Submitting a SBIR/STTR Phase I Proposal in FastLane

Read this guide to help you submit a Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) Phase I Proposal in FastLane. (A PDF version of this guide is also available for download).

Please contact the FastLane Help Desk (1-800-673-6188 or fastlane@nsf.gov) for IT system or ADA and 508 compliance-related questions (7:00 AM – 9:00 PM Eastern Time; Monday – Friday except federal holidays). SBIR and STTR program-related questions should be directed to sbir@nsf.gov.

If you were invited and unable to submit your proposal before the submission window closed on June 13, please reach out to your program director about next steps. The submission window will close on December 12. We encourage you to follow guidance from your program director for when and how to submit your proposal. FastLane will not accept proposals after 5:00 PM submitter’s time on December 12.

1. Proposal Overview

Were you invited to submit a proposal?

NSF SBIR/STTR Program Phase I applicants are now REQUIRED to submit a three-page “Project Pitch” that outlines the project objectives, technical innovation and associated technical risks. Projects that seem to be a good fit will be officially INVITED to submit a full proposal, and all Project Pitch submitters will receive feedback within three weeks.

Only SBIR/STTR proposals that have been invited will be reviewed by NSF. To learn more about the Project Pitch, please visit How to Apply.

Read the SBIR/STTR Solicitation

The Phase I SBIR and STTR solicitations explain what information should go in the proposal. The following steps will walk through the process of submitting a proposal to FastLane, one of NSF’s electronic proposal submission systems.

SBIR/STTR Proposals must be submitted to NSF via FastLane. The NSF’s Research.gov proposal preparation and submission site is not currently available for SBIR and STTR proposal submissions.

2. Registrations

Do you have the required registrations?

Before you can begin entering your full proposal in FastLane, your company must have completed the following registrations:

- **Dun and Bradstreet Data Universal Numbering System (DUNS)**
  
  All organization information MUST BE IDENTICAL in SAM and in your DUNS Number/Dun & Bradstreet (D&B) record.
  
  Make sure the organization address registered in SAM matches the address listed in your DUNS Number/D&B record. Entering one address for your DUN S Number/D&B record and a different address for your SAM registration can result in significant SAM registration activation delays.

- **System for Award Management (SAM)**
  
  Please allow sufficient time for a new SAM registration to be processed and active. New SAM registrations can take up to two weeks to become active. Sometimes SAM registrations can take longer if the registration information provided in SAM is incomplete or accurate.
  
  **NOTE:** Once your new SAM registration is active, it takes up to two business days for NSF to receive and process your SAM information. New organizations cannot register with NSF until the organization’s active SAM registration information is processed by NSF.
  
  The SAM registration information must be validated with outside parties before the registration can be activated. If the registration fails the Internal Revenue Service Taxpayer Identification Number (TIN) validation or Commercial and Government Entity (CAGE) validation with the Department of Defense’s Defense Logistics Agency, the SAM registration could take significantly longer to become active.
  
  When entering the organization’s TIN in SAM, ensure that the organization name matches the taxpayer name associated with your TIN. A mismatch of information can result in significant SAM registration activation delays.

  For SBIR applicants with subawardees and for all STTR applicants, the subawardee should be registered in SAM. If the sub awardee organization is NOT registered in SAM, the principal investigator (PI) or a representative at the subawardee organization can call the Research.gov or FastLane Help Desk and NSF will manually register them as an institution in the NSF system to facilitate timely proposal submission.

- **Small Business Administration (SBA) Company Registry**
  
  You need to register with the SBIR Company Registry (operated by the Small Business Administration). Post-registration, you’ll receive a Business Concern Control ID (SBC ID), which you’ll need to include in your FastLane application.

- **NSF Research.gov**
  
  Organizations new to NSF must register via the account management system in Research.gov.
For additional information and step-by-step instructions, please see the "Register a New Organization" video tutorial and Account Management Guide section. If the video tutorial does not open, please try viewing it using another browser.

The Account Management Guide, Frequently Asked Questions (FAQs), and multiple video tutorials are available on the Research.gov About Account Management page.

