



Oklahoma Center for the Advancement of Science and Technology

FY12 R&D Faculty and Student Intern Partnerships

Application Deadlines:

September 7, 2011
November 30, 2011
February 22, 2012
April 4, 2012

All applications must be received by 5 p.m. on the day of the deadline in order to be eligible for review

Statement of Intent Deadlines:

August 19, 2011
November 10, 2011
February 3, 2012
March 16, 2012

Oklahoma Center for the Advancement of Science and Technology

755 Research Parkway, Suite 110
Oklahoma City, OK 73104-3612
405-319-8400 / 866-265-2215

www.ok.gov/ocast

General Information

Eligible organizations: Oklahoma colleges, universities, and businesses

Eligible interns: Oklahoma undergraduate students and undergraduate teaching faculty

Amendments: This solicitation may be amended by OCAST. Amendments can be found on OCAST's website under the section "Program Support/Solicitation/R&D Intern Partnerships Solicitation Amendments." It is the responsibility of the applicant to review any such amendments and make necessary changes in the application to meet the amended solicitation requirements.

Proposal preparation workshop dates, locations and registration information are available on the OCAST website. Online tools are optional and are not required to prepare an application. This solicitation with editable forms is available at:

www.ocast.ok.gov

This solicitation is intended for informational purposes and reflects current planning; it does not obligate OCAST to make any specific number of awards. Awards under the R&D Faculty and Student Intern Partnerships program are contingent upon the availability of state funds. If there is any inconsistency between the information contained in this solicitation and the terms of any resulting contract, the terms of the contract are controlling.

OCAST CONTACT INFORMATION: 405-319-8400

Tessa North, Program Officer	405-319-8410	tessa.north@ocast.ok.gov
Brad Sutherlin, Contracts Compliance Officer	405-319-8413	brad.sutherlin@ocast.ok.gov
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Oklahoma Center for the Advancement of Science and Technology

FY12 R&D FACULTY AND STUDENT INTERN PARTNERSHIPS PROPOSAL SOLICITATION

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BACKGROUND

The Economic Development Act of 1987 (H.B. 1444) authorized the creation of the Oklahoma Center for the Advancement of Science and Technology (OCAST) with the purpose of being Oklahoma's technology-based economic development agency and to oversee the programs necessary for the development, transfer, and commercialization of technology (74 O.S., Section 5060.2). OCAST's mission is to "foster innovation in existing and developing businesses by supporting basic and applied research, by facilitating technology transfer between research laboratories and firms and farms, and by providing seed-capital for new innovative firms and their products . . . [and] to foster enhanced competitiveness in the national and international markets by small and medium-sized manufacturing firms located in Oklahoma by stimulating productivity and modernization of such firms" (74 O.S., Section 5060.2).

PROGRAM PURPOSE

The purpose of R&D Faculty and Student Intern Partnerships funding (Intern) is to improve the state's R&D base by supporting undergraduate student and faculty internships at Oklahoma R&D facilities. Further, the program encourages undergraduate students to prepare for careers in scientific and technical fields as well as ancillary areas that support high-tech companies in Oklahoma. OCAST internship funding acknowledges that the principal resources of the two-year and four-year institutions of higher education are the people—undergraduate students and faculty—and this program places these people into established successful applied research facilities within Oklahoma.

The benefits of intern experience in actual applied R&D facilities and programs are far reaching and include the following:

1. Student interns are acquainted with prospective employers, are better prepared for the workforce and are encouraged to pursue advanced degrees and/or careers in science and engineering as well as in support areas for high-tech companies. Undergraduate student interns are encouraged to complete their higher education program as well as to consider further higher education.
2. Faculty interns are updated in technical areas, are apprised of workforce needs and are acquainted with industry contacts for aid in student placement.
3. Oklahoma firms involved in R&D Faculty and Student Intern Partnerships have the opportunity to become acquainted with prospective employees, to interface with academic institutions on workforce needs and to encourage interns who pursue advanced degrees to remain in or return to Oklahoma.
4. The higher education institutions gain improved status through increased numbers of graduates who pursue advanced degrees or receive higher wage jobs.
5. The state of Oklahoma benefits from the improved technical human resource base essential to growing or attracting technology-based firms and producing the high wage jobs associated with increased per capita income.

PROGRAM DESCRIPTION

Under statute, Intern provides a maximum of one state dollar of funding for each non-state dollar of funding for projects that:

1. Involve applied research leading to innovation, new knowledge or technology and are not training or providing technical assistance for businesses;
2. Have a reasonable probability to enhance employment opportunities within Oklahoma; and
3. Are technically sound and will produce a measurable result.

Projects that focus upon the following are **not eligible** for funding:

1. Market surveys
2. Training or technical assistance for firms
3. Research or research activities that create fundamental or basic information but lack the potential for reasonably short-term commercialization

All R&D Faculty and Student Intern Partnerships funds are awarded through an external peer review process. For multiyear projects, continued funding is contingent upon satisfactory annual performance evaluations and availability of OCAST funds.

Intern funding will support one- or two-year projects for a minimum of \$10,000 and a maximum of \$30,000 of state-appropriated funds per year. The required match (see matching requirements) shall be greater than or equal to the OCAST support. R&D Faculty and Student Intern Partnerships must involve one or more students and/or undergraduate teaching faculty working at an applied R&D facility located in Oklahoma.

