

August 20, 2014

**ANNOUNCEMENT OF FEDERAL FUNDING OPPORTUNITY (FFO)
Small Business Innovation Research (SBIR) Technology Commercialization
Assistance Program (TCAP)**

EXECUTIVE SUMMARY

- **Federal Agency Name:** National Institute of Standards and Technology (NIST), United States Department of Commerce (DoC)
- **Funding Opportunity Title:** Small Business Innovation Research (SBIR) Technology Commercialization Assistance Program (TCAP)
- **Announcement Type:** Initial
- **Funding Opportunity Number:** 2014-NIST-SBIR-02
- **Catalog of Federal Domestic Assistance (CFDA) Number:** 11.620, Science, Technology, Business and/or Education Outreach
- **Dates:** Electronic applications must be received no later than 11:59 p.m. Eastern Time, September 23, 2014. Paper applications must be received by NIST by 5:00 p.m. Eastern Time on September 23, 2014. Applications received after these deadlines will not be reviewed or considered. The earliest anticipated start date for awards under this FFO is expected to be approximately November 2014.

When developing your submission timeline, keep in mind that a free annual registration process in the electronic System for Award Management (SAM) (see Section VI.2.b. of this FFO) takes on average fourteen (14) business days for new registrations, and between seven (7) and ten (10) business days for renewal registrations. The SAM registration process will likely take more time if problems are encountered. Also, please keep in mind that applicants using Grants.gov will receive a series of receipts over a period of up to two (2) business days before learning via a validation or rejection whether a Federal agency's electronic system has received its application.

- **Application Submission Address:** See Section IV. in the Full Announcement Text of this FFO.
- **Funding Opportunity Description:** NIST invites applications for a program involving technical and business engagement activities directed at small businesses participating in NIST's Small Business Innovation Research Program. The TCAP recipient will provide NIST SBIR Phase I and/or Phase II recipients with technical

and business expertise and resources to identify optimum pathways to promote successful transition of the Phase I and/or Phase II results to commercialization.

- **Anticipated Amounts:** NIST anticipates that approximately \$60,000 per year may be made available to award one (1) multi-year project to an eligible applicant. The period of performance for this award is expected to be up to five (5) years with an earliest expected start date of November 2014. Note that NIST funding for this award may be adjusted during pre-award budget negotiations (see Section V.2.b. of this FFO) to reflect the anticipated number of NIST SBIR recipients. Additionally, consistent with the multi-year funding policy described in Section II.2. of this FFO, NIST funding amounts may be adjusted higher or lower from year to year of the project to appropriately reflect NIST SBIR recipient participation.
- **Funding Instrument:** Cooperative Agreement
- **Who Is Eligible:** Accredited institutions of higher education, non-profit organizations, and commercial organizations that are organized and operated in the United States and its territories.
- **Cost Sharing Requirements:** This program does not require cost sharing.

FULL ANNOUNCEMENT TEXT

I. Funding Opportunity Description

The National Institute of Standards and Technology (NIST) announces funding for a recipient organization to advance the mutual interests of NIST, the recipient, and the public through technical and business engagement activities involving U.S. companies participating in NIST's Small Business Innovation Research Program (SBIR) program. Authority for the Small Business Innovation Research (SBIR) Technology Commercialization Assistance Program (TCAP) is pursuant to and consistent with NIST authority at 15 U.S.C. § 272(b) and (c) and the technical assistance program for NIST SBIR recipients under 15 U.S.C. § 638(q).

NIST promotes U.S. innovation and industrial competitiveness by advancing measurement science, standards, and technology in ways that enhance economic security and improve our quality of life. NIST's Technology Partnerships Office (TPO) works with regional, state and local economic development organizations, technology incubation centers, public-private business development initiatives and other organizations and partnerships to facilitate the transfer of technologies developed within NIST scientific laboratories to the private sector through licensing and/or collaboration. NIST scientists conduct research, create technologies and make discoveries in nearly every scientific and technological field. TPO encourages commercialization of these

results through programs and activities that advance mutual interests of NIST and its partners, and in turn, the general public. See <http://www.nist.gov/tpo/>.

TPO's activities include NIST's SBIR program, through which NIST funds small businesses conducting scientific and engineering related research and development (R&D) projects responding to specific technical areas at NIST (15 U.S.C. Sec. 638). The SBIR program is a competitive three-phase program that awards R&D funds to qualified small businesses. The program encourages technological innovation and conversion of Federal R&D into commercial applications.

The NIST SBIR program provides cooperative agreements to qualified small businesses to fund innovative research projects that support NIST's strategic priorities. The NIST SBIR program has three phases. Phase I is a six month award to conduct a technical feasibility study. All NIST SBIR Phase I recipients may then submit a Phase II application. In Phase II, each NIST SBIR recipient continues the R&D effort. In Phase III, the small business uses non-SBIR funds to commercialize the product developed during previous phases. For more information, including topic areas for NIST SBIR, see <http://www.nist.gov/tpo/sbir/>.

The NIST SBIR TCAP will provide support to a recipient that shares NIST's goals of advancing innovation, accelerating technology commercialization, and advancing U.S. small business and science and technology interests. Through the NIST SBIR TCAP program, the TCAP recipient will provide NIST SBIR Phase I and/or Phase II recipients with technical and business expertise and resources to identify optimum pathways to promote successful transition of the Phase I and/or Phase II results to commercialization.

Through this program, the TCAP recipient will engage with NIST SBIR recipients in technical and business development activities such as:

- 1) making better technical decisions concerning SBIR projects;
- 2) solving technical problems that arise during the conduct of SBIR projects;
- 3) minimizing technical risks associated with SBIR projects; and
- 4) developing and commercializing new commercial products and processes resulting from the SBIR projects.

The TCAP recipient will identify the current state of each NIST SBIR recipient's research and provide appropriate advice and assistance about commercialization pathways. Since each NIST SBIR recipient may be at a different level of product development, the TCAP recipient will work with each NIST SBIR recipient to customize activities that best support the NIST SBIR recipient. The TCAP recipient should also advise the NIST SBIR recipient on leveraging other programs, such as making use of the NIST Hollings Manufacturing Extension Partnership Centers. See www.nist.gov/mep.

In order to conduct these commercialization assessments, NIST will provide the TCAP recipient non-proprietary information available about each NIST SBIR recipient's project. The TCAP recipient will then seek more specific technical and business information from each NIST SBIR recipient. It is understood that the NIST SBIR recipients have the option to not participate in this assistance effort that is made available to them, and may select to utilize similar support from an organization other than the TCAP recipient under this program. In the event that a NIST SBIR recipient opts to not participate in this program, the TCAP recipient is not expected to provide services to that NIST SBIR recipient.