NSF recommends that the Principal Investigator (PI) also register as an "Authorized Organizational Representative – AOR" for the organization. The PI creates and uploads all proposal components to FastLane, and the AOR formally submits the proposal to NSF. Only PIs with AOR privileges can submit the proposal. The AOR role is NEVER assigned to any person by default.

You can request the AOR role via the "Add a New Role" page in Research.gov. Here's how:

- Sign in to Research.gov and select the "My Profile" link located at the top right of the screen.
- To add the AOR role, select the "Add Organizational Role" button and choose the AOR role. Complete the role request wizard four-step process. Please see the Account Management Guide "Add a New Role" section for additional information and step-by-step instructions with associated screenshots.

Register a New Organization

Organizations must be registered with the National Science Foundation (NSF) to submit proposals using NSF’s systems. Before a new organization can register with NSF, it must first be registered in the System for Award Management (SAM - https://www.sam.gov) and have a DUNS number. Note that completion of the SAM registration process may take up to one month.

Follow the step-by-step process below to register a new organization in Research.gov.

How do I register a new organization with NSF?

- Open Research.gov
- Click “Sign In” located at the top right of the screen.
- Enter your NSF ID and password and click “Sign In.”
- Click “My Profile” located at the top right of the screen.
- Click “Add New Role” from the left navigation bar.
- Click “Add Organizational Role” located in the “Add and Manage Organizations” box.
- Note: If an organization is new to NSF, you must start the process by setting yourself up as the Administrator for the new organization. You must have an NSF account to start this process. The system will automatically detect that the organization is new and will walk you through setting up the organization and Administrator role.
- Enter your organization is not already registered with NSF, a message will display to confirm that the organization is not found in NSF systems and you will be able to register the organization and become the first Administrator.

Helpful Tip: If a new organization is registered with NSF without an Administrator, the first user to request a role will become the organization’s first Administrator.

- Enter your contact information for the Administrator role, add your organization’s information, and then click “Next.” (Figure 3)
• Notice the "Administrator" role is pre-selected. Click "Next." (Figure 4)

• Review your organization’s information for accuracy and click "Submit." (Figure 5)

• The request to register your organization with NSF will be forwarded via email to your organization’s SAM points of contact for their information only. The SAM points of contact will not need to approve the request. (Figure 6)
Helpful Tip: Once an organization is registered with NSF, any updates to organizational information must be made by an organizational Administrator in the FastLane Research Administration module.

It is recommended that the Principal Investigator also register as an “Authorized Organizational Representative – AOR” for the organization. The PI creates and uploads all proposal components to FastLane and the AOR formally submits the proposal to NSF. Only PIs with AOR privileges can submit the proposal. Failing to register as an AOR is not a valid excuse for missing the solicitation deadline.
3. Create Proposal

Formatting Instructions

Visit the PAPPG Guide for information on how to format your proposal.

Create Proposal


On the right side of the page, click “Sign In to FastLane/Research.gov

You will be taken to Research.gov Sign In page. Fill in Sign In information (NSF ID and Password) in the “NSF User Sign In” box on the left side of the screen.

Note: The Principal Investigator (PI) for the proposed Phase I project MUST login and prepare the proposal.
On the Principal Investigator (PI)/Co-Principal Investigator (CO-PI) Management screen, select “Proposal Functions”.

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.

**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, 2018 and September 30, 2019 will be numbered 19xxxxx). This official proposal number should be used in all further communications with NSF.

**Cover Sheet**

Applicants must complete all required proposal Cover Sheet data fields in accordance with the proposal preparation instructions.

Proposal Cover Sheets missing required data field information will generate validation errors and cannot be saved or submitted. In addition, you may lose information entered on the Cover Sheet if it cannot be saved or submitted.

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

**Cover sheet selection**

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”.

Remainder of the Cover Sheet

The fourth Cover Sheet “GO” Button is “Remainder of the Cover Sheet”. Click the “GO” button and provide the required information to complete the cover sheet.
“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 Start Date**: We recommend that you enter a start date six months from your proposal submission. For instance, a proposal submitted in June would enter January 1st of the following year.

