Submitting a SBIR/STTR Phase I Proposal in FastLane

The Phase I SBIR solicitation and STTR solicitation explain what information should go into the proposal. The following steps will walk through the process of submitting a proposal into FastLane, NSF’s electronic submission system. Remember to submit your proposal early. Fastlane will not accept proposals after 5:00 pm (submitter’s time as registered in FastLane).

ADA & 508 Compliance Assistance - Please Call the FastLane Help Desk at 1-800-673-6188.

1. Application Overview

Do you have the required registrations?

Complete four required registrations as you begin putting a proposal together. It is imperative that you register your company and enter all information identically in all systems to avoid processing delays later.

- Dun and Bradstreet Data Universal Numbering System (DUNS)
- System for Award Management (SAM)
- Small Business Administration (SBA) Company Registry
- NSF FastLane - register company and Principal Investigator (PI)

Formatting Instructions

As a reminder, any documents uploaded into FastLane should follow the formatting rules:

- Arial, Courier New, or Palatino Linotype at a font size 10 or larger should be used; or
- Times New Roman or Computer Modern fonts at a font size of 12 points or larger.
- Proposals formatted with multiple columns are not accepted.

Create Proposal

Select the Proposal, Awards & Status link on the top (blue) menu bar.
Fill in Log In information in the "PI/CO-PI Log In" box on the right side of the screen.

Note: The Principal Investigator (PI) for the proposed Phase I project MUST login and prepare the proposal.
On the Proposal Functions screen, click “Proposal Preparation”.

On the Principal Investigator (PI) Information screen, check the PI information for accuracy. You may choose to update or edit the PI information by selecting the “Edit PI Information” button. You cannot change the PI here. Once finished, click the “Prepare Proposal” button.

Once you select to prepare your proposal, the “Proposal Actions” screen appears. Scroll down past the Temporary Proposals in Progress section to the Create New Proposal section at the bottom, and click on the “SBIR Phase I” or “STTR Phase I” button.
2. Form Preparation

At the top of the Form Preparation page will be the text Forms for Temp Proposal # - this number will be used as a reference throughout the preparation process. When your FastLane Contact/SPO finally submits your proposal to NSF, your proposal will be assigned an official NSF proposal number, the first two digits of which will match the fiscal year in which the proposal was submitted (e.g. proposals submitted between October 1, 2016 and September 30, 2017 will be numbered 17xxxx). This official proposal number should be used in all further communications with NSF.

Cover Sheet

Click on the “GO” button to the left of “Cover Sheet”.

The Cover Sheet has been divided into 4 sections. To complete the Cover Sheet you must complete all 4 sections. The first Cover Sheet “GO” Button is "Awardee Organization/Primary Place of Performance Selection"

Awardee Organization

The Awardee Organization information is pre-populated from the PI information. Click on the "Add/Change Primary Place of Performance" button to make necessary updates.
STTR proposals should click "Add/Change Primary Place of Performance" and enter data for the mandatory sub-awardee research institution.

- SBIR proposers may select a sub-awardee research organization (if applicable) for the Primary Place of Performance, or should select "Same as Awardee Organization".

When inputting an address for the "Primary Place of Performance", you must include the nine-digit zip code. (Proposers are advised to use the United States Postal Service website to look up their nine-digit zip code at www.usps.com)

After the Primary Place of Performance is identified, click "Save Primary Place of Performance".

After saving, click "Go Back" on the "Add/Change Primary Place of Performance" and the "Institutions for this Proposal" page to return to the Cover Sheets Components Form.

The second Cover Sheet "GO" Button is "Program Announcement / Solicitation / Program Description".

The third Cover Sheet "GO" Button is "NSF Unit Consideration".
"Title of Proposed Project": The system has already been programmed for each title to begin with **SBIR Phase I:** or **STTR Phase I:** *Please do include two spaces after the colon before typing the project title.*

* Please do not use acronyms in the proposal title.

"Budget and Duration Information": Three items are requested.

- **Requested Amount:** Enter the requested amount of funds. (SBIR and STTR Phase I budgets cannot exceed $225,000. The requested amount on the Cover Page should match the total funds requested in the budget.)

- **Proposal Duration:** Enter the proposed duration of the project in months (between 6 and 12 months).

- **Requested Starting Date:** For deadline dates in June, enter the following January 1st. For deadline dates in December, enter the following July 1st.
"Announcement and Consideration Information", "Principal Investigator (PI) Information" and "Co-Principal Investigator (Co-PI) Information": These sections will automatically populate.

"Previous NSF Award": Do not check the box. Preliminary proposals are not accepted by the SBIR/STTR Program.