II. Award Information

- 1. Funding Instrument.** The funding instrument used in this program will be a cooperative agreement. The nature of NIST's "substantial involvement" will generally be collaboration with the TCAP recipient in carrying out the scope of work, and in particular, coordinating with the NIST SBIR recipient. Additional forms of substantial involvement that may arise are described in the DoC Grants and Cooperative Agreements Manual, which is available at [http://www.osc.doc.gov/oam/grants_management/policy/documents/FINAL%20Master%20DOC%20Grants%20Manual%202013%20\(03.01.13\)_b.pdf](http://www.osc.doc.gov/oam/grants_management/policy/documents/FINAL%20Master%20DOC%20Grants%20Manual%202013%20(03.01.13)_b.pdf)
- 2. Multi-Year Funding Policy.** When an application for a multi-year award is approved, funding will usually be provided for only the first year of the program. If a project is selected for funding, NIST has no obligation to provide any additional funding in connection with that award. Continuation of an award to increase funding or extend the period of performance is at the sole discretion of NIST. Continued funding will be contingent upon satisfactory performance, continued relevance to the mission and priorities of the program, and the availability of funds.
- 3. Funding Availability.** NIST anticipates that approximately \$60,000 per year may be made available to award one (1) multi-year project to an eligible applicant. The period of performance for this award is expected to be up to five (5) years with an earliest expected start date of November 2014. Note that NIST funding for this award may be adjusted during pre-award budget negotiations (see Section V.2.b. of this FFO) to reflect the anticipated number of NIST SBIR recipients. Additionally, consistent with the multi-year funding policy described in Section II.2. of this FFO, NIST funding amounts may be adjusted higher or lower from year to year of the project to appropriately reflect NIST SBIR recipient participation.

III. Eligibility Information

- 1. Eligible Applicants.** Accredited institutions of higher education, non-profit organizations, and commercial organizations that are organized and operated in the United States and its territories.

2. **Cost Sharing.** This program does not require cost sharing.

3. **Other**

Pre-Applications. NIST is not accepting pre-applications or white papers under this FFO.

IV. Application and Submission Information

1. **Address to Request Application Package.** The standard application package, consisting of the standard forms, i.e., SF-424, SF-424A, SF-424B, SF-LLL, and the CD-511, is available at www.grants.gov. The application package provides only one SF-424A form. An additional SF-424A form will be needed, as described in Section IV.2.a.(2) and IV.2.a.(10), and must be retrieved from the internet, outside of www.grants.gov as described in Section IV.2.a.(10). The standard application package and additional SF-424A form may be requested by contacting the NIST personnel listed below:

Mary Clague, National Institute of Standards and Technology, 100 Bureau Drive,
Mail Stop 2200, Gaithersburg, MD 20899 (Phone: 301-975-4188); email:
mary.clague@nist.gov

2. Content and Form of Application Submission

a. Required Forms and Documents

- (1) **SF-424, Application for Federal Assistance.** The SF-424 must be signed by an authorized representative of the applicant's organization. The FFO number 2014-NIST-SBIR-02 must be identified in item 12 of the SF-424. The list of certifications and assurances referenced in item 21 of the SF-424 is contained in the SF-424B. Applicants should enter total budget information for the full five (5) years of the project in item 18 on the SF-424.
- (2) **SF-424A, Budget Information – Non-Construction Programs.** The budget should reflect anticipated expenses for each year of the project, considering all potential cost increases, including cost of living adjustments. The applicant should submit two SF-424A forms. The first SF-424A form should cover the first four (4) years of the project and is the SF-424A form that appears as part of the mandatory forms in the Grants.gov application package. Details of where to find the second SF-424A form, and how to submit it, are found in Section IV.2.a.(10) of this FFO.
- (3) **SF-424B, Assurances - Non-Construction Programs**

- (4) **CD-511, Certification Regarding Lobbying**
- (5) **SF-LLL, Disclosure of Lobbying Activities** (if applicable)
- (6) **Technical Proposal.** The Technical Proposal is a word-processed document of no more than twenty (20) pages responsive to the program description (see Section I. of this FFO) and the evaluation criteria (see Section V.1. of this FFO). It should contain the following information:
 - a) **Executive Summary.** The Executive Summary should briefly describe the proposed project, consistent with the evaluation criteria (see Section V.1. of this FFO).
 - b) **Technical Experience.** Describe the applicant's understanding of the requirements and knowledge of the SBIR program, NIST topic areas as identified on the NIST SBIR web site, and related markets and industries, sufficient to permit evaluation of the proposal, in accordance with the evaluation criteria (see Section V.1.a. of this FFO).
 - c) **Project Narrative.** A description of the proposed project. The narrative should include a section addressing each of the following paragraphs in sufficient detail to permit evaluation in accordance with this FFO's evaluation criteria (see Section V.1.b. of this FFO):
 - i. **Types of Technical and Business Development Activities.** Describe the types of technical and business development activities that will be provided to NIST SBIR Phase I and/or Phase II recipients, including but not limited to, activities to enable NIST SBIR recipients to:
 1. make better technical decisions concerning NIST SBIR projects;
 2. solve technical problems that arise during the conduct of NIST SBIR projects;
 3. minimize technical risks associated with NIST SBIR projects; and
 4. develop and commercialize new commercial products and processes resulting from their NIST SBIR projects.Describe the methods and approaches that will be taken to promote successful transition of the Phase I and/or Phase II results to commercialization.

- ii. **Engagement of NIST SBIR Recipients.** Describe how the applicant will engage with NIST SBIR recipients. Include plans for informing and training the NIST SBIR recipients on the proposed technical and business development activities and plans for coaching the NIST SBIR recipients as they participate in the activities. Describe how the applicant will identify the current state of each NIST SBIR recipient's research and provide appropriate advice and assistance about commercialization pathways. Since each NIST SBIR recipient may be at a different level of product development, describe how the applicant will work with each NIST SBIR recipient to customize activities that best support NIST SBIR recipients at different levels of product development. The applicant should also describe how the proposed activities and engagement process will enable NIST SBIR recipients to leverage other programs, such as the NIST Hollings Manufacturing Extension Partnership Centers (www.nist.gov/mep).
- d) **Qualifications of the Applicant.** Describe the qualifications and experience of the applicant's organization and staff to carry out the objectives of the proposed project in sufficient detail to permit evaluation in accordance with the Qualifications of the Applicant evaluation criterion (see Section V.1.c. of this FFO). Describe the applicant's access to the necessary facilities, technical experts and overall support to accomplish the proposed project objectives. Describe the applicant's relevant knowledge, skills and abilities to enhance the ability of NIST SBIR Phase I and/or SBIR Phase II recipients to write commercialization plans. Provide information about the applicant's past performance on other Federal awards relevant to this project, if applicable.
- e) **Project Management Plan.** Describe the applicant's plan to manage the proposed project in sufficient detail to permit evaluation in accordance with the Project Management Plan evaluation criterion (see Section V.1.d. of this FFO). Describe the management structure and the operational or management activities of key personnel who will be assigned to work on the proposed project. Identify and describe measurable performance outcomes that demonstrate the value of the proposed technical and business development activities and success of the engagement of NIST SBIR recipients. Describe a plan to resolve problems as they are encountered with NIST SBIR recipients, such as, but not limited to, non-responsiveness of NIST SBIR recipients invited to