“Announcement and Consideration Information”, “Principal Investigator (PI) Information” and “Co-Principal Investigator (Co-PI) Information”: These sections will automatically populate.
Announcement And Consideration Information

Program Announcement/Solicitation Number: NSF 17-544

Deadline/Target Date: ▼

For consideration by the following listed NSF Organization Unit(s):

- IIP - SMALL BUSINESS PHASE I

Principal Investigator (PI) Information

Name: Nagamnd Murty
Organization: Quantified Habits Inc.
Department: 
Street #1: 2231 Crystal Dr
Street #2: #1000
City/State/Zip: Arlington, VA 222023726
Country: US
Announcement And Consideration Information

Program Announcement/Solicitation Number: NSF 17-544

Deadline/Target Date: [ ] ▼

For consideration by the following listed NSF Organization Unit(s):

- IIP - SMALL BUSINESS PHASE I

**Principal Investigator (PI) Information**

<table>
<thead>
<tr>
<th>Name</th>
<th>Naganand Murty</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization</td>
<td>Quantified Habits Inc.</td>
</tr>
<tr>
<td>Street #1</td>
<td>2231 Crystal Dr #1000</td>
</tr>
<tr>
<td>Street #2</td>
<td></td>
</tr>
<tr>
<td>City/State/Zip</td>
<td>Arlington VA 222023726</td>
</tr>
<tr>
<td>Country</td>
<td>US</td>
</tr>
</tbody>
</table>
“Previous NSF Award”: Do not check the box.

Preliminary proposals are not accepted by the SBIR/STTR Program.

<table>
<thead>
<tr>
<th>Previous NSF Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>If this is a preliminary proposal then check here: □</td>
</tr>
<tr>
<td>If this is a Full Proposal and it is related to an associated preliminary proposal, please enter that preliminary proposal number here: □</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Other Federal Agencies</th>
</tr>
</thead>
<tbody>
<tr>
<td>If this proposal is being submitted to another Federal Agency (FA), please type a reasonable abbreviation (maximum of 10 characters) for each agency in a blank space below.</td>
</tr>
<tr>
<td>1.</td>
</tr>
<tr>
<td>6.</td>
</tr>
</tbody>
</table>

“Other Federal Agencies”: Provide a listing of all other Federal agencies to which you have submitted, or plan to submit, this proposal.

<table>
<thead>
<tr>
<th>Awardee Organization Information</th>
</tr>
</thead>
<tbody>
<tr>
<td>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:</td>
</tr>
</tbody>
</table>

- Preliminary proposals are not accepted by the SBIR/STTR Program.
- 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.

“Type of Proposal”: Select “Research”
“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).
"The Small Business Concern Certifies": Answer all of the following questions.

<table>
<thead>
<tr>
<th>The Small Business Concern Certifies That:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. It is a small business as defined in the solicitation.</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>2. It qualifies as a socially and economically disadvantaged business as defined in the solicitation (FOR STATISTICAL PURPOSES ONLY).</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>3. It qualifies as a women-owned business as defined in the solicitation (FOR STATISTICAL PURPOSES ONLY).</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>4. SBIR: A maximum of two-thirds of the research will be performed by this firm in Phase I.</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>5. The primary employment of the Principal Investigator (PI) will be with this firm at the time of award and during the conduct of the research.</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>6. It will permit the government to disclose the title and technical abstract page, plus the name, address and telephone number of a corporate official, if the proposal does not result in an award, to parties that may be interested in continuing the small business for further information or possible investment.</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>7. It will comply with the provisions of the Civil Rights Act of 1964 (P.L. 88-352) and the regulations promulgated thereunder.</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>8. It has not previously submitted a proposal to NSF.</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>9. It has already submitted this proposal (which was declined) and significant modifications have been made as described in the solicitation.</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>10. It has received Phase II awards from the Federal Government. (If &quot;yes&quot; provide a company commercialization history in the supplementary documents module.)</td>
</tr>
<tr>
<td>YES</td>
</tr>
<tr>
<td>11. It is located in a Historically Underutilized Business Zone (HUBZone) as verified by the Small Business Administration (see HubZone participation go to <a href="http://www.sba.gov/otherfacts/zonecert.htm">http://www.sba.gov/otherfacts/zonecert.htm</a>).</td>
</tr>
<tr>
<td>YES</td>
</tr>
</tbody>
</table>

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 Company Commercialization History must be submitted on the NSF template.

