

**Form A – STTR Cover Sheet**

Proposal Number: _____ Topic Title: _____ Subtopic Title: _____ Proposal Title: _____	Subtopic No. - - - . - - - - -
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Firm Name: Mailing Address: City: State/Zip: Phone: Fax: EIN/Tax Id:	Research Institution Name: Mailing Address: City: State/Zip: Phone: Fax: EIN/Tax Id:
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ACN (Authorized Contract Negotiator) Name: ACN E-mail: ACN Phone: _____ Extension: DUNS + 4: Cage Code: Amount Requested: \$ _____ (auto-populated upon completion of Budge Form C) Duration: _____ months
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OFFEROR CERTIFIES THAT:

As described in section 2.14 of the Solicitation, the partnering Research Institution qualifies as a:																						
a. FFRDC	Yes	No																				
b. Nonprofit Research Institute	Yes	No																				
c. Nonprofit College or University	Yes	No																				
As defined in Section 3.2.4 Part 11 of the Solicitation, indicate if																						
d. Essentially equivalent work under this project has been submitted for other Federal funding	Yes	No																				
i) If yes, provide information on essentially equivalent proposal submissions below:																						
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">Proposal No.</th> <th style="width: 40%;">Proposal Title</th> <th style="width: 15%;">Date of Submission</th> <th style="width: 15%;">Soliciting Agency</th> <th style="width: 20%;">(Anticipated) Selection Announcement Date</th> </tr> </thead> <tbody> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>			Proposal No.	Proposal Title	Date of Submission	Soliciting Agency	(Anticipated) Selection Announcement Date	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____
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_____	_____	_____	_____	_____																		
e. Funding has been received for essentially equivalent work under this project by any other Federal grant, contract, or subcontract	Yes	No																				

<i>As described in Section 3 of this solicitation, the offeror meets the following requirements completely:</i>		
f. Cooperative Agreement electronically endorsed by the SBC and RI	Yes	No
g. A Signed Allocation of Rights Agreement will be available for the Contracting Officer at time of selection	Yes	No
h. All 11 parts of the technical proposal are included in part order and the page limitation is met	Yes	No
i. Subcontracts/consultants proposed? (Other than RI)	Yes	No
i) If yes, does the proposal comply with the subcontractor/consultant limitation? (Section 3.2.4 Part 9)	Yes	No
j. Government equipment or facilities required?	Yes	No
i) If yes, is a signed statement of availability enclosed in Part 8?	Yes	No
ii) If yes, is a non-STTR funding source identified in Part 8?	Yes	No
<i>In accordance with Section 5.11.9 of the Solicitation as applicable:</i>		
k. The offeror understands and shall comply with export control regulations	Yes	No
<i>In accordance with Section 5 of the Solicitation as applicable, indicate if any of the following will be used (must comply with federal regulations):</i>		
l. Human Subject	Yes	No
m. Animal Subject	Yes	No
n. Toxic Chemicals	Yes	No
o. Hazardous Materials	Yes	No
<i>As referenced in Section 1.2 of the Solicitation, indicate if the R&amp;D to be performed is related to:</i>		
p. Renewable Energy	Yes	No
q. Manufacturing	Yes	No

The SBC will perform \_\_\_ % of the work and the RI will perform \_\_\_% of the work on this project.

**I understand that providing false information is a criminal offense under Title 18 US Code, Section 1001, False Statements, as well as Title 18 US Code, Section 287, False Claims.**

ENDORSEMENT:

Corporate/Business Official: Name: Title: Phone: E-mail  Endorsed by: Date:
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**PROPRIETARY NOTICE (If Applicable, See Sections 5.5, 5.6)**

NOTICE: This data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this proposal, provided that a funding agreement is awarded to the offeror as a result of or in connection with the submission of this data, the Government shall have the right to duplicate, use or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages \_\_\_\_\_ of this proposal.

**Note: Do not mark the entire proposal as proprietary. Forms A and B (pages 1 and 2 of your proposal submission) cannot contain proprietary data. (See Section 3.2.3 of the 2011 Solicitation)**

## **Guidelines for Completing STTR Cover Sheet**

Complete Cover Sheet Form A electronically via the Proposal Submission Electronic Handbook.

Proposal Number: This number does not change. The proposal number consists of the four-digit subtopic number and four-digit system-generated number.

Topic Title: Select the topic that this proposal will address. Refer to Section 9 for topic descriptions.

Subtopic Title: Select the subtopic that this proposal will address. Refer to Section 9 for subtopic descriptions.

Proposal Title: Enter a brief, descriptive title using no more than 80 keystrokes (characters and spaces). Do not use the subtopic title. Avoid words like "development" and "study."

Firm Name: Enter the full name of the company submitting the proposal. If a joint venture, list the company chosen to negotiate and receive contracts. If the name exceeds 40 keystrokes, please abbreviate.

Research Institution Name: Enter the full name of the partnering Research Institution.

Mailing Address: Must match CCR address and should be the address where mail is received.