participate or lack of engagement of NIST SBIR recipients after they agree to participate.

- (7) **Budget Narrative.** There is no set format for the Budget Narrative; however, it should provide a detailed breakdown of each of the object class categories as reflected on the SF-424A and address the Evaluation Criterion found in Section V.1.e. of this FFO.

The proposed budget should reflect planned costs, but the TCAP recipient must charge actual costs to the award consistent with cost principles applicable to the type of TCAP recipient in accordance with 15 C.F.R. 14.27 or 24.22, as applicable. In any event, the maximum reasonable, allowable, and allocable cost to the award for the project may not exceed \$5,000 per NIST SBIR recipient per year. The TCAP recipient should have an accounting system that tracks costs per NIST SBIR recipient and an allocation plan for activities that may be shared among multiple NIST SBIR recipients. Profit or fee is not an allowable cost.

- (8) **Indirect Cost Rate Agreement.** If indirect costs are included in the proposed budget, provide a copy of the approved negotiated agreement if this rate was negotiated with a cognizant Federal audit agency. If the rate was not established by a cognizant Federal audit agency, provide a statement to this effect. If the successful applicant includes indirect costs in the budget and has not established an indirect cost rate with a cognizant Federal audit agency, the applicant will be required to obtain such a rate.

- (9) **Resumes.** One-page resumes of no more than five (5) key personnel may be included; these do not count toward the page limit; any information beyond one-page for each resume and any additional resumes submitted will not be considered.

- (10) **SF-424A, Budget Information - Non-Construction Programs** for year five (5) of the project. The SF-424A form that appears as part of the mandatory forms in the Grants.gov application package covers the first four (4) years of the project. The second SF-424A form should be submitted to cover year five (5) of the project. A fillable SF-424A form can be found at <http://www.nist.gov/director/grants/upload/sf424a.pdf>. Applicants should download the fillable SF-424A form, complete the information for year five (5) of the project and submit the completed form as an attachment, using the procedure described in the next paragraph.

If submitting the application electronically via Grants.gov, items IV.2.a.(1) through IV.2.a.(5) above are part of the standard application package in Grants.gov and can be completed through the download application process. **Items IV.2.a.(6) through (10)**

must be completed and attached by clicking on “Add Attachments” found in item 15 of the SF-424, Application for Federal Assistance. This will create a zip file that allows for transmittal of the documents electronically via Grants.gov.

Applicants should carefully follow specific Grants.gov instructions at www.grants.gov to ensure the attachments will be accepted by the Grants.gov system. *A receipt from Grants.gov indicating an application is received does not provide information about whether attachments have been received.*

If submitting an application by paper, all of the required application documents should be submitted in the order listed above.

b. Application Format

- (1) **E-mail submissions.** Will not be accepted.
- (2) **Facsimile submissions (fax).** Will not be accepted.
- (3) **Figures, graphs, images, and pictures.** Should be of a size that is easily readable or viewable and may be landscape orientation.
- (4) **Font.** Easy to read font (10-point minimum). Smaller type may be used in figures and tables, but must be clearly legible.
- (5) **Line spacing.** Single-spaced.
- (6) **Margins.** One (1) inch top, bottom, left, and right.
- (7) **Page layout.** Portrait orientation only except for figures, graphs, images, and pictures (see Section IV.2.b.(3)).
- (8) **Page Limit.** Proposals are limited to twenty (20) pages.

Page limit includes: Table of contents (if included), Technical Proposal, including figures, graphs, tables, images, and pictures.

Page limit excludes: SF-424, Application for Federal Assistance; both SF-424As, Budget Information – Non-Construction Programs; SF-424B, Assurances – Non-Construction Programs; SF-LLL, Disclosure of Lobbying Activities; CD-511, Certification Regarding Lobbying; One-page Resumes (if applicable); Budget Narrative; Indirect Cost Rate Agreement.

- (9) **Page numbering.** Number pages sequentially.
- (10) **Page size.** 21.6 by 27.9 centimeters (8 ½ x 11 inches).

- (11) **Double-sided copy.** For paper submission, print on both sides of the paper.
- (12) **Number of paper copies.** For paper submission, one (1) signed, stapled original and two (2) stapled copies are required. If original application is in color, the copies must also be in color. *If submitting electronically via Grants.gov, paper copies are not required.*
- (13) **Staple paper submission.** For paper submissions, staple the original signed application and each of the two (2) copies securely with one (1) staple in the upper left-hand corner.
- (14) **Language.** English.

3. Submission Dates and Times. Electronic applications must be received no later than 11:59 p.m. Eastern Time, September 23, 2014. Paper applications must be received by NIST by 5:00 p.m. Eastern Time on September 23, 2014.

Applications received after the respective deadline will not be reviewed or considered.

- a. For electronic applications, NIST will consider the date and time stamped on the validation generated by www.grants.gov as the official submission time. An applicant might not receive this validation until up to two business days after submitting an application and receiving a series of receipts.
- b. For paper applications submitted by mail, including guaranteed carriers, NIST determines whether applications have been timely received by the date and time they are physically received by NIST at its Gaithersburg, Maryland campus. If this method is used, NIST recommends using a form of mail that provides the applicant with a receipt showing when the application was received at NIST.
- c. For hand-delivered paper applications, 24-hours' notice to the NIST SBIR Program Office prior to delivery is required to confirm that the application can be received. If applicable, applicants should contact Mary Clague at 301-975-4188 or mary.clague@nist.gov to arrange hand delivery of application packages. Any such application must be received by the paper application deadline. Applications may not be dropped off at the NIST Visitor Center without such prior arrangements.