"Other Federal Agencies": Provide a listing of all other Federal agencies to which you have submitted, or plan to submit, this proposal.
**Awardee Organization Information**: This section has your Organization Name, Address, and Organization Code (this is a code assigned by NSF to your organization). All of this information should be pre-populated. The company's Employer Identification Number (EIN) and Taxpayer Identification Number (TIN) must be provided. Under the "Check all that apply to the Awardee Organization (see GPG for Definitions)" you should always check the following two boxes:

- For Profit
- Small Business

Check the appropriate box(s) if your company is a Minority or Woman-Owned Business.

**Primary Place of Performance**: This section will automatically populate.

**Other Information**: Check the appropriate box(s) that are applicable to your proposal.

**Funding Mechanism**: Select "Research - other than RAPID or EAGER"
“Collaborative Status”: Select “Not a collaborative proposal”. Note: The inclusion of a subaward to a university does not make this a ‘collaborative’ proposal. The SBIR/STTR Program does not accept collaborative proposals. The small business must upload all required budgets and subaward files into their single proposal submission.

“Small Business Innovation Research”: Select the appropriate topic from the drop down box and type in the appropriate subtopic (reference solicitation).

“Company Officer Information (For Business and Financial Matters)”, “Other Information”, “Affiliated Companies”, “Research Institution Investigator” and “Proprietary Notice”: Fill in all requested information.

NOTE: If the PI responds “YES” to the question "It has received Phase II awards from the Federal Government", the company’s Company Commercialization History must be provided in the Supplementary Documents module of the proposal or the entire proposal will be Returned Without Review. The Commercialization History must be submitted on the NSF template: https://www.nsf.gov/eng/iip/sbir/Forms/index.jsp.
Debarment and Suspension Certification and Authorized Representative: Read each section carefully, answer question(s) and provide any additional information (if applicable). Click "OK" and then select "Go Back" to return to the "Form Preparation" screen.

Add/Delete Non Co-PI Personnel

Click on the "Go" button to the left of "Add/Delete Non Co-PI Senior Personnel":

Click "Add Non Co-PI Senior Person to Proposal" after inputting the First Name, Middle Initial and Last Name of each person.

For the SBIR/STTR Program, senior personnel are individuals with critical expertise who will be working on the project and are employed at the proposing
company or at a subaward institution. The company should upload a Bio Sketch and Current & Pending Support form (see relevant sections later in this document) for each person included as Senior Personnel.

After adding all participants, click "Go Back" until you return to the "Form Preparation" screen.
References Cited

Click on the "Go" button to the left of "References Cited":

Provide a comprehensive listing of relevant references in this module. You can directly enter the references into the text box or you can transfer a file. It is recommended that you do the file transfer.

All proposals must have something in the References Cited section. If you do not have any references to cite, put a statement to that effect into this module.

When this section is completed, click "Go Back" to return to the "Form Preparation" screen.

Follow the instructions on the below screen, then click "Upload File" to upload document. Click "Go Back" until you return to the "Form Preparation" screen.

Budget

Click on the "Go" button to left of "Budgets (Including Justification)":
The budget should reflect the needs of the proposed R&D project.

The Project Budget Screen will appear. The company name should be highlighted; then Click on the "Add Year" button.

<table>
<thead>
<tr>
<th>Organization</th>
<th>Project Budget</th>
<th>Amount</th>
<th>Delete</th>
<th>Last Mod. Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Production</td>
<td>Add Year Budget Justification</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Add Another Organization</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Funds

Click on the "Funds" hyperlink (under the Year heading).

<table>
<thead>
<tr>
<th>Organization</th>
<th>Project Budget</th>
<th>Amount</th>
<th>Delete</th>
<th>Last Mod. Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Institution</td>
<td>Add Year Budget Justification</td>
<td>1 Funds - Percent</td>
<td>$0</td>
<td>Jan-17-2011 12:20:01</td>
</tr>
<tr>
<td>Add Another Organization</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

IMPORTANT: To avoid budget reductions, NSF strongly advises you to visit the Department of Labor/Bureau of Labor Statistics website to determine the allowed pay scale for each budgeted position. In general, unless your company has other significant internal revenue sources, as well as recent payroll records showing a precedent for the requested salary, the NSF will not allow budgeted salaries in excess of the median salary for the same job title in the same geographical area. Click here to search for your city/state data. If your city is not listed, click here and use your state data. Remember that direct salaries and wages requested in an NSF SBIR/STTR budget are permitted only for work on R&D tasks.

