# Technical Proposal (8 pages max)

## A.1. Cover Page (1 page max)

|  |  |
| --- | --- |
| Applicant Organization Name: |  |
| UEI Number: |  |
| Taxpayer Identification Number: |  |
| Lead PI Name: | Lead PI Name, Email Address, Phone (Citizenship) |
| Contractual Point of Contact: | Name, Email Address, Phone |
| Project Name: |  |
| 1. Summary description of project being proposed |  |
| 2. Description of Federal research requirement (s) |  |
| 3. Government POC | Name, Title, Department, Agency -- Phone, Email Address |
| 4. University Team Members | Institution, Lead Contact Name, Email Address, Citizenship, UEI Number; Institution, Lead Contact Name, Email Address, Citizenship, UEI Number |
| 5. Industry Team Members | Company, Lead Contact Name, Email Address, City, State, Citizenship; Company, Lead Contact Name, Email Address, City, State, Citizenship |
| 6. Cost share listed by source (Industry, University, Other) | Source, $N,NNN,NNN |
| 7. Potential Follow-On Funding | List by organization and timing -- Funder, $N,NNN,NNN, Year: NNNN -- Funder, $N,NNN,NNN, Year: NNNN |
| 8. Funding requested by calendar year | 2025: $NNN,NNN; 2026: $NNN,NNN; 2027: $NNN,NNN Total Requested: $NNN,NNN |
| 9. New jobs created by the end of State Fiscal Year 2027 (June 30, 2027) | NNN |
| 10. Background IP contributed | (State what it is and who owns it) |
| 11. Anticipated Project IP Created | (Describe what may be generated, and how it will be protected/shared) |
| 12. Statement indicating that your firm is not debarred, suspended or proposed for debarment as the result of performance under any Federal contract, grant, or cooperative agreement | |
| 13. Prior, current, or Pending Support of Similar Proposals or Awards: (see Technical Proposal instructions) | |
| 14. Appendix 1A or 1B: include a statement of which contract applies to your firm. Primary Applicant will be bound by the terms unless an exception(s) is clearly identified in the Business and/or Cost Proposal. | |
| 15. Statement attesting that Primary Applicant has read all Appendices. | |

## A.2. Executive Summary (1 page max – does not count towards 8 pages limit)

The Executive summary is limited to 1 page that precisely describes the innovation, proposed project objectives, and commercial goals. The Executive Summary may include figures. Do not use jargon and technical language, and instead write so that a non-expert can understand the specific innovation and impact of proposed project around that innovation.

## A.3. Table of Contents

A table of contents should be located immediately after the Executive Summary.

## A.4. Glossary

Include a glossary of acronyms and abbreviations used in the proposal.

## A.5. Identification and Significance of the Problem or Opportunity

Briefly reference the specific technical problem/opportunity that will be pursued, and the Federal Partner contact and identified needs under this effort.

## A.6. Technical Objectives

Detail the specific objectives of the proposed work and describe the technical approach and methods to be used in meeting these objectives. The proposal should also include an assessment of the potential commercial application (government or non-government) for each objective.

## A.7. Milestone Identification

Include a program schedule with all key milestones identified. If options are proposed, the schedule should provide notional option start date and period of performance.

## A.8. Federal Partner Applications

Briefly describe the existing/potential Federal Partner requirement and the Federal Government potential of the project results. Identify the government agency/organization most likely to benefit from the project. State if any government agency has expressed interest in, or commitment to a Federally funded follow-on effort. This section should involve not more than one to two (1-2) paragraphs. This section should not be duplicative of information contained in the Identification and Significance of the Problem or Opportunity section. Include agency point of contact names and telephone numbers.

## A.9. Relationship with Future Research or Research and Development (R/R&D) Efforts

Please list any previous SBIR/STTR awards, including phase numbers, for this specific technology, regardless of federal agency. State the anticipated results of the proposed approach, specifically addressing plans for further development, if any. Discuss the significance of this effort in providing a basis for further development effort, if planned.

## A.10. Key Personnel

In the Technical Proposal, identify all key personnel involved in the project. Include information directly related to education, experience, and citizenship. A technical resume (maximum 5 pages) for the Principal Investigator (PI), including publications, if any, must also be included. Concise technical resumes for subcontractors and consultants, if any, are also useful.

