

Proposal Checklist and Important Due Dates

- February 4, 2019:** Initial proposals due
- February 11, 2019:** Announcement of initial proposal decisions
- February 11– March 4, 2019:** Intake interviews with all participating small businesses
- February 11– March 4, 2019:** Presentation preparation and dry run (Your NMSBA project manager will call to schedule)
- March 4, 2019:** Supporting documentation
 - Project Information (Attachment A)
 - Completed *Request for Assistance* from each participating company (Available online at http://www.nmsbaprogram.org/leveraged_assistance_form)
 - Project timeline and budget (Attachment B)
 - Signed Line Management Approval form (Attachment C)
 - Electronic copy of final presentation
- March 13, 2019:** Project presentations in Albuquerque
- OR-
- March 14, 2019:** Project presentations in Santa Fe

Your project manager will call to schedule

- March 22, 2019:** Funding notification
- March 25, 2019 – April 24, 2019:** Kick-off meetings and site visits with participating businesses
- April 24, 2019:** Signed agreements from all participating small businesses.

Submissions: All submissions (except online Request for Assistance) should be emailed to
 SNL: Sharon Evans (sfevans@sandia.gov, 505-845-9671)
 LANL: Kim Sherwood (ksherwood@lanl.gov, 505-665-1305)

Late submissions will not be accepted.

Guidelines and Requirements

1. One laboratory staff member is assigned to serve as Principal Investigator (PI) for the project. The work may be performed by a team, but the PI serves as the project coordinator and communicates with the NMSBA program office and small businesses.
2. Line management approval and signature is required for the PI listed on the NMSBA leveraged project proposal. The manager approval form is found at the end of these guidelines (Attachment C).
3. Laboratory personnel performing work on an NMSBA project must comply with all laboratory-specific requirements, including those related to safety, security, and the environment.
4. A representative from the group of small businesses will be designated as the small business Point of Contact (POC). The POC will represent the small businesses and work with the PI throughout the leveraged project. The POC duties include:
 - communicating the small business need for the project
 - acting as liaison between the PI and the small businesses
 - responding in a timely manner to NMSBA staff requests for forms and documentation from participating small businesses
 - providing participating small businesses with quarterly status updates for the project
5. The assistance provided by the national laboratories must address small business needs and utilize a capability that is not available at reasonable cost from private industry. The PI, POC, participating small businesses and NMSBA project manager must all agree that the assistance being provided is not available at a reasonable cost through private industry.
6. Proposed budgets cannot exceed \$100K. NMSBA leveraged project funding is based on a calendar year. All unused funds expire in December 2019; remaining funding do not carry over to calendar year 2020. Project budgets must not exceed the sum of allocations from the requesting small businesses:
 - Companies in Bernalillo County (urban) are allocated \$10,000 in assistance per calendar year
 - Companies outside Bernalillo County (rural) are allocated \$20,000 in assistance per calendar year

Example: A proposal for a \$60,000 project requires requests for technical assistance from 3 rural companies or 6 urban companies or a combination of urban and rural companies totaling at least \$60,000.

1. The following are required from **each business** participating in a NMSBA leveraged project:

Requirement	Due
Completed <i>Request for Assistance</i> available online at: http://www.nmsbaprogram.org/leveraged_assistance_form	By February 4, 2019
Participation in brief phone interview with NMSBA Program staff	By March 4, 2019
Signed <i>Terms and Assistance</i> document (“Agreement”)	Prior to start of project
Signed <i>Certificate of Services Rendered</i> (CSR)	Upon project completion
Participation in customer satisfaction survey	Upon project completion
Participation in economic impact survey	July 2020

2. The following are required from the **primary PI** for each NMSBA leveraged project:

Requirement	Due
Signed <i>Line Management Approval</i> form (Attachment C)	By: March 4, 2019
Signed memo that details allowable costs, guidelines for purchases and contracts, and procedures related to intellectual property (provided by NMSBA Program office)	Prior to start of project
Quarterly and final status reports to the NMSBA Program office outlining progress to date	Quarterly and at year end

Evaluation Criteria

Proposals are evaluated based on how well they address the following:

- The anticipated economic and business impact of the project on all participating NM small businesses and the state as a whole.
Examples: jobs created or retained, revenue increased, operating costs reduced
- How the project results will be used by all of the participating small businesses.
- Whether the technical assistance utilizes unique laboratory capabilities not available at a reasonable cost in the private sector.
- How the project will enhance the national laboratories and/or laboratory staff capabilities.
Examples: has the potential for licensing of laboratory technologies, has the potential to attract other funding like WFO or CRADA, supports emerging program development objectives within the laboratory, enhances staff skills, or supports existing program areas within the laboratory.
- The overall proposal quality and reasonableness, including clarity of purpose, tasks, deliverables, schedule, and cost.