In most cases, every employee listed in line A or B of the budget should fall under one of the following four occupational groups:

- Management Occupations (11-0000)
- Computer and Mathematical Occupations (15-0000)
- Architecture and Engineering Occupations (17-0000)
- Life, Physical, and Social Science Occupations (19-0000)

Click here for detailed salary survey guidance

A. Senior Personnel section: Click the "Add/Remove Senior Personnel" button.
Check the box(s) for the "Senior Personnel" to be included on the budget and then click "Save" to return to the "Year 1 Budget" screen.

Provide the number of CALENDAR months and proposed cost for all "Senior Personnel"; then click "Calculate". You must enter information into the Calendar Months field on each line for which funds are requested.

B. Other Personnel section: Provide all applicable information on personnel in the categories listed. Provide the number of CALENDAR months and proposed cost for all "Other Personnel"; then click "Calculate".

- Provide names and titles of all personnel in the budget justification, as well as a clear description of their responsibilities in the project. Note: If you proposed new employees that are yet to be hired, simply list that position as a "potential hire" and proceed with the balance of the information as if they were already in your organization.)
The small business concern should NOT budget any personnel or funds for "Post-Doctoral Scholars", "Graduate Students" or "Undergraduate Students".

In the Budget Justification, please include the actual annual salary information that justifies the calculation of the amounts requested (which should match the line item in the Budget) for all personnel in the project.

C. Fringe Benefits section: Provide the estimated amount of fringe benefits for Senior Personnel and Other Personnel; then click "Calculate". It is recommended that proposers allot funds for fringe benefits here ONLY if the proposer's usual (established) accounting practices provide that fringe benefits be treated as direct costs. Otherwise, fringe benefits should be included in Line I, Indirect costs. (Line I + Line C) should not be more than 150% of (Line A + Line B).

D. Equipment section: No purchases of equipment are permitted in an NSF SBIR Phase I project; this section should be left blank.

E. Travel section: One trip per year is required for attending the SBIR/STTR Phase I Grantees Workshop. A realistic estimate is $2,000 per person. Travel in Phase I is only permitted if it is necessary for the completion of the project R&D activities. Foreign travel is NOT permitted. In Phase I, NSF funds are NOT permitted to be budgeted for travel to conferences and trade shows. After inputting the appropriate dollar amount, click "Calculate".

F. Participant Support Costs section: SBIR/STTR Phase I proposals do not use this budget line item; this section should be left blank.

G. Other Direct Costs section: Provide a dollar amount for the following line items; then click "Calculate".

- G.1. Materials and Supplies
- G.2. Publication Costs/Documentation/distrib (generally not allowed in SBIR/STTR Phase I)
G.3. Consultant Services
G.4. Computer (ADPE) Services
G.5. Subcontracts - a separate budget is REQUIRED for each subcontractor; the total amount of all these subcontracts should be entered here. (In the small business concern’s Budget Justification, please include a few sentences describing the scope and objective of the subaward.)
G.6. Other

### G. Other Direct Costs

<table>
<thead>
<tr>
<th>Description</th>
<th>Funds Requested By Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Materials and Supplies</td>
<td>0</td>
</tr>
<tr>
<td>2. Publication Costs/Documentation/Travel</td>
<td>0</td>
</tr>
<tr>
<td>3. Consultant Services</td>
<td>0</td>
</tr>
<tr>
<td>4. Computer (ADPE) Services</td>
<td>0</td>
</tr>
<tr>
<td>5. Subcontracts</td>
<td>0</td>
</tr>
<tr>
<td>6. Other</td>
<td>0</td>
</tr>
</tbody>
</table>

Total Other Direct Costs: $0

### H. Total Direct Costs section: Click "Calculate" and the total of items A through G will update.

### I. Indirect Costs section: The budgeted indirect costs must be in line with your organization’s past actual spending patterns. Note that the total sum of requested Indirect Costs (line I) plus Fringe Benefits (line C) cannot exceed 150% of the total Direct Labor Costs (line A + line B). Enter the requested amount, then click "Calculate".

<table>
<thead>
<tr>
<th>Indirect Cost Item</th>
<th>Rate %</th>
<th>Base</th>
<th>Funds Requested By Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Salaries and Wages</td>
<td>200</td>
<td>90000</td>
<td>19000</td>
</tr>
</tbody>
</table>

Total Indirect Costs: $19000

### J. Total Direct and Indirect Costs section: Click "Calculate" and the total of items H and I will update.

### K. Small business fee section: The "Small business fee" line is used to request a fee (profit) for the small business. If requested, the maximum amount of this profit must not exceed 7% of line item J. Click "Calculate" to update the amount.
L. Total Cost and Fee section: After all applicable line items have been inputted into your budget, click "Calculate and Save"; then click "Go Back" to return to the "Project Budget" screen.