APPLICANT ELIGIBILITY

Eligible applicant organizations for R&D Intern Partnerships awards shall include Oklahoma enterprises of special importance to the state's economy and state public and private colleges or universities, provided the institution of higher education is collaborating with Oklahoma persons, entities, cooperation programs or enterprises. OCAST defines an enterprise as a firm with its principal place of business in Oklahoma. R&D Intern Partnerships often involve one or more Oklahoma college or university and one or more Oklahoma business. These projects may also involve the collaboration of other persons or entities, including Oklahoma non-profit research organizations, economic development organizations and/or trade organizations.

Neither members of the OCAST board nor the advisory committee are precluded from participating directly in an Intern Partnerships application. However, any director, officer, agent or employee of OCAST, including any member of an advisory committee or review panel who has any direct or indirect interest in an Intern Partnerships application, may not act, vote upon or have any official involvement in regard to such application.

There is no limit to the number of Intern Partnerships contracts under which an individual investigator may perform. Consequently, an individual who is a PI or co-PI on a project currently funded under an Intern Partnerships contract is not precluded from applying.

The **principal investigator (PI)** for this program is the person responsible for the execution of the internship program as well as for administrative supervision of the faculty and student interns.

Co-principal investigators (co-PIs) are allowed, but are not required. When a business serves as the PI for a project, a campus co-PI or liaison assigned to assist undergraduate student interns with on-campus activities may be an important part of the project and is therefore encouraged.

INTERN ELIGIBILITY

General Intern Eligibility

An undergraduate student or faculty member may intern for up to one year (i.e., 1.0 FTE for 12 months, 0.5 FTE during each of two years; or two summers at 1.0 FTE and the remaining divided over the academic years). The field of study – degree pursued or held – by the undergraduate student and/or faculty interns must be related to the field of use of the applied R&D performed. The degree pursued by the undergraduate student interns (or held by the faculty intern) must be in natural sciences, computer science, materials science, engineering, a biomedical/biotechnical area or in a support area related to building successful Oklahoma high-tech companies.

Faculty Intern Eligibility

Faculty interns shall have a degree in a field related to the field of the applied research. The faculty internship program is designed to offer faculty members at institutions with limited campus facilities for research the opportunity to conduct research at Oklahoma applied research centers. In the proposal, the faculty member will list the benefits from the internship to his or her career, to the classroom students taught and to the home institution of higher education.

Undergraduate Student Eligibility

The program is limited to undergraduate students who anticipate receiving their undergraduate two-, three- or four-year degree from an Oklahoma college. The program requires the field of study of the undergraduate degree being pursued by the undergraduate intern to be related to the field of the R&D performed.

Extended Internships

The program is restricted to undergraduate students. Occasionally, a student intern graduates from their associate's or bachelor's program and additional time is needed to finish the research project. In such cases, the PI must request approval from OCAST in advance for an extension of the internship.

MATCHING REQUIREMENTS

In order to qualify for funding for an R&D Intern Partnerships project the applicant organization must provide documentation verifying that not less than 50 percent of the total direct cost of the proposed project will be provided by sources other than OCAST and other than state-appropriated money (74 O.S., Section 5060.19).

Eligible matching funds may be only those monies provided specifically for the proposed project. For Intern projects, cash certified as match must be placed in an account at one of the organizations that is party to the contract. If a collaborating organization elects not to provide the matching monies to the lead applicant who acts as the prime contractor and fiscal agent but chooses to establish a project account within their organization to pay costs of the project, the collaborating organization must sign on as co-applicant and also become a contractor.

Under Intern, machinery or equipment that is owned by an Oklahoma institution of higher education or a non-profit research center may be used to fulfill part or the entire required match,

provided the equipment was not purchased with state funds. Equipment will be considered for match if the applicant organization provides:

- a. Verification that the applicant organization(s) has received the machinery;
- b. Verification that it has been used for nothing more than testing to ensure quality control or for demonstration purposes by a wholesaler or retailer prior to its being received by the applicant(s); and
- c. Verification of (1) the fair market value, if a gift, or (2) the amount paid for the machinery or equipment by the applicant organization(s), as verified by invoice (74 O.S., Section 5060.19).

If a proposal is approved for funding and final verification of receipt of matching monies or a fully executed agreement representing a federal or private grant or contract has not been submitted to OCAST for at least the first year of the award period, the awardee may have 60 days from the date of the Intern award letter to submit such documentation.

For subsequent years of an Intern award, applicants who have not provided documentation of receipt of match for the entire award period at the start of the initial contract must submit such documentation with the required annual progress report.

If an awardee has submitted as part of the application final verification of receipt of matching funds or a fully-executed agreement representing a federal or private grant or contract for the first year of the award period, the initial start date of the contract shall be no later than the first day of the month that immediately follows the 30 day verification of eligibility period which begins on the date on the OCAST award document. The target starting date for an Intern contract awarded under this funding competition is given on the cover of this solicitation. If, due to special circumstances, the PI anticipates a later start date than specified above, the later date should be requested and carefully justified in the application for reviewer consideration.

SUBMISSION REQUIREMENTS

For FY12, OCAST will accept Intern applications at four different dates throughout the year. Statement of intent and application deadlines are posted on the front page of this solicitation, on the OCAST website and calendar of events, and in the OCAST notifications system. To receive an e-mail when intent and application deadlines are approaching, register to receive notifications on the OCAST homepage.

