institution of higher education.
- c. Total project duration does not exceed 5 years.
- d. Total TIP funding requested does not exceed \$9 million.
- e. TIP funds are not requested for any large-sized company joint venture member.
- f. Proposal includes Form NIST-1022A, Other Joint Venture Members (see Exhibit 4).
- g. Proposal includes Form NIST-1022F, Estimated Multi-Year Budget – Joint Venture (see Exhibit 9)

3. BOTH SINGLE COMPANY AND JOINT VENTURE

- a. TIP funds are not requested for indirect costs.
- b. Cost sharing is at least 50 percent of total yearly project costs (direct plus all of the indirect costs).
- c. Proposal includes SF-424 (R&R) (2 pages), Application for Federal Assistance (see Exhibit 1). Note that there are multiple versions of the SF-424, therefore, be sure to use the SF-424 (R&R) version.
- d. Proposal includes Research and Related Other Project Information (see Exhibit 2).
- e. Proposal includes Form NIST-1022, Technology Innovation Program Proposal Information Sheet (see Exhibit 3).
- f. Proposal includes Form NIST-1022B, Contractors (see Exhibit 5), if contractors are proposed in budget.
- g. Proposal includes Form NIST-1022C, Budget Narrative (see Exhibit 6).
- h. Proposal includes Form NIST-1022D, Third-Party In-Kind Contributions (see Exhibit 7), if applicable.
- i. Proposal includes Form NIST-1022G, Foreign-Owned Company Questionnaire (see Exhibit 10), if applicable. If there is more than one such company, separate questionnaires must be submitted for each one.
- j. Proposal includes Form NIST-1022H, R&D Work Performed Outside the United States by the Recipient or Contractor Questionnaire (see Exhibit 11), if applicable. If more than one such instance, separate questionnaires must be submitted for each instance.
- k. Proposal includes Executive Summary (two page limit) (see Chapter 2).
- l. Proposal includes Project Narrative (see Chapter 2).
- m. Proposal includes list of bibliographic references supporting assertions and data including patent citations (see Chapter 2, Section F).
- n. Proposal includes Table of Abbreviations that define abbreviations likely to be unfamiliar to the reader. Common abbreviations, for example, U.S., TIP, DoD, and cm, need not be defined.
- o. Proposal includes Financial, Employment, and Ownership Information for the Previous Three (3) Years (see Chapter 2, Section C).
- p. Proposal includes letters of commitment, as required (see Chapter 2, Section D).
- q. Proposal includes letters of support, as appropriate (see Chapter 2, Section D).
- r. Proposal includes letters of corroboration, documenting efforts to secure other funding, as required (see Chapter 2, Section D).
- s. Proposal includes information regarding human subjects and/or live vertebrate animals in research activities, if applicable. (See Chapter 4, Human Subjects Determination Checklist, to assist in determining whether the proposal may have human subjects involvement, which would require additional information within the proposal submission. If the required information is not included with the proposal, the proposal may be deemed unacceptable. Refer to the booklet titled *TIP Guidelines and Documentation Requirements for Research Involving Human and Animal Subjects*, which can be obtained at <http://www.nist.gov/tip/helpful.html> or by calling 1-888-847-6478. Timelines for submission of required human subjects and live vertebrate animal documentation are included in the booklet as Appendices 5 and 6.)
- t. Amounts on the Forms NIST-1022E (Estimated Multi-Year Budget – Single Company) and NIST-1022F (Estimated Multi-Year Budget – Joint Venture) add correctly and correspond with amounts on the Form NIST-1022C (Budget Narrative).

- u. Amounts on Forms NIST-1022E (Estimated Multi-Year Budget – Single Company) and NIST-1022F (Estimated Multi-Year Budget – Joint Venture) correspond with amounts on the Form NIST-1022B (Contractors), if contractors are proposed.
- v. Proposal does not include ineligible projects and/or ineligible/unallowable costs as identified in Chapter 1, Section D.

C. PROPOSAL ASSEMBLY/PRESENTATION ORDER

- a. SF-424 (R&R), Application for Federal Assistance (see Exhibit 1).
- b. Research and Related Other Project Information (see Exhibit 2).
- c. Form NIST-1022, Technology Innovation Program (TIP) Proposal Information Sheet (see Exhibit 3).
- d. Form NIST-1022A, Other Joint Venture Members (see Exhibit 4), if a joint venture.
- e. Form NIST-1022B, Contractors (see Exhibit 5), if contractors are proposed.
- f. Form NIST-1022C, Budget Narrative (see Exhibit 6).
- g. Form NIST-1022D, Third-Party In-Kind Contributions (see Exhibit 7), if applicable.
- h. Form NIST-1022E, Estimated Multi-Year Budget – Single Company (see Exhibit 8) or Form NIST-1022F, Estimated Multi-Year Budget – Joint Venture (see Exhibit 9).
- i. Form NIST-1022G, Foreign-Owned Company Questionnaire (see Exhibit 10), if applicable.
- j. Form NIST-1022H, R&D Work Performed Outside the United States by the Recipient or Contractor Questionnaire (see Exhibit 11), if applicable.
- k. Executive Summary (two (2) page limit) (see Chapter 2).
- l. Project Narrative (see Chapter 2).
- m. List of bibliographic technical references supporting technical assertions and data including patent citations (see Chapter 2, Section F).
- n. Table of Abbreviations.
- o. Federal Awards Received By Company/Organization or Principal Investigator for All Technologies for Previous Five (5) Years
- p. Financial, Employment, and Ownership Information for the Previous Three (3) Years (Chapter 2, Section C).
- q. Letters of commitment, as required (see Chapter 2, Section D).
- r. Letters of support, as appropriate (see Chapter 2, Section D).
- s. Letters of corroboration, documenting efforts to secure other funding, as required (see Chapter 2, Section D).
- t. Additional information regarding human subjects and/or live vertebrate animals in research activities, if applicable.