L. Total Cost and Fee

The cumulative budget will auto-populate after the completion of the "Year 1" and, if applicable, the subawardee budget.

IMPORTANT NOTE - All non-zero budget line items MUST be explained in the budget justification. Additionally, letters of commitment from any consultants should also be included as part of the budget justification. See section 9.f.3 of the solicitation for more details.

12a. Budget Justification section: To complete the budget justification page, click on the "Budget Justification" hyperlink under your company name.

After cutting and pasting/typing details in text box, click "Save Text" and then "Go Back" to return to the "Project Budget" screen.

Then, follow the instructions on the below screen and click "Upload File" to upload document. Once the budget justification is complete, click "Go Back" until you return to the "Form Preparation" screen or until you return to the "Project Budget" screen to add a subawardee.
Subawardee Budget

12b. Subawardee Budget section: Click "Add Another Organization" if a subawardee budget is required.

To add the organization to the budget, complete a search by the organization's name or DUNS number.

Highlight the appropriate organization from the results that appear in the box; then click "Select".

Note: The organization needs to be registered with NSF if it does not appear in the list. Call the FastLane Help Desk at 800-673-6188 for assistance with this process.

Highlight the subawardee PI from the listing of "Senior Personnel" participants that were added earlier in the process, then click "Select".
Return to the "Project Budget" screen and follow the previous instructions for adding the below data to the subawardee budget and budget justification when applicable. (Note: Subaward budget cannot include funds for "Permanent Equipment", "Participant Support Costs", or "Small business fee").

- Years
- Senior Personnel/Other Personnel
- Fringe Benefits
- Travel
- Other Direct Costs
- Total Direct Costs
- Indirect Costs
- Total Direct and Indirect Costs
- Total Cost and Small business fee

* When applicable, provide quotes, price lists etc. (same as the main budget) in the budget justification. Do not upload quotes to the Supplementary Documents module.

After completing all budget requirements, click "Go Back" to return to the "Form Preparation" screen.

In most cases, every employee listed in line A or B of the budget should fall under one of the following four occupational groups:

- Management Occupations (11-0000)
- Computer and Mathematical Occupations (15-0000)
- Architecture and Engineering Occupations (17-0000)
- Life, Physical, and Social Science Occupations (19-0000)

Click here for detailed salary survey guidance.

Samples

PLEASE REVIEW THE SAMPLE BUDGETS AND BUDGET JUSTIFICATIONS BELOW

These sample budgets provide you with the level of detail NSF requires for all SBIR/STTR proposals. Too much information is always better than not enough. If you have questions regarding the budget preparation call the cognizant Program Director for guidance and clarification.

Sample budget populated as PDF:
### SUMMARY PROPOSAL BUDGET

**YEAR 1**

**ORGANIZATION**

<table>
<thead>
<tr>
<th>Test Institution</th>
<th>PROPOSAL NO.</th>
<th>DURATION (months)</th>
<th>AWARD NO.</th>
</tr>
</thead>
</table>

**PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR**

Jane Smith

**JUPP/D, Co-PIs, Faculty and Other Senior Associates**

<table>
<thead>
<tr>
<th>Name and Title</th>
<th>Full-Time Equivalent</th>
<th>CAL</th>
<th>ACAD</th>
<th>SUMR</th>
<th>Funds Requested by Proposal</th>
<th>Funds Granted by NSF (if different)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jane Smith - Chief Technical Officer</td>
<td>4.00</td>
<td>0.00</td>
<td>0.00</td>
<td>32,000</td>
<td>32,000</td>
<td>32,000</td>
</tr>
<tr>
<td>John Doe - Senior Engineer</td>
<td>4.00</td>
<td>0.00</td>
<td>0.00</td>
<td>25,000</td>
<td>25,000</td>
<td>25,000</td>
</tr>
</tbody>
</table>

**TOTAL SENIOR PERSONNEL (1-5)**

6.00 | 0.00 | 0.00 | 57,000 |

**B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)**

| ( ) POST DOCTORAL SCHOLARS | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 | 0.00 |
| ( ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.) | 10.00 | 0.00 | 0.00 | 38,000 |
| ( ) GRADUATE STUDENTS | 0.00 | 0.00 | 0.00 | 0.00 |
| ( ) UNDERGRADUATE STUDENTS | 0.00 | 0.00 | 0.00 | 0.00 |
| ( ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY) | 0.00 | 0.00 | 0.00 | 0.00 |
| ( ) OTHER | 0.00 | 0.00 | 0.00 | 0.00 |