NIST strongly recommends that applicants do not wait until the last minute to submit an application. NIST will not make allowance for any late submissions resulting from an applicant's inability to register with Sam.gov or grants.gov in a timely manner. The responsibility for ensuring a complete application is received by NIST by the deadline is the sole responsibility of the applicant. To avoid any potential processing backlogs due to last minute Grants.gov registrations, applicants are highly encouraged to begin their Grants.gov registration process early.

When developing your submission timeline, keep in mind that (1) a free annual registration process in the electronic System for Award Management (SAM) (see Section VI.2.b. of this FFO) may take more than two weeks, and (2) applicants using Grants.gov will receive a series of receipts over a period of up to two business days before learning via a validation or rejection notification whether a Federal agency's electronic system has received its application.

4. Intergovernmental Review. Proposals under this Program are not subject to Executive Order 12372.

5. Funding Restrictions. Profit or fee is not an allowable cost.

6. Other Submission Requirements

a. Proposals may be submitted by paper or electronically.

(1) Paper applications must be submitted in triplicate (an original and two copies) and submitted to the following personnel:

Mary Clague, National Institute of Standards and Technology, 100 Bureau Drive,
Mail Stop 2200, Gaithersburg, MD 20899 (Phone: 301-975-4188).

(2) Electronic applications must be submitted via Grants.gov at www.grants.gov, under announcement 2014-NIST-SBIR-02.

a) Submitters of electronic applications should carefully follow specific Grants.gov instructions to ensure the attachments will be accepted by the Grants.gov system. A receipt from Grants.gov indicating an application is received does not provide information about whether attachments have been received. For further information or questions regarding applying electronically for the 2014-NIST-SBIR-02 announcement, contact Christopher Hunton by phone at 301-975-5718 or by e-mail at christopher.hunton@nist.gov.

b) Applicants are strongly encouraged to start early and not wait until the approaching due date before logging on and reviewing the instructions for submitting an application through Grants.gov. The Grants.gov registration

process must be completed before a new registrant can apply electronically. If all goes well, the registration process takes three (3) to five (5) business days. If problems are encountered, the registration process can take up to two (2) weeks or more. Applicants must have a Dun and Bradstreet Data Universal Numbering System (DUNS) number (see Section VI.2.b. of the FFO) and must maintain a current registration in the Federal government's primary registrant database, the System for Award Management (<https://www.sam.gov/>), as explained on the Grants.gov Web site. After registering, it may take several days or longer from the initial log-on before a new Grants.gov system user can submit an application. Only authorized individual(s) will be able to submit the application, and the system may need time to process a submitted application. Applicants should save and print the proof of submission they receive from Grants.gov. If problems occur while using Grants.gov, the applicant is advised to (a) print any error message received and (b) call Grants.gov directly for immediate assistance. If calling from within the United States or from a U. S. territory, please call 800-518-4726. If calling from a place other than the United States or a U. S. territory, please call 606-545-5035. Assistance from the Grants.gov Help Desk will be available around the clock every day, with the exception of Federal holidays. Help Desk service will resume at 7:00 a.m. Eastern Time the day after Federal holidays. For assistance using Grants.gov, you may also contact support@grants.gov.

- c) To find instructions on submitting an application on Grants.gov, Applicants should refer to the "Applicants" tab in the banner just below the top of the www.grants.gov home page. Clicking on the "Applicants" tab produces the "Grant Applicants" page.

In addition to following the "Steps" and instructions described in the "Applicant Actions" section and its sub-categories, further detailed instructions are described in "Applicant Resources" and all of its subcategories. This appears in the box near the top left of the Grant Applicants page. Applicants should follow the links associated with each subcategory.

Applicants will receive a series of receipts during a process of up to two business days before the application is either validated as electronically received by the Federal agency system, or rejected by it. Closely following the detailed information in these subcategories will increase the likelihood of acceptance of the application by the Federal agency's electronic system.

Applicants should pay close attention to the instructions under "Applicant FAQs," as they contain information important to successful submission on

Grants.gov, including essential details on the naming conventions for attachments to Grants.gov applications.

*All applicants should be aware that adequate time must be factored into applicants' schedules for submission of their application, and applicants **are advised that volume on Grants.gov may be extremely heavy on the deadline date.***

Refer to important information in Section IV.3. Submission Dates and Times, to help ensure your application is received on time.

If timely application submissions are interrupted by the manifestation of a natural disaster, such as a hurricane, blizzard, or similar extreme inclement weather event, or by the aftermath of such an event, such as power outages and/or Federal, public and/or private institution closures, NIST may: (1) consider an appeal for an individual situation involving such circumstances, or (2) extend the due date for all applicants. For an individual appeal, an applicant must request a deadline waiver and present in writing compelling circumstances, related only to such unavoidable causes involving forces of nature, which must be received by the NIST Programmatic and Technical Questions Point of Contact as listed in Section VII., within three business days of the deadline, by 5:00 p.m. Eastern Time. In addition, in the event of Federal government closure on the application deadline day, the deadline will be extended for all applicants to the next business day, under the same conditions described in the FFO. In the event of Federal government closure(s) during the week before the application deadline, NIST will post a statement at the top of the FFO on www.grants.gov and at <http://www.nist.gov/tpo/sbir/> as soon as practicable indicating whether the deadline is extended for all applicants, under the same conditions described in the FFO. The FFO may be amended to extend the deadline under these and other circumstances. For information on signing up for any amendments to the FFO that may arise, refer to Section IV.6.b. of this FFO.

- b. Amendments.** Any amendments to this FFO will be announced through Grants.gov. Applicants can sign up for Grants.gov FFO amendments or may request copies from Mary Clague by telephone on 301-975-4188; or email: mary.clague@nist.gov

V. Application Review Information

1. Evaluation Criteria

The evaluation criteria that will be used in evaluating applications and assigned equal weights are as follows. The evaluation criteria are set in the context of the applicant's ability to align the application for accomplishing the objectives outlined in Section I. of this FFO:

- a. Technical Experience.** The extent to which the applicant demonstrates an understanding of the requirements and knowledge of the SBIR

program, NIST topic areas as identified on the NIST SBIR web site (<http://www.nist.gov/tpo/sbir/>), and related markets and industries, will be evaluated.

b. Project Narrative ((1) and (2) are assigned equal weights).

(1) Types of Technical and Business Development Activities.