Statements of Intent

Only those who have submitted an intent form by the deadline are eligible to submit an application. **The Statement of Intent must be received by OCAST by 5 p.m. on the Intent deadline day.**

Statements of Intent may be mailed or faxed to OCAST. It is the responsibility of the PI to ensure that the intent is received by OCAST by the deadline; OCAST is not responsible for faxed intents that were not received for any reason. If faxing an Intent, please do not also mail an original copy.

After the intent submission deadline, a project number will be e-mailed to the PI whose name appears on the intent form.

Project Numbers

Project numbers will be assigned after the Statement of Intent is received. An OCAST representative will e-mail your project number for tracking purposes. This number must appear at the top right corner of each page of the application package.

Application Packages

The application must be received by one of the OCAST offices below by 5 p.m. on the application deadline day. Applications will not be accepted via fax, e-mail or in any electronic format.

**OCAST
Intern Partnerships Program
755 Research Parkway, Suite 110
Oklahoma City, OK 73104-3612**

**OCAST
Intern Partnerships Program
OSU-Tulsa
700 N. Greenwood Ave., Suite 1400
Tulsa, OK 74106**

Project numbers must be placed in the top right corner of each form and attachment page submitted as part of an application. No applications or supplemental materials will be accepted after the submission deadline except at the request of OCAST. OCAST may return applications which are judged as incomplete or inappropriately completed without review.

Each Intern Partnerships application shall include the following materials organized as specified below:

Number of Sets	Contents
1	Original signed paper application marked “original,” with appendices attached (fastened with a binder clip in the upper left corner). Prepare required application page forms 1-8 (Items 1-19) as provided. Refer to application pages 9-13 (Items 20-28) for instructions to prepare text sections of application including presentation order and headings.
1	Paper set of the application pages 1-8 (Items 1-19) stapled in the upper left corner.
1 CD	<u>Single</u> file containing the entire application, including appendices, in PDF format. The CD does not require original signatures.

Include in each set Items 16-19 for each budget year requested. A CD containing an electronic copy of the entire proposal as a single Adobe PDF file must also be submitted. This file must be named **AP12–XX LastName**, where XX is the project number assigned and LastName is the surname of the principal investigator. For identification purposes, the face of the CD must be marked by a permanent marker using the above example. Do not place an adhesive label on the front of the CD.

Do not use binders, notebooks, rubber bands or paper clips to secure an application. OCAST recommends a staple or binder clip in the left corner and blank or colored sheets to separate sections of the original proposal.

REVIEW PROCESS

All Intern funding applications are reviewed and ranked for funding by peer reviewers, a majority of whom reside outside the state of Oklahoma. Reviewers are nominated and approved

by the OARS committee. Reviewer expertise must include significant research and/or development experience in an industrial or academic setting.

R&D Intern Partnerships project applications will be ranked for funding based on the potential benefit to the participating student and faculty interns, educational institution(s) and firm(s), and the state of Oklahoma as a whole. The budget amount for each application recommended for funding is established by the reviewers and cannot be changed after the date of the Intern award. Reviewer recommendations are presented to the OCAST board, which grants final approval for funding.

Proposal Evaluation Criteria

Peer reviewers will evaluate R&D Intern Partnerships project applications with respect to the benefits to the interns according to the following general criteria:

1. Quality and probability of success of the R&D Intern Partnerships plan
2. Commitment of the applicant organization(s)
3. Competency of project personnel
4. Adequacy of the proposed R&D resources including facilities
5. Adequacy of matching funding and other project support
6. Degree of interest shown by industry
7. Potential of short-, medium- and long-term impact on the Oklahoma economy including the potential for enhancing employment opportunities in Oklahoma
8. Benefit to the undergraduate student intern(s)
9. Benefit to the faculty intern who teaches undergraduates
10. Value added by the internship program to the undergraduate instructional program

RELEASE OF INFORMATION

OCAST is subject to the Open Meeting and Open Records Acts. However, information submitted to or compiled by OCAST with respect to marketing plans, financial statements, trade secrets, research concepts, methods, products or other proprietary information is confidential unless the person or entity that provided such information consents to disclosure.

OCAST may use the contents from application abstracts and summaries from annual progress reports for the required OCAST annual report or other publications without obtaining permission from the applicant or applicant organization(s).

Public release of information in any proposal or application submitted will be subject to existing statutory and regulatory requirements.

CONTRACT INFORMATION

Oklahoma statute requires that the mechanism for funding Intern projects be a professional services contract between OCAST and the applicant organization(s). The contractor is the applicant organization that: (1) employs or is affiliated with the PI or co-PI, (2) provides research services and/or facilities for the funded project, and (3) executes the contract.

If more than one applicant organization is involved, the fiscal agent organization receives and accounts for all funds. The contract shall include commitments on the part of the contractor(s) to

perform the activities described in the application and funded by OCAST. However, the obligations of each party to a contract shall be limited to that portion of the contract they have committed to perform.

Any applicant organization or principal investigator who, in OCAST's judgment, has failed to correct a material breach of contract previously awarded under any of OCAST programs will not be eligible to be awarded a new funding contract.