**TOTAL SALARIES AND WAGES (A + B)**

95,000

**C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)**

19,000

**TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)**

114,000

**D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING $5,000.)**

TOTAL EQUIPMENT

0

**E. TRAVEL**

| ( ) DOMESTIC (INCL. U.S. POSSESSIONS) | 4,000 |
| ( ) INTERNATIONAL | 0.00 |

**F. PARTICIPANT SUPPORT COSTS**

| ( ) STIPENDS | 0.00 |
| ( ) TRAVEL | 0.00 |
| ( ) SUBSISTENCE | 0.00 |
| ( ) OTHER | 0.00 |

**G. OTHER DIRECT COSTS**

| ( ) MATERIALS AND SUPPLIES | 10,000 |
| ( ) PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION | 0.00 |
| ( ) CONSULTANT SERVICES | 0.00 |
| ( ) COMPUTER SERVICES | 0.00 |
| ( ) SUBAWARDS | 40,000 |
| ( ) OTHER | 2,000 |

**TOTAL OTHER DIRECT COSTS**

72,000

**H. TOTAL DIRECT COSTS (A THROUGH G)**

190,000

**I. INDIRECT COSTS (F&A)(SPECIFY RATE AND BASE)**

| ( ) TOTAL SALARIES AND WAGES (Rate: 20.0000, Base: 95000) | 19,000 |
| ( ) TOTAL INDIRECT COSTS (F&A) | 209,000 |

**J. TOTAL DIRECT AND INDIRECT COSTS (H + I)**

223,000

**K. SMALL BUSINESS FEE (IF REQUESTED MAXIMUM = 7% OF J)**

14,600

**L. TOTAL COST AND FEE (J + K)**

237,600

**PI/PD NAME**

Jane Smith

**FOR NSF USE ONLY**

**INCENTIVE COST RATE VERIFICATION**

Data Checked: Date of Rate Sheet: Totals - ORIG:

**1** ELECTRONIC SIGNATURES REQUIRED ONLY FOR REVISED BUDGET
**SUMMARY PROPOSAL BUDGET**

<table>
<thead>
<tr>
<th>ORGANIZATION</th>
<th>PROPOSAL NO.</th>
<th>DURATION (months)</th>
<th>FOR NSF USE ONLY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Institution</td>
<td>AWARD NO.</td>
<td>Proposed</td>
<td>Granted</td>
</tr>
<tr>
<td>PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR</td>
<td>Jane Smith</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**A. SENIOR PERSONNEL: P.I./D, Co-PIs, Faculty and Other Senior Associates**

<table>
<thead>
<tr>
<th></th>
<th>CAL</th>
<th>ACAD</th>
<th>SUMR</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Jane Smith - Chief Technical Officer</td>
<td>4.00</td>
<td>0.00</td>
<td>0.00</td>
<td>32,000</td>
<td></td>
</tr>
<tr>
<td>2. John Doe - Senior Engineer</td>
<td>4.00</td>
<td>0.00</td>
<td>0.00</td>
<td>25,000</td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
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<tr>
<td>4.</td>
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<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. ( ) OTHERS (LIST INDIVIDUALLY ON BUDGET JUSTIFICATION PAGE)</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>7. ( ) TOTAL SENIOR PERSONNEL</td>
<td>8.00</td>
<td>0.00</td>
<td>0.00</td>
<td>57,000</td>
<td></td>
</tr>
</tbody>
</table>

**B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)**

<table>
<thead>
<tr>
<th></th>
<th>CAL</th>
<th>ACAD</th>
<th>SUMR</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. ( ) POST DOCTORAL SCHOLARS</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>2. ( ) OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)</td>
<td>10.00</td>
<td>0.00</td>
<td>0.00</td>
<td>30,000</td>
<td></td>
</tr>
<tr>
<td>3. ( ) GRADUATE STUDENTS</td>
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<td>0</td>
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<tr>
<td>4. ( ) UNDERGRADUATE STUDENTS</td>
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<td>0</td>
<td></td>
</tr>
<tr>
<td>5. ( ) SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY)</td>
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<td></td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>6. ( ) OTHER</td>
<td></td>
<td></td>
<td></td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>TOTAL SALARIES AND WAGES (A + B)</td>
<td></td>
<td></td>
<td></td>
<td>95,000</td>
<td></td>
</tr>
</tbody>
</table>

**C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)**

<table>
<thead>
<tr>
<th></th>
<th>CAL</th>
<th>ACAD</th>
<th>SUMR</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A + B + C)</td>
<td></td>
<td></td>
<td></td>
<td>114,000</td>
<td></td>
</tr>
</tbody>
</table>