In addition to meeting the above evaluation criteria, preference will be given to projects that support the following strategic objectives of the NMSBA program:

- Diversify and expand the NMSBA program's use of laboratory technical capabilities, organizations and personnel
- Diversify the types of businesses and/or industries served by NMSBA
- Promote rural economic development or assist companies located in underserved counties
- Focus on an economic development area or industry cluster important to retaining or growing business in New Mexico (e.g. aerospace and aviation, biotechnologies and health care, energy, environment and water, information technology and software, or nanotechnologies and microelectronics).

Proposal Format

There are two major components of final proposals for 2019 Leveraged Projects: supporting documentation and a 12-minute presentation.

Supporting Documentation, due by March 4, 2019:

- **Leveraged Project Information** (Attachment A) including the name of the project, the laboratory principal investigator (PI) and national laboratory affiliation, requested funding amount, and information about the participating businesses including the POC and the expected economic impact of the project for each business.
- **Leveraged Project Request for Assistance** (http://www.nmsbaprogram.org/leveraged_assistance_form) from each participating company.
- **Project Timeline and Budget** (Attachment B) including project work broken down into tasks, milestones, and deliverables with budgets not to exceed \$10,000 per line item.
- **Line Management Approval** form (Attachment C) that includes the project title, requested budget, name and organization of the PI as well as the line manager's name and signature.

- The initial **Proposal**, which will be on file from the submission on February 2, 2019 (may be modified within reason and resubmitted, but is not required).

Presentation to the Advisory Council, **March 13, 2019 (Albuquerque) or March 14, 2019 (Santa Fe)**

Each proposed project will be allotted twelve (12) minutes for an oral presentation and ten (10) minutes for questions from the audience. At a minimum, the PI and the small business POC must participate in the presentation. All of the participating companies are invited and encouraged to attend.

Please clearly mark anything in your proposal or oral presentation that is business sensitive or proprietary. Be advised that we do not require execution of a Non-Disclosure Agreement with our reviewers. All reviewers are notified that some elements of these proposals may be marked proprietary or business sensitive and should be treated as such.

Presentations are reviewed by the NMSBA Advisory Council. The Advisory Council is composed of members of each laboratory, small business owners, and local economic development personnel (e.g., small business development center staff, investors, and other business and technical assistance program staff). National laboratory contractors include staff from New Mexico Manufacturing Extension Partnership (NM MEP), University of New Mexico, New Mexico Institute of Mining and Technology, and New Mexico State University.

There is no required presentation style, but your presentation must include the six sections described below. As a suggestion, each of the required sections may be covered in an individual slide, with the small business POC presenting Sections 1 through 4 and the PI presenting Sections 5 and 6. All items must be clearly addressed within the 12-minute presentation and should be explained in a way that a non-technical person can understand the subject matter. Each section should illustrate how your project meets the evaluation criteria described above and represents a sound investment for the NMSBA Program and the State of New Mexico.

Section 1: Introduction

- Project title, small business POC, national laboratory PI

Section 2: Small Business Problem/Challenge

- Describe the problem or challenge faced by the small businesses
- Explain how the businesses are being impacted
- Describe the small businesses' efforts to solve the problem through the private sector

Section 3: Use of Project Deliverables by the Small Businesses

- Explain how each participating business will use or apply the project deliverables to:
 - Strengthen existing or develop new business capabilities
 - Address an industry-wide need or problem
 - Determine business development opportunities and attract investment
 - Refine the small businesses' technology and/or expand its uses
 - Improve or optimizes the use and/or management of resources
 - Demonstrate the efficacy of the small businesses' technology or product

Section 4: Economic Impact of the Project

- Describe the expected economic impact of the project on the participating small businesses including:
 - The ability to offer a new technology, product, or service to increase revenue
 - Decreased operating costs or avoidance of unnecessary costs
 - Improved position to obtain outside funding or financing for a product or technology
 - Cost savings or increased revenue, allowing the businesses to purchase new equipment, expand facilities, or acquire NM goods and services