If a PI under an Intern contract becomes unable to perform the proposed research, the applicant organization must inform OCAST within 10 days. The contractor shall inform OCAST within 10 days of the occurrence of any of the following:

1. Official notification of resignation by the PI as an employee of one of the parties to the contract
2. Official decision to terminate the PI as an employee of one of the parties to the contract
3. Inability of the PI to perform the research described in the application
4. Any occurrence which the contractor or fiscal agent determines will affect the successful completion of the research project
5. PI leaves Oklahoma
6. Majority of the research is not performed in Oklahoma
7. Receipt of notification of award of concurrent funding by the PI or co-PI, which is not part of the approved matching monies requirement, to support any portion(s) of the research which is supported by OCAST funds.

Any of the conditions in Items 1-7 above may result in the termination of the contract at the discretion of OCAST. If the PI is subsequently employed by another eligible applicant organization in the state of Oklahoma that agrees to support the research project, OCAST may consider issuing a new contract negotiated between OCAST and the new organization. If a PI cannot perform on a contract, the applicant organization may request that OCAST consider continuing the contract with a new PI.

The contractor shall be responsible for the following:

1. Assuring and documenting compliance with state and federal requirements pertaining to human subjects, vertebrate animals, recombinant DNA, radioactive substances, narcotics and dangerous drugs and/or biological hazards which require special approval or license before issuing a subcontract for any portion of the project funded by OCAST.
2. Maintaining records and accounts that properly document and account for the source and application of all project funds. All such records and accounts shall be made available on demand by OCAST for inspection and use in carrying out its responsibilities for administration of the funds.
3. Providing specified documentation of matching expenditures to OCAST with each request for payment. At no time shall the amount invoiced from OCAST exceed the amount of documented matching funds expended. Failure to document the required matching amount could result in a decrease in the OCAST funding amount and/or a termination of all-subsequent OCAST funding.
4. Complying with the audit policy of OCAST and, as OCAST deems necessary, permitting authorized representatives of OCAST and the state of Oklahoma full access and the right to fully examine all project records and accounts. The contractor or designated fiscal agent shall provide OCAST timely copies of reports on any audits that include funds

received from OCAST. The contractor, at OCAST's request, shall provide OCAST with an independent audit report of all funds expended on each contract in which the amount of OCAST funds awarded. In the event an audit results in the determination that the contractor or designated fiscal agent has expended contract funds on unallowable costs, the contractor or designated fiscal agent shall reimburse OCAST in full for all such costs.

INSTITUTIONAL REVIEW BOARD AND SAFETY CERTIFICATIONS

Institutional review board and safety certifications, if needed, will be required prior to OCAST issuing a contract. Additional information may be obtained from the OCAST Programs staff.

1. HUMAN SUBJECTS, HUMAN DERIVED MATERIALS, HUMAN DATA

- a. Student interns supported under this program must not be research subjects for any (host site) research venue project that requires IRB approval.
- b. If the (host site) research venue project involves human subjects, human derived materials or human data, before a contract is issued, documentation of IRB review and approval must be supplied to OCAST.

2. RECOMBINANT DNA, VERTEBRATE ANIMALS

If the (host site) research venue project involves recombinant DNA or vertebrate animals, before a contract is issued, documentation of IRB review and approval must be supplied to OCAST.

3. NARCOTICS, DANGEROUS DRUGS, RADIOISOTOPES

If the (host site) research venue project involves narcotics, dangerous drugs and/or radioisotopes, before a contract is issued, documentation of federal regulatory approval for the use of these substances must be supplied to OCAST.

4. BIOLOGICAL HAZARDS

- a. In general, student interns will not work with potential biological hazards.
- b. If the student interns work with potential biological hazards, before a contract is issued, documentation must be provided certifying the facility meets all requirements of the U.S. Centers for Disease Control for containment of infectious agents.

PERFORMANCE EVALUATION

Acceptance of an Intern professional service contract obligates the PI to submit an annual progress report 60 days prior to the ending date of each contract period. For one-year projects or the final year of multiple-year projects, a final report must be submitted no later than 30 days after the end of the final contract period.

In most instances, the original reviewers of the application evaluate the annual progress reports to gauge project performance. Continued funding is contingent upon satisfactory annual performance evaluations that verify the PI is complying with the terms of the contracts and achieving project objectives.

PROJECT REPORTING

Efforts to evaluate the Intern Partnerships program require periodic collection of information from investigators and contractors. The PI and contractor are required to provide OCAST with

the requested information during and after the funding period. This information may include, but is not limited to, impact survey information, site visits, and reverse site visits during which the PI may be required to present his or her Intern funded project related information to OCAST staff, the OCAST board of directors, members of the Oklahoma legislature and other interested parties.

The fiscal agent organization is required to track the academic and employment status of interns for five years after the award ends. Anecdotal quotes from the interns are also helpful to establish program impact upon the interns.

AUDITS

Oklahoma Center for the Advancement of Science and Technology will perform compliance reviews and audits of contracts executed by the agency for all OCAST programs including the Applied Research Support Program. The acceptance of an R&D Intern Partnerships professional research contract obligates the contractor to permit authorized representatives of OCAST and the state of Oklahoma to have full access to, and the right to fully examine, all such records and documentation pertaining to the project.

ANNUAL CONFERENCE

A required conference student interns as well as for persons named in the proposal is held annually. This one-day event showcases presentations from interns, mentors and PIs describing their research efforts. The location of the conference varies from year to year, and OCAST will contact awarded PIs with attendance information as soon as it becomes available. The proposal may request sufficient travel funds for conference participants.