**D. EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING $5,000.)**

<p>| | | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
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<tbody>
<tr>
<td>TOTAL EQUIPMENT</td>
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</tr>
</tbody>
</table>

**E. TRAVEL**

<table>
<thead>
<tr>
<th></th>
<th>CAL</th>
<th>ACAD</th>
<th>SUMR</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. DOMESTIC (INCL. U.S. POSSESSIONS)</td>
<td>4.00</td>
<td></td>
<td></td>
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<tr>
<td>2. INTERNATIONAL</td>
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**F. PARTICIPANT SUPPORT COSTS**

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<tr>
<td>1. STIPENDS</td>
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<td>2. TRAVEL</td>
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<td>3. SUBSISTENCE</td>
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<tr>
<td>4. OTHER</td>
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<tr>
<td>( ) TOTAL PARTICIPANT COSTS</td>
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**G. OTHER DIRECT COSTS**

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<td>1. MATERIALS AND SUPPLIES</td>
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<td>3. CONSULTANT SERVICES</td>
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<tr>
<td>4. COMPUTER SERVICES</td>
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<td>5. SUBAWARDS</td>
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<td>6. OTHER</td>
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<td>TOTAL OTHER DIRECT COSTS</td>
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**H. TOTAL DIRECT COSTS (A THROUGH G)**

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**I. INDIRECT COSTS (F&A) SPECIFY RATE AND BASE**

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<td>TOTAL INDIRECT COSTS (F&amp;A)</td>
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**J. TOTAL DIRECT AND INDIRECT COSTS (H + I)**

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<td>209,000</td>
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**K. SMALL BUSINESS FEE (IF REQUESTED: MAXIMUM = 7% OF J)**

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<td>14,630</td>
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**L. TOTAL COST AND FEE (J + K)**

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<td>223,630</td>
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**PI/PD NAME**

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</thead>
<tbody>
<tr>
<td>Jane Smith</td>
<td></td>
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**FOR NSF USE ONLY**

<table>
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<tbody>
<tr>
<td>INDIRECT COST RATE VERIFICATION</td>
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**ORG. REP. NAME**

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<tbody>
<tr>
<td></td>
<td>Date Checked</td>
<td>Date Of Rate Sheet</td>
<td>Initials - ORS</td>
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</table>
Sample Budget Justification:

A.1 Senior Personnel
Dr. Jane Smith, Chief Technical Officer, will work two person-months on the project (line A.1) at an hourly rate of $48/hr. 2 months * 173.33hrs/month * $48/hr = $16,640.

B. Other Personnel
Three other personnel will work on the project (line B.2).

An electrical engineer, Mr. Michael Jones, will spend four months of effort building the prototype amplifier circuitry, at a rate of $24/hour. 4 months * 173.33hrs/month * $24/hr = $16,640.

Two technicians will spend a total of three months each doing electrical and mechanical characterization, respectively, at a rate of $18/hour. 6 months * 173.33hrs/month * $18/hr = $18,720.

C. Fringe Benefits
Fringe benefits are requested to cover medical, dental, and vision coverage for employees. The fringe benefits rate, based on company records, is 20% of direct labor costs. Therefore, requested fringe benefits are 0.20 * $52,000 (total direct labor) = $10,400.

E. Travel
Dr. Smith and Mr. Jones will travel to the Grantees Workshop, at an estimated cost of $2,000 per person. Total cost for this trip is $4,000. Dr. Smith will also make one two-day trip to visit collaborators at Brown University. This trip will include round-trip airfare ($400), two nights at a hotel ($300), meals ($80), and a rental car ($150). Total cost for this trip is $930. Total budgeted travel is $4,930.

G.1. Materials and Supplies
The following is a list of materials and supplies to purchase, with quantity, unit cost, and total cost. Items with a total line item cost over $5,000 have quotes or pricing documentation included as separate pages in this budget justification.

Chemical precursors: $150/unit, 20 units, $3,000.
Specialized alloys: $600/kg, 10 kg, $6,000.
Temperature sensors: $250/unit, 8 units, $2,000.

Total budgeted materials and supplies is $11,000.

G.3. Consultant Services
Dr. I. D. Snow will be our consultant. She will work for a total of ten days (80 hours/8 hours per day) at the maximum consultant rate of $600/day. Total requested costs are $6,000. A copy of the signed commitment letter from Dr. Snow is included with this budget justification.

G.5. Subawards
One subaward has been reached with Brown University. A signed letter of commitment from the subaward lead, Dr. Fred Johnson, is included in the proposal package. A full subaward budget and budget justification is also included with the proposal (see below). The total subaward amount is $35,000.