The extent to which the applicant identifies and describes the types of technical and business development activities that will be provided to NIST SBIR Phase I and/or Phase II recipients will be evaluated. The extent to which the proposed activities will enable NIST SBIR recipients to make better technical decisions concerning NIST SBIR projects; solve technical problems that arise during the conduct of NIST SBIR projects; minimize technical risks associated with NIST SBIR projects; and develop and commercialize new commercial products and processes resulting from their NIST SBIR projects will be evaluated. The methods and approaches that will be taken to promote successful transition of the Phase I and/or Phase II results to commercialization will be evaluated.

(2) Engagement of NIST SBIR Recipients. The quality of the applicant's plan for engaging with NIST SBIR recipients, and how the applicant plans to inform and train the NIST SBIR recipients on the proposed technical and business development activities will be evaluated. The degree to which and quality of the methods the applicant will use to coach NIST SBIR recipients as they participate in the activities will be assessed. The applicant's plans for identifying the current state of each NIST SBIR recipient's research and providing appropriate advice and assistance about commercialization pathways will be evaluated. The strength and depth of the applicant's approach to work with each NIST SBIR recipient and customize activities that best support NIST SBIR recipients at different levels of product development will be assessed. The extent to which the applicant's proposed activities and engagement processes enable NIST SBIR recipients to leverage other programs, such as the NIST Hollings Manufacturing Extension Partnership Centers (www.nist.gov/mep) will be assessed.

c. Qualifications of the Applicant. The qualifications and experience of the applicant's organization and staff to carry out the objectives of the proposed project will be evaluated. The extent to which the applicant has access to the necessary facilities, technical experts and overall support to accomplish the proposed project objectives will be evaluated. The

applicant's relevant knowledge, skills, and abilities to enhance the ability of the NIST SBIR Phase I and/or SBIR Phase II recipients to write commercialization plans will be considered as part of this criterion. Information on the applicant's past performance on other Federal awards relevant to this project will also be considered as part of this criterion, if applicable.

- d. **Project Management Plan.** The applicant's proposed methods and approach to manage the proposed project will be evaluated. The completeness and appropriateness of the management structure and the operational or management activities of key personnel who will be assigned to work on the proposed project will be assessed. The extent to which the proposed measurable performance outcomes demonstrate the value of the proposed technical and business development activities and successful engagement of NIST SBIR recipients will be evaluated. Steps proposed to be undertaken to resolve problems with NIST SBIR recipients, such as, but not limited to, non-responsiveness of NIST SBIR recipients invited to participate or lack of engagement of NIST SBIR recipients after they agree to participate, will be evaluated.
- e. **Budget Narrative.** An assessment of the budget against the proposed activities will be conducted to determine the practicality of the proposed budget with respect to carrying out the objectives of the proposed project.

2. Review and Selection Process

- a. **Initial Administrative Review of Proposals.** An initial review of timely received applications will be conducted to determine eligibility, completeness, and responsiveness to this FFO and the scope of the stated program objectives. Proposals determined to be ineligible, incomplete, and/or non-responsive may be eliminated from further review. However, NIST, in its sole discretion, may continue the review process for an application that is missing non-substantive information which may easily be rectified or cured.
- b. **Full Review of Eligible, Complete, and Responsive Proposals.** Proposals that are determined to be eligible, complete, and responsive will proceed for full reviews in accordance with the review and selection processes below:

At least three technically qualified reviewers will evaluate each application based on the evaluation criteria (see Section V.1. of this FFO) and assign a numeric score for each application. If non-Federal reviewers are used, reviewers may discuss the applications with each other, but scores will be determined on an individual basis, not as a consensus. Reviewers will assign each application a score, based on the application's responsiveness to the criteria above. Based on the reviewers' scores, a rank order will be prepared and provided to the Selecting Official.

The Selecting Official, who is the NIST Technology Partnerships Office (TPO) Director or designee, will make final application selections. The Selecting Official shall select an application for award based upon the rank order of the applications, and may select an application out of rank based on one or more of the following selection factors:

- a. Results of the reviewers' evaluations;
- b. Relevance of an application to the program as described in Section I. of this FFO;
- c. Whether the project duplicates other projects funded or considered for funding by NIST or other federal agencies; and
- d. The availability of funds.

NIST reserves the right to negotiate the budget costs with an applicant that has been selected to receive an award, which may include requesting that the applicant remove certain costs. Additionally, NIST may request that the applicant modify objectives or work plans and provide supplemental information required by the agency prior to the award. NIST also reserves the right to reject an application where information is uncovered that raises a reasonable doubt as to the responsibility of the proposer. NIST may select some, all, or none of the applications, or part(s) of any particular application. Final approval of the selected application and issuance of award will be made by the NIST Grants Officer. The award decisions of the NIST Grants Officer are final.

- 3. Anticipated Announcement and Award Dates.** The earliest anticipated start date for an award under this FFO is expected to be November 2014.

4. Additional Information

- a. Application Replacement Pages.** Applicants may not submit replacement pages and/or missing documents once an application has been submitted. Any revisions must be made by submission of a new application that must be received by NIST by the submission deadline (see Section IV.3 of this FFO).
- b. Notification to Unsuccessful Applicants.** Unsuccessful applicants will be notified in writing.
- c. Retention of Unsuccessful Applications.** For paper applications, one (1) copy of each non-selected applicant will be retained for three (3) years for record keeping purposes and the other two (2) copies will be destroyed. After three (3) years the remaining copy will be destroyed. For electronic applications, an electronic copy of each non-selected application will be retained for three (3) years for record keeping purposes. After three (3) years, it will be destroyed.

VI. Award Administration Information

- 1. Award Notices.** Successful applicants will receive an award from the NIST Grants Officer. The award cover page, i.e., CD-450, Financial Assistance Award is available at http://ocio.os.doc.gov/s/groups/public/@doc/@os/@ocio/@oitpp/documents/content/dev01_002513.pdf and the DoC Financial Assistance Standard Terms and Conditions (January 2013) are available at http://www.osec.doc.gov/oam/grants_management/policy/documents/DOC_Standard_Terms_and_Conditions_01_10_2013.pdf.
- 2. Administrative and National Policy Requirements**
 - a. DoC Pre-Award Notification Requirements.** The DoC Pre-Award Notification Requirements for Grants and Cooperative Agreements, which are contained in the *Federal Register* notice of December 17, 2012 (77 FR 74634), are applicable to this FFO and are available at <https://www.federalregister.gov/articles/2012/12/17/2012-30228/department-of-commerce-pre-award-notification-requirements-for-grants-and-cooperative-agreements>.
 - b. Employer/Taxpayer Identification Number (EIN/TIN), Dun and Bradstreet Data Universal Numbering System (DUNS), and System for Award Management (SAM).** All applicants for Federal financial assistance are required to obtain a universal identifier in the form of DUNS number and maintain a current registration in the Federal government's primary registrant database, SAM. On the form SF-424 items 8.b. and 8.c., the applicant's 9-digit EIN/TIN and 9-digit DUNS number must be consistent with the information in SAM (<https://www.sam.gov/>) and Automated Standard Application for Payment System (ASAP). For complex organizations with multiple EIN/TIN and DUNS numbers, the EIN/TIN and DUNS numbers **MUST** be the numbers for the applying organization. Organizations that provide incorrect/inconsistent EIN/TIN and DUNS numbers may experience significant delays in receiving funds if their application is selected for funding. Applicants should confirm that the EIN/TIN and DUNS number are consistent with the information on the SAM and ASAP. **Please note that a federal assistance award cannot be issued if the designated TCAP recipient's registration in the System for Award Management (SAM.gov) is not current at the time of the award.**

