

CHAPTER 4

PROPOSAL SUBMISSION REQUIREMENTS CHECKLIST

This checklist is here to assist you in making sure that you have prepared your proposal according to TIP requirements, and that you have included all of the appropriate documentation. It is to your benefit to use it because it will help to ensure that your proposal is not eliminated from consideration because of a mistake made on your part in the completeness of your submission (which could have been avoided if you were aware of the requirement).

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 but one copy (including signed original) of the proposal 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 (i.e., does not require a magnifying glass to view).
- 6. Font. Times New Roman, Arial preferred, or equivalent and readable (12-point minimum, including text in charts, graphs and pictures). NOTE: Font size requirement is after figures have been placed in proposal (i.e., creating a figure with 12-point font and then reducing its size to fit in the proposal will result in the font being too small).
- 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) total copies of your proposal: 1 original, bound and signed (preferably in blue ink) copy; 1 unbound and 14 bound copies. 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; Federal Awards Received By Company/organization or Principal Investigator for All Technologies for Previous Five (5) Years; Financial, Employment, and Ownership Information for the Previous Three (3) Years; letters of commitment; letters of support; letters of corroboration; and any human subjects and/or vertebrate animal research documentation.

Orientation: Portrait must be used for all forms. Project narrative may be portrait, or landscape.

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:
 - a. List data only for the key people and briefly highlight their relevant education and experience. Do not include lengthy resumes for all people involved in the project.
 - b. Do not include copies of published papers as appendices.
 - c. Do not include supplemental material not specifically requested in this Proposal Preparation Kit, either separately or bound with the proposal.
 - d. Do not include company sales catalogs, financial statements, videotapes or audiotapes, presentation slides, and other marketing materials. If financial statements or annual reports are included as an appendix, they will be discarded before the proposal review process begins. If the proposal is to be considered for ranking, then the proposing single company or each joint venture member (except universities, national laboratories, and government agencies) will be asked to provide additional financial information beyond what is required in Chapter 2.
 - e. Do not include general letters of support from individuals or organizations that are not an integral

part of the project (i.e., refer to Chapter 2 Section D for a list of required letters).

- 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 website at http://www.nist.gov/tip/cur_comp/forms_instructions_home.cfm.)

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. 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, 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. Form NIST-1022A, Other Joint Venture Members (see Exhibit 4).

- g. 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. 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. Research and Related Other Project Information (see Exhibit 2).
- e. Form NIST-1022, Technology Innovation Program Proposal Information Sheet (see Exhibit 3).
- f. Form NIST-1022B, Contractors (see Exhibit 5), if contractors are proposed in budget.
- g. Form NIST-1022C, Budget Narrative (see Exhibit 6).
- h. Form NIST-1022D, Third-Party In-Kind Contributions (see Exhibit 7), if applicable.
- i. 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. 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. Executive Summary (two page limit) (see Chapter 2 Section C).
- l. Complete Project Narrative responsive to all aspects of the criteria (see Chapter 2 Section D).
- m. List of bibliographic references supporting assertions and data including patent citations (see Chapter 2 Section C.3 and C.4a).
- n. 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. Financial, Employment, and Ownership Information for the Previous Three (3) Years (see Chapter 2 Section E.1.a and Chapter 2 Table 2.5 for all participating members).

- p. Letters of commitment, as required (see Chapter 2 Section E.3.a) for all participating members.
- q. Letters of support, as appropriate (see Chapter 2 Section E.3.b) for all participating members and for those providing in-kind contributions.
- r. Letters of corroboration, documenting efforts to secure other funding, as required (see Chapter 2 Section E.3.c) for all participating members.
- s. Information regarding human subjects and/or live vertebrate animals in research activities for all participating members, if applicable. (See Chapter 6, 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-resources.cfm> 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. Does not include ineligible projects and/or ineligible/unallowable costs as identified in Chapter 1 Section D.
- 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 Section B).
- l. Project Narrative (see Chapter 2 Section D).
- m. List of bibliographic technical references supporting technical assertions and data including patent citations.
- 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 E).
- q. Letters of commitment, as required (see Chapter 2 Section E).
- r. Letters of support, as appropriate (see Chapter 2 Section E).
- s. Letters of corroboration, documenting efforts to secure other funding, as required (see Chapter 2 Section E).
- t. Additional information regarding human subjects and/or live vertebrate animals in research activities, if applicable.

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.



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