POST AWARD MEETING

OCAST will host an optional post award kick off meeting prior to the start of the first year contract for projects awarded during each funding cycle. The purpose of the meeting is to explain the mechanism by which projects will be funded and contract requirements (such as progress report due dates, allowable expenses, budget or contract modifications, Request for Payment procedures, records retention, etc.) to the award recipient. The Principal Investigator, Contract Official, and Fiscal Agent will be invited to attend. The Contract Official will be notified of the specific kick off meeting day and time in the award letter, which will be sent shortly after the OSTRaD Board approves projects for funding.

**FORMS AND INSTRUCTIONS FOR COMPLETING THE APPLICATION
BEGIN ON THE NEXT PAGE**



Oklahoma Center for the Advancement of Science and Technology

R&D Faculty and Student Intern Partnerships FY12 Statement of Intent

All Statements of Intent must be received by 5 p.m. on the deadline date.

Only those who have submitted a Statement of Intent on or before the intent deadline are eligible to submit an application. A Statement of Intent is required for each proposal submitted. Fax *or* send the Statement of Intent to the following address:

**OCAST
Intern Partnerships Program
755 Research Parkway, Suite 110
Oklahoma City, Oklahoma 73104-3612
Fax: 405-319-8426**

Please be advised that OCAST is not responsible if, for any reason, the fax transmission is not received. If faxing an Intent please do not also mail an original copy.

1. Principal Investigator. This person will receive an official project number prior to proposal submission

Name of Principal Investigator:	
Organization of Principal Investigator:	
Position or Title:	Terminal Degree:
Address: <i>include department, division or equivalent and zip code</i>	Phone:
	Fax:
E-mail:	
Signature of PI:	Date:

2. Estimated Request for Funds. This amount excludes match and may differ from final proposal.

Year 1:	Year 2:	Total:
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Project Number: _____

R&D Faculty and Student Intern Partnerships Program FY12 PROPOSAL APPLICATION

1. Title

Title of Proposal:

2. Resubmission

Resubmission: Yes <input type="checkbox"/> No <input type="checkbox"/>
Prev. Proj. No.: _____

3. Amount of OCAST Funds Requested

Year 1	Year 2
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4. Proposed Start Date

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5. Number of Proposed Interns

Year 1	Undergraduate Student Interns:	Faculty Interns:
Year 2	Undergraduate Student Interns:	Faculty Interns:

6. Technology Development

Check a single box that best describes the research technology to be developed under this award.		
<input type="checkbox"/> Advanced Materials <input type="checkbox"/> Biotechnology <input type="checkbox"/> Chemicals <input type="checkbox"/> Computer Hardware <input type="checkbox"/> Computer Software <input type="checkbox"/> Defense	<input type="checkbox"/> Energy <input type="checkbox"/> Environmental <input type="checkbox"/> Factory Automation <input type="checkbox"/> Manufacturing <input type="checkbox"/> Medical <input type="checkbox"/> Pharmaceuticals	<input type="checkbox"/> Photonics <input type="checkbox"/> Subassemblies & Components <input type="checkbox"/> Test & Measurement <input type="checkbox"/> Telecommunications & Internet <input type="checkbox"/> Transportation <input type="checkbox"/> Other _____ <i>(specify)</i>

7. Principal Investigator (PI) for Fiscal Agent Organization

Name of Principal Investigator:	
Position or Title:	Terminal Degree:
Address: <i>(include department, division or equivalent and zip+4)</i>	Phone:
	Fax:
E-mail:	URL: http://
I hereby accept responsibility for the scientific conduct of the project and for providing the materials required for contract performance evaluation. I give consent for the materials in this application to be viewed as required by members of the OCAST staff, board, applied research committee and review panels.	
Signature of PI:	Date:

Project Number:

8. Co-Principal Investigator (Co-PI) Information (ihapplicable)

Name of Co-Principal Investigator:	
Position or Title:	Terminal Degree:
Mailing Address: (include department, division or equivalent and zip+4)	Phone:
	Fax:
E-mail:	URL: http://
I hereby accept responsibility for the scientific conduct of the project and for providing the materials required for contract performance evaluation. I give consent for the materials in this application to be viewed as required by members of the OCAST staff, board, applied research committee and review panels.	
Signature of Co-PI	Date

9. Official Acting as Fiscal Agent

If multiple contractors, show official of organization designated as fiscal agent. This is the official to whom OCAST will send all contract payments.	
Name:	
Title:	
Name of Applicant Organization Acting as Fiscal Agent:	
Mailing Address: (include department, division or equivalent and zip)	Phone:
	Fax:
	County:
E-mail:	URL: http://
Organization NAICS Code:	Organization Federal Employee Identification Number (FEI):

Project Number:

10. Designated Contract Official

Show person designated as the contracting official for project. This is the official to whom OCAST will send all award or contract correspondence including (1) the award letter, (2) requests for information and documentation, (3) the initiated contract, (4) the executed contract and (5) progress report and performance evaluation information and requests. If multiple applicants, the designated contracting official is responsible for sharing contractual information with all other applicant organizations. This official certifies all student interns are undergraduate students and the interns are legally eligible to work in the U.S.