D. ADDITIONAL DOCUMENTATION

The following additional forms and documents, which are available at <http://www.nist.gov/tip/helpful.html>, may be requested from a proposer at any time during the multi-disciplinary peer-review process:

1. SF-424B, Assurances—Non-Construction Programs.
2. Form CD-346, Applicant for Funding Assistance.
3. Form CD-511, Certifications Regarding Lobbying.
4. SF-LLL, Disclosure of Lobbying Activities, if applicable.
5. Financial information (see Chapter 2, Section H).

6. Additional human and/or animal subjects documentation, if applicable.
7. For joint ventures only, a credible draft Joint Venture Agreement (JVA) that must be initialed by each joint venture member acknowledging review and preliminary concurrence. The information below is provided in advance to alert joint venture members of the minimum requirements so that the parties may begin negotiating the JVA early:
 - a. Authorization for one of the joint venture members (a legal entity, not an individual person) to serve as the Joint Venture Administrator to bind all of the other members to the terms and conditions of the NIST/TIP award and to administer the NIST/TIP award on behalf of all of the members.
 - b. Treatment of intellectual property—that is, who will own what, including provisions granting the required licenses to the government and acknowledging the TIP statutory intellectual property rights ownership requirement.
 - c. Agreement that the TIP award terms and conditions take priority over those in the JVA.
 - d. Acknowledgment by the parties of their respective cost-sharing commitment and that no party is responsible for the cost-sharing commitment of any other party.
 - e. Acknowledgment that if a party is removed unilaterally by the NIST Grants Officer, that party is also removed from the Joint Venture Agreement.
 - f. Provision for a party's withdrawal from the JVA, including immediate notification to the NIST Grants Officer.
 - g. Inclusion within any dispute resolution provision, the parties' acknowledgment that NIST may, at any time, suspend or terminate the NIST Cooperative Agreement.

Although the draft JVA only requires initials by each joint venture participant at the time of submission, it must be finalized, signed by all joint venture members, and approved by NIST before an award can be made. Failure to provide an acceptable, executed JVA by the established due date will jeopardize issuance of an award. An award will not be deferred in order to give more time to finalize a JVA. A sample JVA and Intellectual Property Plan is available on the TIP Web site (<http://www.nist.gov/tip/helpful.html>). The sample JVA includes important information; however, it is not meant to be the sole JVA model. If a joint venture wants to develop its own JVA, it may do so, provided the minimum provisions mentioned above are included, and provided that the alternative JVA does not otherwise conflict with TIP requirements. A draft JVA that has not been completed to include the required information will not be accepted. The legal name and contact information of each JV participant must be provided; include only those organizations to be bound by the JVA.

Some issues that are most often raised by organizations' legal counsel in negotiating the JVA include the following:

- a. Who will hold title to intellectual property?
- b. How are revenue streams to be divided?
- c. What indemnification provisions will be acceptable to all parties?
- d. Who will be the spokesperson for the joint venture?
- e. Who authorizes licensing agreements?
- f. Who handles the billing to NIST and brings issues to NIST's attention?
- g. What will happen during the course of the project if one party drops out and/or another party wishes to join?
- h. Who will coordinate writing the quarterly reports to be submitted to NIST/TIP?
- i. Who will track progress against technical milestones to bring issues to the attention of the joint venture and to NIST/TIP?

- j. In what capacity is a government laboratory participating? If as a joint venture member, is the government laboratory willing to execute the JVA? (NOTE: If it is not willing to execute the JVA, the government laboratory may possibly participate as a contractor under a separate agreement [e.g., a CRADA as addressed in Chapter 1. Section B.8] with the Joint Venture Administrator.)
- k. How will disputes be handled should they arise?
- l. How will project expenses be reported by joint venture members to the Joint Venture Administrator for reporting to NIST?

Before investing a large effort in planning technical work for a joint venture, organizations are urged to obtain a legal review of the sample JVA by all joint venture members. If it appears likely that reaching an agreement to the provisions contained in the sample JVA and Intellectual Property Plan will be contentious, TIP urges you to carefully consider whether the joint venture is feasible. If there are questions, your legal staff may contact the Office of the Chief Counsel for NIST at 301-975-2803.

TIP strongly recommends that the person who signs the proposal submission for the lead organization be someone at a high enough level in the organization to be able to deal effectively with the kinds of legal and policy concerns that are necessary to execute a successful JVA. It is often helpful if this same individual is the authorized signer of the JVA on behalf of the lead organization if the project is selected for funding. This individual must coordinate with top management within his/her own organization and the other participating organizations about their commitment and proposed cost-share contribution to the proposed project.