Per 2 C.F.R. Part 25, each applicant must:

- (1) Be registered in the Central Contractor Registry (CCR) before submitting an application noting the CCR now resides in SAM;
- (2) Maintain an active CCR registration, noting that the CCR now resides in SAM, with current information at all times during which it has an active Federal award or an application under consideration by an agency; and
- (3) Provide its DUNS number in each application it submits to the agency.

The applicant can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day. The CCR or SAM registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the EIN/TIN associated with your DUNS number is correct. Also note that you will need to update your CCR registration annually. This may take three or more business days to complete. Information about SAM is available at SAM.gov. See also 2 C.F.R. Part 25 and the *Federal Register* notice published on September 14, 2010, at 75 FR 55671.

- c. Collaborations with NIST Employees.** All applications should include a description of any work proposed to be performed by an entity other than the applicant, and the cost of such work should ordinarily be included in the budget.

If an applicant proposes collaboration with NIST, the statement of work should include a statement of this intention, a description of the collaboration, and prominently identify the NIST employee(s) involved, if known. Any collaboration by a NIST employee must be approved by appropriate NIST management and is at the sole discretion of NIST. Prior to beginning the merit review process, NIST will verify the approval of the proposed collaboration. Any unapproved collaboration will be stricken from the application prior to the merit review.

- d. Use of NIST Intellectual Property.** If the applicant anticipates using any NIST-owned intellectual property to carry out the work proposed, the applicant should identify such intellectual property. This information will be used to ensure that no NIST employee involved in the development of the intellectual property will participate in the review process for that competition. In addition, if the applicant intends to use NIST-owned intellectual property, the applicant must comply with all statutes and regulations governing the licensing of Federal government patents and inventions, described in 35 U.S.C. §§ 200-212, 37 C.F.R. Part 401, 15 C.F.R. § 14.36, and in Section B.21 of the DoC Pre-Award Notification Requirements, 77 FR 74634 (December 17, 2012). Questions about these requirements may be directed to the Chief Counsel for NIST, (301) 975-2803.

Any use of NIST-owned intellectual property by an applicant is at the sole discretion of NIST and will be negotiated on a case-by-case basis if a project is deemed meritorious. The applicant should indicate within the statement of work whether it already has a license to use such intellectual property or whether it intends to seek one.

If any inventions made in whole or in part by a NIST employee arise in the course of an award made pursuant to this FFO, the United States government may retain its ownership rights in any such invention. Licensing or other disposition of NIST's

rights in such inventions will be determined solely by NIST, and include the possibility of NIST putting the intellectual property into the public domain.

- e. **Research Activities Involving Human Subjects, Human Tissue, Data or Recordings Involving Human Subjects Including Software Testing.** Any application that includes research activities involving human subjects, human tissue/cells, or data or recordings involving human subjects, including software testing, must meet the requirements of the Common Rule for the Protection of Human Subjects (“Common Rule”), codified for the Department of Commerce (DoC) at 15 C.F.R. Part 27. In addition, any such application that includes research activities on these topics must be in compliance with any statutory requirements imposed upon the Department of Health and Human Services (DHHS) and other Federal agencies regarding these topics, all regulatory policies and guidance adopted by DHHS, the Food and Drug Administration, and other Federal agencies on these topics, and all Executive Orders [and](#) Presidential statements of policy on these topics.

NIST reserves the right to make an independent determination of whether an applicant’s research activities involve human subjects. NIST policy also requires a NIST administrative review for research involving human subjects approved by a non-NIST Institutional Review Board (IRB). (15 C.F.R. § 27.112 Review by Institution.) If NIST determines that your application involves human subjects, you will be required to provide additional information for review and approval. If an award is issued, no research activities involving human subjects shall be initiated or costs incurred under the award until the NIST Grants Officer issues written approval. Retroactive approvals are not permitted.

NIST will accept applications that include exempt and non-exempt human subjects research activities. Organizations that have an IRB are required to follow the procedures of their organization for approval of exempt and non-exempt research activities that involve human subjects, if the application is funded. Non-exempt human subjects research activities by either domestic or foreign organizations will be required to have protocols approved by a cognizant active IRB currently registered with the Office for Human Research Protections (OHRP) within the DHHS that is linked to the engaged organizations possessing a currently valid Federal-wide Assurance (FWA) on file from OHRP. Information regarding how to apply for an FWA and register and IRB with OHRP can be found at <http://www.hhs.gov/ohrp/assurances/index.html>. NIST relies only on OHRP-issued FWAs and IRB Registrations for both domestic and foreign organizations for NIST supported research involving human subjects. NIST will not issue its own FWAs or IRB Registrations for domestic or foreign organizations.

The applicant should clearly indicate in the application, by separable task, all research activities believed to be exempt or non-exempt research involving human subjects and the expected institution(s) where the research activities

involving human subjects may be conducted.

If an activity/task involves data obtained through intervention or interaction with living individuals or identifiable private information obtained from or about living individuals but the applicant participant(s) believes that the activity/task is not research as defined under the Common Rule, the following may be requested for that activity/task:

Justification, including the rationale for the determination and in some cases additional documentation, to support a determination that the activity/task in the application is not research as defined under the Common Rule. See 15 C.F.R. § 27.102. This may result in a NIST determination. If the applicant participant(s) uses a cognizant IRB that provides an IRB approval, a copy of that IRB approval documentation will be required by NIST. The applicant participant(s) is not required to establish a relationship with a cognizant IRB if they do not have one, but if the applicant participant(s) has a cognizant IRB that requires review of the activity/task, or the applicant participant(s) elects to obtain IRB review, a copy of the IRB approval documentation will be required by NIST.