All Primary Applicants are responsible for export control compliance, including identifying the export control classification(s) of any projects and only utilizing employees that are U.S. persons .

## A.11. Facilities/Equipment

Describe instrumentation and physical facilities necessary and available to carry out the proposed effort. Justify equipment to be purchased (detail in cost proposal). State whether proposed performance locations meet environmental laws and regulations of Federal, state, and local Governments for, but not limited to, airborne emissions, waterborne effluents, external radiation levels, outdoor noise, solid and bulk waste disposal practices, and handling and storage of toxic and hazardous materials.

## A.12. Subcontractors

Private companies, consultants, or universities, all considered herein as Subcontractors, may be involved in the project. All should be described in detail and also included in the cost proposal. **In accordance with OFRN Round 7 eligibility requirements, proposals must include a minimum of two Ohio public or private universities or colleges and one industry partner (working from a location in Ohio) each with significant contribution to the proposed effort.** Signed copies of all subcontractor letters of intent must be attached to the proposal. These letters should briefly state the contribution or expertise being provided. All Primary Applicants are responsible for export control compliance, including identifying the export control classification(s) of any projects and only utilizing employees that are U.S. persons or eligible to obtain the necessary export license to participate in the project.

## A.13. Prior, Current, or Pending Support of Similar Proposals or Awards

WARNING: While it is permissible, with proper notification, to submit identical proposals or proposals containing a significant amount of essentially equivalent work for consideration under numerous federal (or state) program announcements, it is unlawful to enter into contracts or grants requiring essentially equivalent effort. Primary Applicants must disclose any duplicate funding before award. If a proposal submitted in response to this Announcement is substantially the same as another proposal previously, currently, or in process of being funded by another Federal or State agency the company must so indicate on the Cover Page and provide the following:

1. The name and address of the federal or state agency(s) to which proposals were or will be submitted, or from which an award is expected or has been received;
2. The date of proposal submission or date of award;
3. The title of the proposal;
4. Name and title of the principal investigator for each proposal submitted or award received; and
5. Title, number, and date of Announcement(s) under which the proposal was or will be submitted, or under which an award is expected or has been received.
6. If award was received, provide the contract number.
7. Specify the applicable topics for each SBIR proposal submitted or award received.

NOTE: If this section does not apply, state in the proposal, “No prior, current, or pending support for proposed work.”

## A.14. Security

Proposers must submit a comprehensive compliance plan that addresses the following:

* 1. ITAR and EAR Compliance: A detailed plan for complying with Export Control Regulations, including ITAR and EAR, and managing foreign involvement.
  2. NIST 800-171: A plan outlining how the proposer will comply with NIST 800-171 standards for protecting CUI, including the status of current compliance and any steps needed to achieve full compliance.

## A.15. Data Rights Assertion

# Proposer Prepared Statement of Work

The SOW shall be a separate and distinct part of the proposal package, using a page break to divide it from the business proposal. The proposed SOW must contain a summary description of the technical methodology and task description in broad enough detail to provide contractual flexibility. The SOW should show subcontractor detail. Subcontract copies and supporting documents do not count against the page limit and should be submitted as an appendix. The following is the recommended format for the SOW; begin this section on a new page. **DO NOT include proprietary information in the SOW.**

1.0 – Objective: This section is intended to provide a brief overview of the specialty area. It should explain why it is being pursued and the expected outcome

2.0 – Scope: This section should provide a concise description of the work to be accomplished, including the technology area to be investigated, goals, and major milestones. However, the key elements of this section are task development and deliverables, i.e., the anticipated end result and/or product of the effort. This section must also be consistent with the information in 4.0 (below).

3.0 – Background: The proposer shall identify appropriate specifications, standards, and other documents applicable to the effort. This section includes any information, explanation, or constraints to understanding the requirements. It may include relationships to previous, current, and/or future operations. It may also include techniques previously found to be ineffective.

4.0 – Task/Technical Requirements: The detailed description of the individual tasks to accomplish the work to be performed is considered to be legally binding on the proposer. Therefore, it must be developed in an orderly progression with sufficient detail to establish overall program requirements and goals. The work effort must be segregated into major tasks and identified in separately numbered paragraphs.