Name:

Title:

Name of Applicant Organization Acting as Designated Contract Official:

Address:

Phone:

Fax:

E-mail:

URL:
http://

11. Other Applicant Organizations (all applicant organizations agree to be party to the contract)

11a. Name:

Title:

Address:

Phone:

Fax:

E-mail:

URL:
http://

11b. Name:

Title:

Address:

Phone:

Fax:

E-mail:

URL:
http://

Project Number:

14. Complete This Page as a Table of Contents

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Table of Contents (Required Attachment Item 14)	5
Abstract (Required Attachment Item 15)	6-6a
Year 1 Budget Pages (Application Pages 6-1, 6-2, 6-3, 6-4)	
Year 2 Budget Pages (Application Pages 7-1, 7-2, 7-3, 7-4)	
Budget Justification (Application Pages 8, Item 20)	
PI(s) Biographical Information (Required Attachment Item 21)	
Mentor(s) Biographical Information (Required Attachment Item 22)	
Faculty Intern(s) Biographical Information (Required Attachment Item 23)	
Commitment of Support (Required Attachment Item 24)	
Project Plan (Required attachment Item 25)	
Appendix I	
Appendix II (Required for Resubmission Item 27)	
Other Appendices	
Other Items	

Project Number:

15. Abstract

Project Title: *(no more than 56 letters and spaces)*

Name and Address of Applicant Organization(s):

Name, Title and Department of Principal Investigator and Co-Principal Investigators:

Benefiting Firm(s): *(If an applicant organization is not a firm, name the benefiting firm(s) and location(s).)*

Match Summary: *(name the match source(s), the percent contribution and the location for each source)*

Project Number:

15. Abstract *(continued)*

Include a short description of the research project(s), a summary of the intern partnership program and the benefits to faculty and student interns, to institutions of higher education, to Oklahoma firms or farms and to the state of Oklahoma: *(limit to this space; do not use continuation pages)*

Five Key Words that Describe the Research Project(s):

Select from the following chart the single research area that best describes the research. Copy the exact name to this box:

Research Area Chart
DO NOT INCLUDE WITH PROPOSAL

<p>BIOTECHNOLOGY</p> <ul style="list-style-type: none"> ■ Animal and Plant Biotechnology ■ Biomolecular and Biomimetic Materials ■ Bioprocessing/Biomedical Engineering ■ Bioinformatics ■ Diagnostic and Therapeutic ■ Marine Biology ■ Other Biotechnology <p>ELECTRONICS/COMPUTER HARDWARE/ COMMUNICATIONS</p> <ul style="list-style-type: none"> ■ Semiconductors ■ Electronic Systems ■ Microelectromechanical Technology ■ Computer Hardware ■ Microelectronic Fabrication Technology ■ Communication for Data, Voice, Video ■ Electronic Instrumentation/Sensors and Control Systems ■ Optics and Photonics ■ Other Electronics <p>INFORMATION TECHNOLOGY</p> <ul style="list-style-type: none"> ■ Computer Systems and Software Applications ■ Computer-Aided Design and Testing Systems ■ Imaging and Image Processing ■ Cognitive Systems ■ Pattern Recognition ■ Internet Infrastructure ■ Security and Biometrics ■ Other Information/Computer Entertainment 	<p>MANUFACTURING (DISCRETE)</p> <ul style="list-style-type: none"> ■ Automobile Manufacturing ■ Aircraft Manufacturing ■ Other Transportation Manufacturing ■ Intelligent Controls ■ Machine Tools ■ Materials Handling ■ Intelligent Manufacturing ■ Avionics ■ Other Discrete Manufacturing ■ Energy Conversion (Motors, Generators, etc.) ■ Energy Generation/Distribution <p>ADVANCED MATERIALS/CHEMICALS</p> <ul style="list-style-type: none"> ■ Abrasives, Adhesives, Ceramics, Coatings and Composites ■ Computer-Based Design of Chemical/Materials ■ Polymers Synthesis and Polymer Fabrication Technologies ■ Metals and Alloys ■ Building/Construction Materials ■ Other Materials ■ Separation Technology ■ Catalysis/Biocatalysis ■ Food Processing and Preservation ■ Other Continuous Manufacturing (Pulp/Paper, Textiles) ■ Energy Resources/Petroleum ■ Energy Storage/Fuel Cell, Battery ■ Environmental Technologies <p>OTHER</p> <ul style="list-style-type: none"> ■ Research/Science/Technology Area Not Listed Above Specify _____
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Project Number:

16a. Project Budget (direct costs only) In addition, prepare a budget justification for each year of proposed support (see Item 20).

Year 1

Personnel Applicant Organization(s) Only		Effort	Amount Requested (in dollars only)		
Name	Title or Position	HR/WK	OCAST	Matching	TOTALS
Subtotal					
Travel:					
Subtotal					
Supplies: <i>(itemize by category)</i>					
Subtotal					
Equipment: <i>(list items over \$500)</i>					
Subtotal					
Contractual Services: <i>(itemize)</i>					
Subtotal					
Other Direct Costs: <i>(itemize)</i>					
Subtotal					
TOTAL DIRECT COSTS					

OCAST APPROVAL:	DATE:
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Project Number: _____

Year 1

17a. Source and Amount of Matching Funds

NOTE: The PI must submit this form for each project year for which cash and/or a grant(s) or contract(s) will be provided as match. Monies certified as match must be placed in an account held by an organization that is party to the contract.