If the application appears to NIST to include exempt research activities, and the performer of the activity or the supplier and/or the receiver of the biological materials, or data from human subjects **does not** have a cognizant IRB to provide an exemption determination, the following information may be requested during the review process so that NIST can evaluate whether an exemption under the Common Rule applies (see 15 C.F.R. § 27.101).

- (a) The name(s) of the institution(s) where the exempt research will be conducted; and/or from which biological materials, or data from human subjects will be provided.
- (b) A copy of the protocol of the research to be conducted; and/or the biological materials, or data from human subjects to be collected/provided, not pre-existing samples (*i.e.*, will proposed research collect only information without personal identifiable information, will biological materials or data be de-identified and when and by whom was the de-identification performed, how were the materials or data originally collected).
- (c) For pre-existing biological materials, or data from human subjects provide copies of the consent forms used for collection and a description of how the materials or data were originally collected and stripped of personal identifiers. If copies of consent forms are not available, explain.
- (d) Any additional clarifying documentation that NIST may request during the review process in order to make a determination that the activity or use of biological materials or data from human subjects is exempt under the Common Rule (see 15 C.F.R. § 27.101).

If the application appears to NIST to include research activities (exempt or non-exempt) involving human subjects, and the performer of the activity has a cognizant IRB, the following information may be requested during the review process:

- (1) The name(s) of the institution(s) where the research will be conducted;
- (2) The name(s) and institution(s) of the cognizant IRB(s), and the IRB registration number(s);
- (3) The FWA number of the applicant linked to the cognizant IRB(s);
- (4) The FWAs associated with all organizations engaged in the planned research activity/task-linked to the cognizant IRB;
- (5) If the IRB review(s) is pending, the estimated start date for research involving human subjects;
- (6) The IRB approval date (if currently approved for exempt or non-exempt research);
- (7) If any FWAs or IRB registrations are being applied for, that should be clearly stated.

Additional documentation may be requested by NIST for performers with a cognizant IRB during review of the application, and may include the following for research activities involving human subjects that are planned in the first year of the award:

- (1) A signed (by the study principal investigator) copy of each applicable final IRB-approved protocol;
- (2) A signed and dated approval letter from the cognizant IRB(s) that includes the name of the institution housing each applicable IRB, provides the start and end dates for the approval of the research activities, and any IRB-required interim reporting or continuing review requirements;
- (3) A copy of any IRB-required application information, such as documentation of approval of special clearances (i.e., biohazard, HIPAA, etc.) conflict-of-interest letters, or special training requirements;
- (4) A brief description of what portions of the IRB submitted protocol are specifically included in the application submitted to NIST, if the protocol includes tasks not included in the application, or if the protocol is supported by multiple funding sources. For protocols with multiple funding sources, NIST will not approve the study without a non-duplication-of-funding letter indicating that no other federal funds will be used to support the tasks proposed under the proposed research or ongoing project;
- (5) If a new protocol will only be submitted to an IRB if an award from NIST is issued, a draft of the proposed protocol may be requested;
- (6) Any additional clarifying documentation that NIST may request during the review process to perform the NIST administrative review of research involving human subjects. (see 15 C.F.R. § 27.112 Review by Institution.)

f. Research Applications Involving Live Vertebrate Animals. Any application that includes research activities involving live vertebrate animals, that are being cared

for, euthanized, or used by participants in the application to accomplish research goals, teaching, or testing, must be in compliance with the National Research Council's "Guide for the Care and Use of Laboratory Animals," which can be obtained from National Academy Press, 500 5th Street, N.W., Department 285, Washington, DC 20055. In addition, such applications must meet the requirements of the Animal Welfare Act (7 U.S.C. § 2131 et seq.), 9 C.F.R. Parts 1, 2, and 3, and if appropriate, 21 C.F.R. Part 58. These regulations do not apply to proposed research using preexisting images of animals or to research plans that do not include live animals. These regulations also do not apply to obtaining stock items from animal material suppliers (e.g., tissue banks), such as cell lines and tissue samples, or from commercial food processors, where the vertebrate animal was euthanized for food purposes and not for sample collection. NIST does require documentation for obtaining custom samples from live vertebrate animals from animal material suppliers and other organizations (i.e., universities, companies, and government laboratories, etc.). Custom samples includes samples from animal material suppliers, such as when a catalog item indicates that the researcher is to specify the characteristics of the live vertebrate animal to be used, or how a sample is to be collected from the live vertebrate animal.

The applicant should clearly indicate in the application, by separable task, all research activities believed to include research involving live vertebrate animals and the institution(s) where the research activities involving live vertebrate animals may be conducted.

NIST reserves the right to make an independent determination of whether an applicant's research activities involve live vertebrate animals or custom samples from live vertebrate animals. If NIST determines that the application includes research activities or custom samples involving live vertebrate animals, you will be required to provide additional information for review and approval. If an award is issued, no research activities involving live vertebrate animals subjects shall be initiated or costs incurred under the award until the NIST Grants Officer issues written approval.

If the applicant's application appears to include research activities or custom sample collections involving live vertebrate animals the following information may be requested during the application review process:

- (1) The name(s) of the institution(s) where the animal research will be conducted and/or custom samples collected;
- (2) The assurance type and number, as applicable, for the cognizant Institutional Animal Care and Use Committee (IACUC) where the research activity is located. [For example: Animal Welfare Assurance from the Office of Laboratory Animal Welfare (OLAW) should be indicated by the OLAW assurance number, i.e. A-1234; an USDA Animal Welfare Act certification should be indicated by the certification number i.e. 12-R-3456; and an

Association for the Assessment and Accreditation of Laboratory Animal Care (AAALAC) should be indicated by AAALAC.]

- (3) The IACUC approval date (if currently approved);
- (4) If the review by the cognizant IACUC is pending, the estimated start date for research involving vertebrate animals;
- (5) If any assurances or IACUCs need to be obtained or established, that should be clearly stated.

Additional documentation may be requested by NIST during review of the application and may include the following for research activities and/or custom sample collections involving live vertebrate animals that are planned in the first year of the award:

- (1) A signed (by the Principal Investigator) copy of the IACUC approved Animal Study Application (ASP);
- (2) Documentation of the IACUC approval indicating the approval and expiration dates of the ASP; and
- (3) If applicable, a non-duplication-of-funding letter if the ASP is funded from several sources.
- (4) If a new ASP will only be submitted to an IACUC if an award from NIST issued, a draft of the proposed ASP may be requested.
- (5) Any additional clarifying documentation that NIST may request during review of applications to perform the NIST administrative review of research involving live vertebrate animals.