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

Company Officer Name: 
Company Officer Title: 
Company Officer Telephone Number: (Ex: 8885551212)

Other Information:

President's Name: 
Year Firm Founded: (Ex: 1994)
Number of Employees (Including Parent, Subsidiary, and Predecessor):
  Current Number Of Employees
  Average Number Of Employees For Previous 12 Months

Affiliated Companies

Name of any affiliated companies (Parent, Subsidiary, Predecessor):
  Affiliate 1: 
  Affiliate 2: 
  Affiliate 3: 
  Affiliate 4: 

Research Institution Investigator

Provide only if STTR.

Research Institution: The National Science Foundation
Research Investigator Name: 
Research Investigator Phone Number: (Ex: 8885551212)

Proprietary Notice:

See solicitation for instructions concerning proprietary information.

☐ Check here if proposal contains proprietary information.

"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”:

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.

For most proposal sections, there is a specific module in FastLane to which you should upload a PDF file prepared outside the system. Please note that FastLane will need to ‘distill’ each PDF and you will be prompted to review and approve each file as it is saved. For this reason, you are urged to allow ample time to prepare and submit your proposal. We strongly discourage waiting until the deadline date to submit as common compliance errors and processing delays could cause you to miss the deadline. Proposals cannot be accepted after the deadline per NSF policy.

**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.
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.

Year 1 will be highlighted; then Click the “Add” button. FastLane will return to the Project Budget Screen.
Click on the “Funds” hyperlink (under the Year heading).

**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)

View the [SBIR Salary Validation Guide](#) 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".

<table>
<thead>
<tr>
<th>Number of Personnel</th>
<th>Type of Personnel</th>
<th>Calendar Months</th>
<th>Academic Months</th>
<th>Summer Months</th>
<th>Funds Requested By Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Post Doctoral Scholars</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0</td>
</tr>
<tr>
<td>3</td>
<td>Other Professionals: (Technicians, etc.)</td>
<td>10.0</td>
<td>0.0</td>
<td>0.0</td>
<td>38000</td>
</tr>
<tr>
<td>0</td>
<td>Graduate Students</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0</td>
</tr>
<tr>
<td>0</td>
<td>Undergraduate Students</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0</td>
</tr>
<tr>
<td>0</td>
<td>Secretarial - clerical</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0</td>
</tr>
<tr>
<td>0</td>
<td>Other</td>
<td>0.0</td>
<td>0.0</td>
<td>0.0</td>
<td>0</td>
</tr>
<tr>
<td>Total Other Personnel: 3</td>
<td></td>
<td>10.0</td>
<td>0.0</td>
<td>0.0</td>
<td>$ 38000</td>
</tr>
</tbody>
</table>

- 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).
C. Fringe Benefits

<table>
<thead>
<tr>
<th>Description</th>
<th>Funds Requested By Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fringe Benefits (if charged as direct costs)</td>
<td>19000</td>
</tr>
</tbody>
</table>

**Total Salaries, Wages and Fringe Benefits (A + B + C):** $114000

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

D. Equipment

List items and dollar amount for each item exceeding $5000.

<table>
<thead>
<tr>
<th>Equipment Item</th>
<th>Check here to delete item</th>
<th>Dollar Amount</th>
<th>Funds Requested By Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<tr>
<td>2.</td>
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<tr>
<td>3.</td>
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<td>7.</td>
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<tr>
<td>8.</td>
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<tr>
<td>9.</td>
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<tr>
<td>10.</td>
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</table>

**Total Equipment:** $0

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”.