City, State, Zip: City, 2-letter State designation (i.e. TX for Texas), 9-digit Zip code (i.e. 20705-3106)

Phone, Fax: Number including area code

EIN/Tax ID: Employer Identification Number/Taxpayer ID

ACN Name: Enter the name of the Authorized Contract Negotiator from your firm

ACN E-mail: Email address

ACN Phone, Ext.: Number including area code and extension (if applicable)

DUNS + 4: 9-digit Data Universal Number System; a 4-digit suffix is also required if owned by a parent concern. For information on obtaining a DUNS number go to <http://www.dnb.com>.

CAGE Code: Commercial Government and Entity Code that is issued by the Central Contractor Registration (CCR). For information on obtaining a CAGE Code, go to <http://www.ccr.gov>.

Amount Requested: Proposal amount auto-populated from Budget Summary. The amount requested should not exceed \$125,000 (see Sections 1.4, 5.1.1).

Duration: Proposed duration in months. The requested duration should not exceed 12 months (see Sections 1.4, 5.1.1).

Certifications: Answer Yes or No as applicable for certifications a – m (see the referenced sections for definitions). Where applicable, SBCs should make sure that their certifications on Form A agree with the content of their technical proposal.

- a-c. Indicate whether the Research Institution (RI) qualifies as a FFRDC, Nonprofit Research Institution, or a Nonprofit College/University. (Only one of these should be marked as "Yes").
- d. If essentially equivalent work under this project has been submitted to other Federal Agencies/programs for funding, then the SBC must provide the proposal number, proposal title, date of submission, and soliciting agency. The selection announcement date should also be provided if known.
- e. It is unlawful to enter into federally funded agreements requiring essentially equivalent work. By answering "No" the SBC confirms that work under this project has not been funded under any other Federal grant, contract or subcontract.
- f. The Cooperative Agreement electronically endorsed by the authorized SBC Official and RI Official. Refer to Section 3.2.5 of the Solicitation. Note: Endorsement is performed via the "Endorsement" link located in the Activity Worksheet for each proposal.

- g. Following the Selection Announcement for negotiation, the offeror must provide to the Contracting Officer, a completed Allocation of Rights Agreement (ARA). The ARA shall state the allocation of intellectual property rights with respect to the proposed STTR activity and planned follow-on research, development and/or commercialization. See Section 3.2.11 of the Solicitation.
- h. As stated in section 3.2 of the Solicitation, the technical proposal must not exceed the 25-page limitation and must consist of all eleven (11) required parts.
- i. By answering “Yes”, the SBC certifies that subcontracts/consultants have been proposed and arrangements have been made to perform on the contract, if awarded.
  - i) Proposed subcontractor/consultant business arrangements must not exceed 30 percent of the research and/or analytical work (as determined by the total cost of the proposed subcontracting effort (to include the appropriate OH and G&A) in comparison to the total effort (total contract price including cost sharing, if any, less profit if any). Refer to Section 3.2.4, Part 9 of the Solicitation.
- j. By answering “Yes”, the SBC certifies that unique, one-of-a-kind Government Furnished Facilities or Government Furnished Equipment are required to perform the proposed activities. By answering “No”, the SBC certifies that no such Government Furnished Facilities or Government Furnished Equipment is required to perform the proposed activities. See Section 3.2.4 Part 8 of the Solicitation.
  - i) If proposing to use Government Furnished Facilities or Equipment, a signed statement of availability must be included in Part 8 of the Technical Proposal that describes the uniqueness of the facility and its availability to the offeror at specified times, signed by the appropriate Government official.
  - ii) If “Yes,” the SBC certifies that it has a confirmed, non-SBIR funding source for whatever charges may be incurred when utilizing the required Government facility. If “No,” a waiver from the SBA is required before a proposer can use SBIR/STTR funds for Government equipment or facilities. Proposals requiring waivers must explain why the waiver is appropriate.
- k. Offerors are responsible for ensuring compliance with export control and International Traffic in Arms (ITAR) regulations. All employees who will work on this contract must be eligible under these regulations or the offeror must have in place a valid export license or technical assistance agreement. Violations of these regulations can result in criminal or civil penalties.
- l-o. Offeror must indicate by answering “Yes” or “No” as applicable if human subjects, animal subjects, toxic chemicals and/or hazardous materials will be used. SBCs must be in compliance with federal regulations. See Sections 5.13.5 5.13.6, and 5.13.7 of the Solicitation.
- p. Answer “Yes” if this proposal has a connection to energy efficiency or alternative and renewable energy. This should also be indicated in Part 5 (Related R/R&D) of the proposal with a brief explanation of how it is related to energy efficiency or alternative and renewable energy. See Section 1.2 of the Solicitation.
- q. Answer “Yes” if this proposal has a connection to manufacturing. This should also be indicated in Part 5 (Related R/R&D) of the proposal with a brief explanation of how it is related to manufacturing. See Section 1.2 of the Solicitation.

Electronic Endorsement:

Endorsement of the proposal by the Business Official certifies an understanding that providing false information is a criminal offense under Title 18 US Code, Section 1001, False Statements, as well as Title 18 US Code, Section 287, False Claims.

Electronic endorsement is performed by the authorized Business Official from the “Endorsement” link located on the Activity Worksheet for each proposal. Electronic endorsement is the final step in the proposal submission process and can only be performed when all required sections of the proposal submission are complete. Once endorsed, the name and date of endorsement will populate under the Endorsement section of the Cover Sheet Form A.