Source of Cash Match	Date Received	Contracting Organization that Holds Matching Account	Account Number	Amount
1.				
2.				
3.				
4.				
5.				
Subtotal				
Source of Grant(s) or Contract(s) Match	Inclusive Dates of Award	Contracting Organization That Holds Matching Account	Account Number	Amount
1.				
2.				
3.				
4.				
5.				
Subtotal				
Total Match				

OCAST APPROVAL: _____	DATE: _____
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Project Number:

Year 1

18a. Matching Funds Certification

Organization 1:	
Organization 2:	
Organization 3:	
Amount of Cash Total to be Provided for Match:	
Dollar Amount of Grant(s) or Contract(s) Total to be Provided for Match:	
Dollar Value of Machinery or Equipment Total to be Provided for Match:	
IMPORTANT: Only institutions of higher education or nonprofit research foundations are eligible to use equipment or machinery for matching funds requirements. In such instances, the equipment or machinery must originate from sources other than state-appropriated funds and the required documentation related to the allowable valuation must be submitted with the original proposal.	
MATCH AMOUNT TOTAL	
I certify that the monies, grants and contracts and/or machinery or equipment described on this form and detailed on the following R&D Intern Partnerships matching funds documentation for the project year designated above will be made available for use on this project during the contract period.	
I certify that, if machinery or equipment is being used as matching funds, each item of machinery or equipment provided for match (1) has been received by the institution of higher education or non-profit research organization and (2) if donated to the institution of higher education or non-profit research organization, has been used only in testing to ensure quality control or for demonstration purposes by a wholesaler or retailer, and the fair market value on the date of the gift or, if purchased by the institution, the amount paid is certified by an invoice held by the institution.	
Name of Principal Investigator:	
Signature of Principal Investigator:	Date:
Name of Designated Contracting Official:	
Signature of Designated Contracting Official:	Date:

OCAST APPROVAL:	DATE:
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Project Number: _____

Submit a machinery or equipment matching funds form only if equipment owned by an applicant non-profit or academic institution is used as a portion of the match.

Year 1

19a. Machinery or Equipment Matching Funds

NOTE: ONLY HIGHER EDUCATION INSTITUTIONS AND NON-PROFIT RESEARCH FOUNDATIONS ARE LEIGIBLE TO USE MACHINERY OR EQUIPMENT AS MATCH FUNDS.

Description of the Equipment:

Justification of the Use of the Equipment for the Project:

If the equipment has been donated, indicate the fair market value on the date of the gift:

If the equipment was purchased by the institution, indicate the amount as verified by the invoice held by the institution:

Justification of the value of the equipment for the project: The evaluation should be based upon (a) the fair market value, if a gift, or the amount paid for the machinery or equipment by the applicant organization as verified by the invoice (74 O.S., Section 5060.19), (b) the useful life of the equipment relative to the term of the project, (c) the relevance and intensity of the proposed use of the equipment in the project and (d) the predicted value of the equipment at the end of the project.

Proposed matching value of the equipment:

Project Number:

16b. Project Budget (direct costs only) In addition, prepare a budget justification for each year of proposed support (see Item 20).

Year 2

Personnel Applicant Organization(s) Only		Effort	Amount Requested (in dollars only)		
Name	Title or Position	HR/WK	OCAST	Matching	TOTALS
Subtotal					
Travel:					
Subtotal					
Supplies: <i>(itemize by category)</i>					
Subtotal					
Equipment: <i>(list items over \$500)</i>					
Subtotal					
Contractual Services: <i>(itemize)</i>					
Subtotal					
Other Direct Costs: <i>(itemize)</i>					
Subtotal					
TOTAL DIRECT COSTS					

OCAST APPROVAL:	DATE:
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Project Number: _____

Year 2

17b. Source and Amount of Matching Funds

NOTE: The PI must submit this form for each project year for which cash and/or a grant(s) or contract(s) will be provided as match. Monies certified as match must be placed in an account held by an organization that is party to the contract.

Source of Cash Match	Date Received	Contracting Organization that Holds Matching Account	Account Number	Amount
1.				
2.				
3.				
4.				
5.				
Subtotal				
Source of Grant(s) or Contract(s) Match	Inclusive Dates of Award	Contracting Organization That Holds Matching Account	Account Number	Amount
1.				
2.				
3.				
4.				
5.				
Subtotal				
Total Match				

OCAST APPROVAL:	DATE:
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Project Number:

Year 2

18b. Matching Funds Certification

Organization 1:	
Organization 2:	
Organization 2:	
Amount of Cash Total to b Provided for Match:	
Dollar Amount of Grant(s) or Contract(s) Total to be Provided for Match:	
Dollar Value of Machinery or Equipment Total to be Provided for Match:	
IMPORTANT: Only institutions of higher education or nonprofit research foundations are eligible to use equipment or machinery for matching funds requirements. In such instances, the equipment or machinery must originate from sources other than state-appropriated funds and the required documentation related to the allowable valuation must be submitted with the original proposal.	
MATCH AMOUNT TOTAL	
I certify that the monies, grants and contracts and/or machinery or equipment described on this form and detailed on the following R&D Intern Partnerships matching funds documentation for the project year designated above will be available for use on this project during the contract period.	
I certify that if machinery or equipment is being used as matching funds each item of machinery or equipment provided for match (1) has been received by the institution of higher education or non-profit research organization, and (2) if donated to the institution of higher education or non-profit research organization, has been used only in testing to ensure quality control or for demonstration purposes by a wholesaler or retailer, and the fair market value on the date of the gift or, if purchased by the institution, the amount paid is certified by an invoice held by the institution.	
Name of Principal Investigator:	
Signature of Principal Investigator:	Date:
Name of Designated Contracting Official:	
Signature of Designated Contracting Official:	Date:

OCAST APPROVAL:	DATE:
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Project Number: _____

Submit a machinery or equipment matching funds form only if equipment owned by an applicant non-profit or academic institution is used as a portion of the match.