# Student Experiential Engagement (SEE)

An overview of the project that outlines the purpose, expectations, innovation opportunities, team members, timeline, and budget. (**Maximum 2 pages).**

# Technical Supplement (2 pages)

### D.1. Economic Impact Metrics

This section of the Technical Proposal Supplement must address the projected economic impact metrics that are anticipated because of the project. The Primary Applicant should specifically address the following primary metrics:

* New job creation
* Federal Follow-on funding
* Creation of Spin-out companies

Job creation should be realistic and supportable. Federal follow-on funding and any other identified opportunities must include pertinent details--agency, BAA, etc. (see New Opportunities table below). The Primary Applicant should document how these projections were developed and key assumptions used in the analysis. For example, if the projections are based on capturing a particular share of the market, the Proposal should indicate the magnitude of the addressable market and the basis for the estimated market share. The Primary Applicant should report only direct impacts, not secondary or tertiary impacts derived from economic models.

Proposals may also include a description of any relevant secondary metrics, including:

* Possible Industry-sponsored research
* Papers published in journals or presented by any of the team members
* Talent recruitment to include any students/interns hired through the Student Experiential Learning process
* Enhanced national and/or international recognition which leads to further interest and potential sources of funding and collaboration.

The following tables must be completed and included in this section of Technical Proposal Supplement (add rows as needed to the New Opportunities table):

|  |  |  |
| --- | --- | --- |
|  | At Project End 2027 | By 2030 |
| New Jobs to be Created |  |  |
| Total Follow-on Funding |  |  |
| Executed License Agreements |  |  |
| New Companies Attracted to Ohio |  |  |
| New University Spinouts |  |  |
| IP Generated |  |  |
| Papers Published |  |  |
| Presentations Delivered |  |  |
| Number of Students Engaged |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| New Opportunities/ Investments | Amount | Type (BAA, Sponsor, etc.) | Timing of Opportunity |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

## D.2. High Level Budget and Cost Share

Using the tables that follow, provide a high-level budget for the project. Provide a brief narrative that explains how the funds will be deployed over the life of the project. Add additional columns or copies of the cost share table as needed.

|  |  |  |
| --- | --- | --- |
|  | OFRN  Awarded Funds | Cost Share  Funds |
| Personnel/Fringe |  |  |
| Supplies |  |  |
| Purchased Services |  |  |
| Travel |  |  |
| Other Direct Costs |  |  |
| Subcontracts |  |  |
| Indirect |  |  |
| Total |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Cost Share Provider #1 | Cost Share Provider #2 | Cost Share Provider #3 | Cost Share Provider #4 |
| Personnel/Fringe |  |  |  |  |
| Supplies |  |  |  |  |
| Purchased Services |  |  |  |  |
| Travel |  |  |  |  |
| Other Direct Costs |  |  |  |  |
| Indirect |  |  |  |  |
| Total |  |  |  |  |

# Quad Chart

See Appendix 3B Quad Chart Template

# Technology Readiness Level (TRL)

Evaluate and document the TechGauge assessment found at : [*https://techgauge.mile-two.com/*](https://usg02.safelinks.protection.office365.us/?url=https%3A%2F%2Ftechgauge.mile-two.com%2F&data=04%7C01%7Cbecky.mescher%40parallaxresearch.org%7C44f4a0cae39d4cf4d67e08d98809a69d%7C5ead055ac013429e912699026f9056d9%7C0%7C0%7C637690397297877203%7CUnknown%7CTWFpbGZsb3d8eyJWIjoiMC4wLjAwMDAiLCJQIjoiV2luMzIiLCJBTiI6Ik1haWwiLCJXVCI6Mn0%3D%7C1000&sdata=0Hq6oRRkseWkKpJHPHd5Wl9yEZStLJhYGGD3baQNEAg%3D&reserved=0) Please attach the report within your submission

# Appendices

Items in the appendices do not count towards the page limit. Items that can be contained in the appendices are as follows:

## G.1. Resumes

Full length resumes referenced in sections A.10 and A.12 should be abbreviated (maximum 5 pages) and submitted as an appendix.

## G.2. Letters of Intent

Signed copies of all subcontractor letters of intent must be attached to the proposal. These letters should briefly state the contribution or expertise being provided.