G.6 Other
ABC Machining will manufacture two sample holders, requiring an estimated 20 hours of effort. The rate for this service is $75/hour. Total cost is 20 * $75 = $1,500. We will also pay for use of electron microscopes at Purdue University, with a total of 10 hours budgeted. The cost for outside industrial users (see attached price list) is $200/hour, for a total cost of $2,000. Total "other" costs are $3,500.

I. Indirect Costs
The indirect rate for this project is 40% of total salaries and wages, for a total of $52,000 * 40% = $20,800.

K. Fee
The fee is calculated as 4.43% of the total direct plus indirect costs (line J), or $6,370. Taking the maximum allowed fee of 7% would lead to a project budget over the $150,000 limit for Phase I.
Facilities, Equipment, and Other Resources

13. Click on the "Go" button to the left of "Facilities, Equipment, and Other Resources": Upload a document that addresses the requirements from the solicitation.

A Facilities, Equipment and Other Resources document is required for all proposals to NSF. If your proposed project does not require any facilities, equipment or other resources - please include a statement to that effect in this module.

Follow the instructions on the below screen, then click "Upload File" to upload document. Click “Go Back” until you return to the “Form Preparation” screen.

Project Summary

Follow the instructions on the below screen, then click "Upload File" to upload document. Click “Go Back” until you return to the “Form Preparation” screen.

Type the "Project Summary" in the provided text boxes. The aggregate of the three text boxes cannot exceed 4,600 characters, including spaces. The maximum number of lines that may be included on a page is 51. When this section is completed, click "Save" and then "OK" to return to the “Form Preparation” screen. Information MUST be entered into all three text boxes, or the proposal will not be accepted.

DO NOT CHECK THE BOX TO ENTER YOUR PROJECT SUMMARY AS A SUPPLEMENTARY DOCUMENT.
Project Description

15. Click on the “Go” button to the left of “Project Description”:

The Project Description must include all required sections as outlined in the solicitation. The Project Description (complete file) cannot exceed 15 pages or the proposal will be Returned Without Review. Do not include References Cited at the end of the Project Description. There is a separate module to indicate references.

Follow the instructions on the below screen, then click “Upload File” to upload the document. Click “Go Back” until you return to the “Form Preparation” screen.

Biographical Sketches

16. Click on the “Go” button to the left of “Biographical Sketches”:

Biographical sketches or resumes for all individuals described as senior personnel are required. Senior personnel are individuals with critical expertise who will be working on the project and are employed at the proposing company or at a subaward institution. Bio sketches are not to exceed two pages per person and should address the requirements in the solicitation.
Click "Go" beside the appropriate person's name to upload their biographical sketch. Biographical sketches may be uploaded individually or as one file (under the PI).

Type/Upload the "Biographical Sketch" in the below text box. When this section is completed, click "Go Back" to return to the "Form Preparation" screen.

Follow the instructions on the below screen, then click "Upload File" to upload document. Click "Go Back" until you return to the "Form Preparation" screen.

Current and Pending Support

17. Click on the "Go" button to the left of "Current & Pending Support":

Use the NSF Current & Pending Support form provided by FastLane. A form must be submitted for the PI (and co-PI for STTR) as well as any senior personnel.

NSF considers the Phase I proposal being submitted as "Pending Support". Therefore, ALL proposals to NSF must have at least one entry in the "Current & Pending Support" form for the PI and senior personnel (this proposal).
Click the radio button beside the appropriate person's name and then click "New Form" to upload their Current & Pending Support.

Fill in all the required information, click "Save Text" and then "Go Back" until you return to the "Form Preparation" screen.

Follow the instructions on the below screen, then click "Upload File" to upload the document. Click "Go Back" until you return to the "Form Preparation" screen.

Data Management Plan
18. Click on the "Go" button to the left of "Data Management Plan":

Proposals must contain a supplementary document labeled "Data Management Plan" which can simply consist of the statement, "All data generated in this SBIR (or STTR) Phase I project is considered proprietary."

Follow the instructions on the below screen, then click "Upload File" to upload the document. Click "Go Back" until you return to the "Form Preparation" screen.

Mentoring Plan

19. Click on the "Go" button to the left of "Mentoring Plan":

If the SBIR or STTR project will include a sub-award to an academic institution, and that institution is requesting funding for postdoctoral researchers, a "Post Doc Mentoring Plan" must be included as a supplementary document in this proposal. Otherwise, you may skip this section. Note that employees of the small business or other for-profit companies DO NOT count as postdocs, as they relate to this requirement, and should not be budgeted on line B.1.

Please consult the solicitation for more information and a sample mentoring plan.