E. Travel

<table>
<thead>
<tr>
<th>Description</th>
<th>Funds Requested By Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Travel Domestic (incl. U.S. Possessions)</td>
<td>4000</td>
</tr>
<tr>
<td>2. Travel International</td>
<td>0</td>
</tr>
</tbody>
</table>

**Total Travel:** $4000

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

<table>
<thead>
<tr>
<th>Description</th>
<th>Costs</th>
<th>Funds Requested By Proposer</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Stipends</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Travel</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Subsistence</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Other</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of Participants</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td><strong>Total Participant Support Costs:</strong></td>
<td>$0</td>
<td></td>
</tr>
</tbody>
</table>

**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

First, the applicant may budget up to $10,000 as a direct charge on line G.6 to this Phase I award for the following specific purposes related to financials and accounting:

- Hiring a certified public accountant (CPA) to prepare audited, compiled, or reviewed financial statements
- Hiring a CPA to perform an initial financial viability assessment based on standard financial ratios so the awardee organization would have time to improve their financial position prior to submitting the Phase II proposal
- Hiring a CPA to review the adequacy of the awardee’s project cost accounting system
- Purchasing a project cost accounting system

If the applicant elects to budget funds for one of the above purposes, the budget justification should include a brief description of the desired use of funds, and the use of funds must be approved by the cognizant Program Director, prior to award.

Second, the applicant may budget up to $20,000 to cover costs related to NSF’s “Beat-The-Odds Boot Camp” which is offered to all Phase I awardees.

This program is based on the NSF’s Innovation Corps program, and more information can be found [here](#). All Phase I awardees are strongly encouraged to participate in this activity. Costs that are allowable are limited to travel costs related to customer discovery (this could include costs associated with registration/attendance at events for the purpose of customer discovery) and salary/wages for team members who participated in the Boot Camp. All costs related to the Boot Camp must be in line with approved salary rates and other relevant Federal guidelines. International travel cannot be reimbursed, nor can any salary/wages for work done while outside of the United States. NSF recommends that, for the purposes of the proposal budget, applicants that plan to participate in this activity budget $10,000 and simply list this as “Boot Camp” costs in the budget justification.
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”.

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.
K. Small Business Fee

If requested, maximum equals 7% of J.

<table>
<thead>
<tr>
<th>Description</th>
<th>Small Business Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>14030</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Funds Requested By Proposer</th>
<th>Total cost and Fees (J + K):</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$223630</td>
</tr>
</tbody>
</table>

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 and subawardees should also be included as part of the budget justification. See section 9.1.3 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 the budget justification in text box, click “Save Text” and then “Go Back” to return to the “Project Budget” screen.
If uploading a file, click “Transfer File” on the above screen.

If you prefer, 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.

**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:
<table>
<thead>
<tr>
<th>ORGANIZATION</th>
<th>PROPOSAL BUDGET</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Institution</td>
<td>PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR</td>
</tr>
<tr>
<td></td>
<td>Jane Smith</td>
</tr>
</tbody>
</table>
| A. SENIOR PERSONNEL: PI/Co-PI's, Faculty and Other Senior Associates (List each separately with title. A.T. shows number in brackets) | Tot. Non
|                | CAL | ACAD | SUMR | Awarded |
| 1. Jane Smith - Chief Technical Officer | 4.00 | 0.00 | 0.00 | 32,000 |
| 2. John Doe - Senior Engineer | 4.00 | 0.00 | 0.00 | 25,000 |
| B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS) | |
| 1. OTHER DOCTORAL SCHOLARS | 0.00 | 0.00 | 0.00 | 0 |
| 2. OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.) | 10.00 | 0.00 | 0.00 | 38,000 |
| 3. GRADUATE STUDENTS | 0 |
| 4. UNDERGRADUATE STUDENTS | 0 |
| 5. SECRETARIAL - CLERICAL (IF CHARGED DIRECTLY) | 0 |
| 6. OTHER | 0 |
| 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.) | |
| E. TRAVEL | |
| 1. DOMESTIC (INCL. U.S. POSSESSIONS) | 4,000 |
| 2. INTERNATIONAL | 0 |
| F. PARTICIPANT SUPPORT COSTS | |
| 1. STIPENDS | 0 |
| 2. TRAVEL | 0 |
| 3. SUBSISTENCE | 0 |
| 4. OTHER | 0 |
| TOTAL PARTICIPANT COSTS | 0 |
| G. OTHER DIRECT COSTS | |
| 1. MATERIALS AND SUPPLIES | 10,000 |
| 2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION | 0 |
| 3. CONSULTANT SERVICES | 20,000 |
| 4. COMPUTER SERVICES | 0 |
| 5. SUBAWARDS | 40,000 |
| 6. 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) | 19,000 |
| J. TOTAL DIRECT AND INDIRECT COSTS (H + I) | 209,000 |
| K. SMALL BUSINESS FEE (IF REQUESTED MAXIMUM = 7% OF J) | 14,630 |
| L. TOTAL COST AND FEE (J + K) | 223,630 |