Section 5: Technical Description

- Describe the proposed work
- Explain how the proposed work will address the problem/challenge faced by the small businesses
- Describe how the proposed work differs from services available through the private sector

Section 6: Benefit to National Laboratory and/or Laboratory Staff Capabilities

- Explain how this project would benefit or impact the national laboratory or laboratory staff by:
 - Enhancing the skills or expertise of the principal investigator or project team
 - Supporting existing program areas within the laboratory
 - Supporting emerging program development objectives within the laboratory
 - Attracting other funding (CRADA, WFO, etc.)
 - Licensing laboratory technologies
 - Leveraging other economic development programs supported by the laboratories (e.g. Northern NM Connect, TVC, etc.)

Each project presentation must be rehearsed with an NMSBA project manager between February 11 and March 4, 2019. The rehearsal will be a minimum of one hour, during which the project manager will evaluate the presentation style and content.

You will be required to submit an electronic copy of your final presentation to the appropriate lab by March 4, 2019. The presentation to the NMSBA Program Advisory Council is scheduled for March 13, 2019, in Albuquerque or March 14, 2019, in Santa Fe.

**ATTACHMENT A
Leveraged Project Information**

1. Title of Project:

2. Laboratory Principal Investigator (PI):

Lab Affiliation:

Phone:

Email:

3. Technical Area of Assistance: From the following list, please choose one category of technical assistance that best describes the work that will be done on the project:

- | | | |
|------------------------------------|--|-------------------------------|
| (1) Astronomy & Physics | (5) Chemistry and Bio-chemistry | (8) Energy |
| (2) Advanced Modeling & Simulation | (6) Computational and Computer Science | (9) Engineering |
| (3) Biological or Medical Sciences | (7) Earth & Environmental Sciences | (10) Manufacturing |
| (4) Business Development | | (11) Material Science |
| | | (12) Micro- & Nano-Technology |

4. Budget Requested:

5. List of Small Business Requesters:

Business Name City County POC for company Phone Number	Industry Category Number [†]	Description of the expected economic impact of the project on the participating small business <i>(e.g.: job creation or retention, increased revenue, decreased operating costs)</i>
POC for leveraged project		

[†]Please select the category number from the following list that best describes each company:

- | | | |
|--|-------------------------------------|---|
| (1) Manufacturing | (4) Retail & Wholesale | (8) Real Estate, Finance, Insurance and Management Services |
| (2) Professional, Scientific, and Technical Services | (5) Media & Hospitality | (9) Other Services |
| (3) Agriculture and Natural Resources | (6) Oil & Gas, Utilities and Mining | |
| | (7) Educational and Health Services | |

ATTACHMENT B
Project Timeline and Budget

Using the table format below:

- List the project’s tasks/milestones/deliverables, the quarter in which they will be completed, and estimated costs.
- Include brief narrative descriptions of tasks in the table.
- Tasks exceeding \$10K should be broken into subtasks.
- Cost estimates should be based on the Standard Labor Rate (i.e., unburdened rate) of the project team members plus 17% for NMSBA Program overhead.

Tasks, Milestones, Deliverables	Completion Calendar Quarter (i.e., Q1, Q2, etc.)	Budget (\$)
1. Narrative description of Task 1		
Subtask:		
Subtask:		
Milestone/Deliverable: <i>Describe milestones and deliverables associated with the task</i>		
2. Narrative description of Task 2		
Subtask:		
Subtask:		
Milestone/Deliverable:		
3. Narrative description of Task 2		
Subtask:		
Subtask:		
Milestone/Deliverable:		
Final Deliverable:		
17% Overhead		
Total		

ATTACHMENT C
Line Management Approval

Title of Proposed Project:

Principal Investigator and Organization:

Participating Laboratory Staff and Organization(s):

Funding Request: \$

Brief Description of Project:

Project period: 2019 Calendar Year

I have reviewed and approved this proposal.

Line Manager Name:	Organization:
Line Manager Signature:	Date:

SNL Proposals: Sharon Evans, sfevans@sandia.gov, fax 505-284-9551

LANL Proposals: Kim Sherwood, ksherwood@lanl.gov, fax number upon request



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