Follow the instructions on the below screen, then click "Upload File" to upload the document. Click "Go Back" until you return to the "Form Preparation" screen.
19. Click on the "Go" button to the left of "Other Supplementary Docs":

Reference the current solicitation for restrictions and explanations of what NSF requires and what NSF allows in the Supplementary Documents. Items beyond those specifically requested and permitted should not be included. You are encouraged to compile and convert all of your Supplementary Documents into a single PDF file and upload using the "Transfer File" button below.

Type/Upload your necessary information in the below text box. When this section is completed, click "Go Back" to return to the "Proposal Actions" screen.

Follow the instructions on the below screen, then click "Upload File" to upload document. Click "Go Back" until you return to the "Proposal Actions" screen.
3. Proposal Submission

Print Proposal

If you have completed all the above actions you are now ready to submit your proposal. If you want to print out your proposal before moving to the submission and printing section below, return to the "Proposal Actions" screen and click on the "Print" button. This will allow you to have a hard copy of what you have entered into FastLane. (The printed proposal is not your official proposal). Note that only those persons listed as official Sponsored Research Officers (SROs) have the ability to complete submission of the proposal to NSF.

-If you have SRO Access Rights, you can click the "Submit SBIR" or "Submit STTR" button and the proposal will be submitted to NSF. You will receive a confirmation email with the new NSF Proposal ID.
-If you do not see the "Submit SBIR" or "Submit STTR" button on the "Proposal Action" screen, you do not have the FastLane SRO Access Rights and should follow the directions below.

Submitting a proposal to NSF involves two steps in the Research Administration portal:

-Submitting the proposal to NSF
-Electronically signing the proposal

Allow SRO Access

1. To begin the submission process, return to the Proposal Actions screen; select and highlight the proposal you wish to submit and click on the button "Allow SPO Access".

In step 2. At this point, FastLane may notify you of some warnings and/or errors related to the proposal. "Errors" will prevent you from submitting the proposal until they are remedied. You will receive an "error" if modules or required documents are missing that must be included per NSF policy. Proposers are strongly encouraged to submit their proposal early (days, not hours) to ensure adequate time is afforded to troubleshoot any errors that will prevent submission at this stage. FastLane will not accept any proposals after 5:00 pm (submitter's time zone as registered in FastLane).

FastLane may also give you "warnings" that do not prevent proposal submission, but could indicate missing items that are required by the solicitation. Please be sure to review and address these warnings in the context of the specific solicitation requirements.
When you are ready to continue, click "Proceed" to continue the submission process.

3. If you are ready to complete the submission process, select the third "Go" button for "Allow AOR to view, edit and submit proposal."

4. Then click the "OK" button on the below screen.

SRO Access Steps

At this point, the Sponsored Research Officer (SRO) has to take the following steps to submit the proposal to NSF.

1. Go to the FastLane Home Page and select the "Research Administration" link.

2. The authorized organizational representative will be asked to provide the following Log-in information: - Last Name
   - NSF ID
   - Password
3. Click “Proposals/Supplements/File Updates/Withdrawals”. The screen displays on the Documents in Progress tab.

4. Click “Submit” in the row for the proposal you want to submit.

5. The “Proposal Errors/Warnings” screen gives you the capability to submit the proposal, if there are no errors that prevent submission. Warnings will not prevent submission, but may alert you to missing items that are required by the specific program or solicitation. You are urged to address and correct these issues.
Submit Proposal

5. There are two options at this point: Submit and Sign the Proposal or Submit the Proposal Only. The steps below are for the Submit and Sign the Proposal option. (If you are an SPO with AOR permissions, you have the capability to submit and sign the proposal. If you submit without signing, please have the AOR sign the proposal within 5 days of submission.)

5a. "Debarment and Suspension": click the radio button for “Yes or No” if there are any debarments or suspensions of you or of your organization from transactions with federal agencies. (If you answered Yes, provide an explanation in the text box.)

5b. **Institution Information**: Check the accuracy of your organization's information, then click “Sign and Submit”.

5c. **Proposal Submission Confirmation** screen: Displays a message that the proposal has been successfully submitted to NSF. It also displays the official NSF proposal number which has been assigned.
   - Write down the NSF proposal number
   - Print a copy of the Proposal Submission Confirmation screen, if desired
   - Click the "OK" button to return to the "Documents in Progress" tab

This is the Proposal Number you should reference in all communications with NSF regarding this proposal henceforward.

**Note:** User’s lack of familiarity with FastLane is not a valid excuse for submitting a late proposal, nor are warnings/errors received at the time of submission. Therefore, we strongly advise all submitters to ensure the proposal is submitted EARLY (days - not hours - before each deadline).