**FOR NSF USE ONLY**

**PR/PI NAME**

Jane Smith

**ORG. REP. NAME**

Date Signed

Date of Data Submittal

E-mail-Code

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

**FOR NSF USE ONLY**

<table>
<thead>
<tr>
<th>ORGANIZATION</th>
<th>Test Institution</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**PRINCIPAL INVESTIGATOR / PROJECT DIRECTOR**

Jane Smith

<table>
<thead>
<tr>
<th>A. SENIOR PERSONNEL: PI/PD, Co-PD's, Faculty and Other Senior Associates (List each separately with title, A.T. show number in brackets)</th>
<th>CAL</th>
<th>ACAD</th>
<th>SUMR</th>
<th>Totals (Requested by Employee)</th>
<th>Totals (Requested by PI)</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>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<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>38,000</td>
<td></td>
</tr>
<tr>
<td>3. Graduate Students</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>4. Undergraduate Students</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>5. Secretarial/Clerical (if charged directly)</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>6. Other</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>TOTAL SALARIES AND WAGES (A + B)</td>
<td>95,000</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

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

**E. TRAVEL**

1. Domestic (Incl. U.S. Possessions) 4,000

2. International

**F. PARTICIPANT SUPPORT COSTS**

1. Stipends 0

2. Travel 0

3. Subsistence 0

4. Other 0

TOTAL PARTICIPANT COSTS 0

**G. OTHER DIRECT COSTS**

1. Materials and Supplies 10,000

2. Publication Costs/Documentation/Dissemination 0

3. Consultant Services 20,000

4. Computer Services 0

5. Subawards 40,000

6. 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 INDIRECT COSTS (F&A) 19,000

**J. TOTAL DIRECT AND INDIRECT COSTS (H + I)** 209,000

**K. SMALL BUSINESS FEE (IF REQUESTED MAXIMUM = 7% OF J)** 14,630

**L. TOTAL COST AND FEE (J + K)** 223,630

### PI/PD NAME

Jane Smith

### INDIRECT COST RATE VERIFICATION

<table>
<thead>
<tr>
<th>ORG. REP. NAME</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date Signed</td>
</tr>
<tr>
<td>Date of Data</td>
</tr>
<tr>
<td>Initial Cost</td>
</tr>
</tbody>
</table>

*ELECTRONIC SIGNATURES REQUIRED ONLY FOR REVISED BUDGET*
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**

14. 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. 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. This takes a few minutes! You will be required to review and accept the PDF version of the Project Description created by FastLane. Click “Go Back” until you return to the “Form Preparation” screen.

### Project Description

PIs are cautioned that the Project Description must be self-contained and that URLs must not be used because: 1) the information could circumvent page limitations, 2) the reviewers are under no obligation to view the sites, and 3) the sites could be altered or deleted between the time of submission and the time of review. PIs also are reminded to comply with the instructions contained in the GPG Chapter II.C.2.a(iii) on preparing the “Results from Prior NSF Support” section.

In addition to PDF files, users can now upload a variety of word-processor files and PostScript files. These files will automatically be converted to PDF format.

Follow this link for a list of Supported file formats (Opens new window).

Follow this link for New Upload Instructions (Opens new window).

Enter the name and location of the file to upload or click on the Browse button to select the file to upload.

Choose File  No file chosen

Upload File

Go Back

---

### 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.
Current and Pending Support

**IMPORTANT NOTE:** Each individual’s Current and Pending Support information must be uploaded as a single PDF file or inserted as text associated with that individual.