For more information regarding human subjects or research projects involving live vertebrate animals, contact Linda Beth Schilling, Senior Coordinator and Policy Advisor for Human & Animal Subjects Research at NIST (email: linda.schilling@nist.gov; phone: 301-975-2887).

- g. Funding Availability and Limitation of Liability.** Funding for the program listed in this FFO is contingent upon the availability of appropriations. In no event will NIST or DoC be responsible for application preparation costs if the program fails to receive funding or is cancelled because of agency priorities. Publication of this FFO does not oblige NIST or DoC to award any specific project or to obligate any available funds.
- h. Certifications Regarding Federal Felony and Federal Criminal Tax Convictions, Unpaid Federal Tax Assessments and Delinquent Federal Tax Returns.** In accordance with Federal appropriations law, an authorized representative of the selected applicant(s) may be required to provide certain pre-award certifications regarding federal felony and federal criminal tax convictions, unpaid federal tax assessments, and delinquent federal tax returns.

- i. **OMB Uniform Administrative Requirements, Cost Principles and Audit Requirements.** Please note that on December 26, 2013, OMB published final guidance titled “Uniform Administrative Requirements, Cost Principles, and Audit Requirements” (OMB Uniform Guidance) (<https://www.federalregister.gov/articles/2013/12/26/2013-30465/uniform-administrative-requirements-cost-principles-and-audit-requirements-for-federal-awards>), which streamlines the language from eight existing OMB circulars, including Cost Principles (OMB Circulars A-21, A-87, A-122) and administrative requirements (OMB Circulars A-102 and A-110), into one consolidated set of guidance applicable to federal assistance awards. Once adopted by the Department of Commerce through the promulgation of updated financial assistance regulations, the OMB Uniform Guidance will supersede DOC’s uniform administrative requirements for financial assistance awards, currently set forth in 15 C.F.R. parts 14 and 24. The DOC expects to adopt the OMB Uniform Guidance by December 26, 2014, meaning that the OMB Uniform Guidance will apply to all new awards and to additional funding to existing awards made after December 26, 2014. In addition, the audit requirements of the OMB Uniform Guidance will apply to audits of non-Federal entities beginning on or after December 26, 2014. Therefore, applicants should familiarize themselves with the OMB Uniform Guidance. Additional information on the substance of and transition to the OMB Uniform Guidance may be found at <https://cfo.gov/cofar/>.
- j. **Accounting Systems Certification.** If an applicant has never received Federal funding or if an applicant has an audit or other history of financial management issues, a certification may be required from a CPA to provide information about whether the applicant has a functioning financial management system that meets the provisions of 15 C.F.R. § 14.21 or 15 C.F.R. § 24.30 (as applicable). As part of the proposed project budget, such applicants may wish to include costs for an accounting systems assessment and certification.

3. Reporting

- a. **Reporting Requirements.** Per the reporting requirements described in Sections A.01 Financial Reports and B.01 Performance (Technical) Reports of the DoC Financial Assistance Standard Terms and Conditions dated January 2013 (http://www.osec.doc.gov/oam/grants_management/policy/documents/DOC_Standard_Terms_and_Conditions_01_10_2013.pdf), the following reporting requirements shall apply:
- (1) **Financial Report.** Each TCAP recipient will be required to submit an SF-425, Federal Financial Report in triplicate (an original and two (2) copies), on a quarterly basis for the periods ending March 31, June 30, September 30, and December 31 of each year. Reports will be due within 30 days after the end of the reporting period.

(2) **Performance (Technical) Reports.** Each TCAP recipient will be required to submit a technical progress report in triplicate (an original and two (2) copies), on a quarterly basis for the periods ending March 31, June 30, September 30, and December 31 of each year. Reports will be due within 30 days after the end of the reporting period. A final technical progress report shall be submitted within 90 days after the expiration date of the award. Two (2) copies of the technical progress report shall be submitted to the Project Manager and the original report to the NIST Grants Officer. Technical progress reports shall contain information as prescribed in 15 C.F.R. § 14.51.

(3) **Patent and Property Reports.** From time to time, and in accordance with the Uniform Administrative Requirements and other terms and conditions governing the award, the TCAP recipient may need to submit property and patent reports.

b. **OMB Circular A-133 Audit Requirements.** Single or program-specific audits shall be performed in accordance with the requirements contained in OMB Circular A-133, “*Audits of States, Local Governments, and Non-Profit Organizations*,” and the related *Compliance Supplement*. OMB Circular A-133 requires any non-Federal entity (*i.e.*, including non-profit institutions of higher education and other non-profit organizations) that expends Federal awards of \$500,000 or more in the recipient’s fiscal year to conduct a single or program-specific audit in accordance with the requirements set out in the Circular. Applicants are reminded that NIST, the DoC Office of Inspector General or another authorized Federal agency may conduct an audit of an award at any time. Additionally, applicants should take note of the new financial assistance audit requirements set forth in the recently published OMB Uniform Administrative Requirements, Cost Principles, and Audit Requirements, which is cited and discussed above in Section VI.2.i. of this FFO.

c. **Federal Funding Accountability and Transparency Act of 2006.** In accordance with 2 C.F.R. Part 170, all recipients of a Federal award made on or after October 1, 2010, are required to comply with reporting requirements under the Federal Funding Accountability and Transparency Act of 2006 (Pub. L. No. 109-282). In general, all recipients are responsible for reporting sub-awards of \$25,000 or more. In addition, recipients that meet certain criteria are responsible for reporting executive compensation. Applicants must ensure they have the necessary processes and systems in place to comply with the reporting requirements should they receive funding. Also see the *Federal Register* notice published September 14, 2010, at 75 FR 55663.

VII. Agency Contact(s)

Questions should be directed to the following contact persons:

Subject Area	Point of Contact
Programmatic and technical questions	Mary Clague NIST SBIR Phone: 301-975-4188 Email: mary.clague@nist.gov
Electronic application submission through Grants.gov	Christopher Hunton Administrative Support & Document Control Office NIST Phone: 301-975-5718 Fax: 301-840-5976 E-mail: christopher.hunton@nist.gov Or Grants.gov Phone: (800) 518-4726 E-mail: support@grants.gov
Grant rules and regulations	Calvin Mitchell Grants Management Division Phone: 301-975-4585 Fax: 301-840-5976 E-mail: calvin.mitchell@nist.gov

VIII. Other Information

More information on the NIST SBIR program, including past solicitations and NIST SBIR recipient information, is available at <http://www.nist.gov/sbir>.

NIST is not obligated to make any award as the result of this FFO.