<table>
<thead>
<tr>
<th>Existing Support Forms</th>
<th>Current PI, Co-PIs, and Senior Personnel</th>
</tr>
</thead>
<tbody>
<tr>
<td>No forms have been created yet.</td>
<td>Charless DickensX</td>
</tr>
</tbody>
</table>

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.
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.
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.
Single Copy Documents

21. Click on the “Go” button to the left of “Additional Single Copy Documents”:

Reference the current solicitation for restrictions and explanations of what NSF requires and what NSF allows in the Single Copy Documents module.

Items uploaded to this section of FastLane are not visible to the reviewers. Companies are cautioned not to confuse this section with the “Supplementary Documents” section of FastLane.

NEW IN 2019: You are required to convert your Project Pitch invitation email into a PDF file and upload it into the “Additional Single Copy Documents” module using the “Transfer File” button. Once you have proofed and approved your upload, click “Go Back” to return to the “Proposal Actions” screen.
Project Pitch: 00004073
SBIR/STTR Topic Area: SBIR: Other Topics (OT)

Dear Sally,

Upon reviewing your submitted Project Pitch, I am pleased to inform you that you are invited to submit a full proposal to the NSF SBIR/STTR Phase I program.

You are required to upload this email as confirmation of your invitation to submit a full proposal as an "Additional Single Copy Document" in the full proposal in FastLane. SBIR/STTR proposals cannot be submitted via Research.gov. Please also be sure to select the following topic area from the drop down menu when completing the NSF SBIR Phase I Cover Page for your proposal: SBIR: Other Topics (OT). For a list of sub-topic areas, please review our most recent solicitation topic and subtopic document here.

Please comply with all guidelines and instructions for preparation of your invited full proposal as specified in the NSF SBIR/STTR Phase I program solicitation (see links below), paying close attention to the necessary registrations, required documents and merit review criteria. You will also need to affirm that you meet the eligibility criteria for a small business concern (see section IV. of the solicitation document for details). Proposals that do not comply with the guidelines or do not meet the listed eligibility requirements outlined in the solicitation may be returned without review.


Additional Guidance or Feedback (if applicable):

I highly recommend starting the system for Award Management (SAM) registration process immediately. The SAM registration process is free, but can take up to a month...
3. Application Overview

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: Only the organization’s AOR (Authorized Organizational Representative) can submit the proposal to NSF. The AOR is also sometimes referred to as the SPO (Sponsored Project Officer) in the NSF systems.

- If you have SPO 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 SPO Access Rights. Follow the instructions outlined below.

Allow SPO 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”.

Additional Single Copy Documents

Users are encouraged to upload PDF files (with the exception of the Collaborators and Other Affiliations form) that use the approved fonts in the Proposal & Award Policies & Procedures Guide (PAPPG). This enables the preservation of searchable text, avoiding delays in the processing and review of the proposal.

Follow this link for New Upload Instructions (Opens new window).

Note: Clicking on the Display Current Single Copy Documents button will display a PDF document in this window. Once you have reviewed the document, click on the browser’s “Back” button to return to this page.

Current documents to display

Current documents to delete

Delete Current Single Copy Documents

Enter the name and location of the file to upload or click on the Browse button to select the file to upload

Choose File: No file chosen

Upload File

Go Back
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. Your organization's time zone is set in the registration section of Research.gov.

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 Project Officer (SPO) 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. Click on the “Sign In to FastLane/Research.gov” button to log in.

2a. The authorized organizational representative will be asked to provide the following sign-in information:
- Last name
- NSF ID
- Password

2b. Navigate to ‘Research Administration’ from the ‘My Desktop’

3. Click “Proposals/File Updates/Withdrawals”. The screen displays on the Documents in Progress tab.
Click “Submit” in the row for the proposal you want to submit.

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.
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.)

Debarment and Suspension Certification

Is the organization or its principals presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency?

- No
- Yes (If “yes” please provide an explanation below.)

By electronically signing the Certification Pages, the Authorized Organizational Representative (or equivalent) or Individual Applicant is providing the Debarment and Suspension Certification contained in Exhibit II-4 of the Proposal & Award Policies & Procedures Guide.

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.