Year 2

19b. Machinery or Equipment Matching Funds

NOTE: ONLY HIGHER EDUCATION INSTITUTIONS AND NON-PROFIT RESEARCH FOUNDATIONS ARE LEIGIBLE TO USE MACHINERY OR EQUIPMENT AS MATCH FUNDS.	
Description of the Equipment:	
Justification of the Use of the Equipment for the Project:	
If the equipment has been donated, indicate the fair market value on the date of the gift:	
If the equipment was purchased by the institution, indicate the amount as verified by the invoice held by the institution:	
Justification of the value of the equipment for the project: The evaluation should be based upon (a) the fair market value, if a gift, or the amount paid for the machinery or equipment by the applicant organization as verified by the invoice (74 O.S., Section 5060.19), (b) the useful life of the equipment relative to the term of the project, (c) the relevance and intensity of the proposed use of the equipment in the project and (d) the predicted value of the equipment at the end of the project.	
Proposed matching value of the equipment:	

APPLICATION ATTACHMENTS GUIDELINES

Items 20-28 must be in black typeface, on 8 ½ x 11 inch white paper. A font size no less than 10 point must be used with single or 1.5 line spacing. Fonts for the text of the proposal must be Arial, Helvetica, Palatino, Computer Modern, Times New Roman or Georgia. Photographs, oversized documents or materials that do not reproduce well should be submitted under “other appendix” (Item 28) with no more than five pages total. Applications should not include three-dimensional materials. Applications eligible for review must contain all required items listed in the table of contents. Use the presentation order and headings as shown below. Maximum section text length page limitations include text, graphs, charts and figures. If a section is not applicable it must be acknowledged and indicated as not applicable. *Proposals that are not in the required format may be returned without review.*

20. Budget Justification.

Required Attachment For each budget year, prepare an explanation and justification for the budget (**four page maximum**). Incomplete explanations may result in a requested item not being approved or the entire project not recommended for funding. This is a very important part of the proposal.

Project Budget Complete the required budget information for each year of the project. Account for all project funds – both monies requested from OCAST and the proposed matching funds. All amounts should be in dollars. The approved budget amount is established by the reviewers and cannot be increased after the date of the award.

Personnel List the names and positions of all personnel involved in the project, both professional and nonprofessional and whether salaries are requested. For each participant, estimate the hours per week in relation to total professional activity commitment to the applicant organization. In computing estimated salary charges to an Intern contract, an individual’s base salary must represent the total authorized annual compensation that an applicant organization would be prepared to pay for a specified work period. The base salary must exclude income that an individual may be permitted to earn outside of full-time duties to the applicant organization and may not be augmented or supplemented by funds from a professional service contract. Fringe benefits may be requested to the extent that they are treated consistently by the applicant organization as a direct cost to all sponsors. The salary requests typically support the interns with a combination of OCAST and matching funds for intern salary and fringe benefits.

Travel Describe the purpose of any travel, giving the number of trips and the professional activities involved, the destination(s) and the number of individuals for whom funds are requested. The amount requested for travel must be fully explained in the budget justification. The amount of travel approved by the reviewers cannot be increased after the date of the Intern award. Include travel for the annual conference.

Supplies List supplies needed to manage the internship program. In general, the intern host organization provides the research supplies as a normal part of the research activity at no charge. Therefore, explain fully the unique aspects of this program when research supplies are included as a part of the budget.

Equipment List equipment needed to manage the internship program. In general, the intern host organization provides the research equipment as a normal part of the research activity. Explain fully the unique aspects of this program when research equipment is included as a part of the budget. List separately each item of equipment with a unit acquisition cost of \$500 or more.

Fully explain the purchase of computers since, in most cases, reviewers have denied requests for computers not dedicated to Intern research.

Contractual Services Itemize and provide detailed description. Such charges would be unusual for this program.

Other Expenses Itemize other expenses, such as office supplies, telephone/fax charges and costs of supplies for intern presentations at poster sessions or meetings.

Indirect costs are not allowable as a budget item. If an organization requires direct cost reimbursement for project-specific utility or compliance costs, these should appear as line items in the budget along with both the method of calculation and an explanation for their inclusion.

21. Principal Investigator and Co-Principal Investigator Biographical Information

Required Attachment When a firm is the fiscal agent, the co-principal investigator may be the person who coordinates intern activities on a college campus. A co-PI is not required. **For each professional there is a two-page maximum for Sections A-E and a three-page limit for Section F. Include the following information:**

- A. Name
- B. Title
- C. Education, baccalaureate through postdoctoral. Include the institution and location, degree and year conferred and field of study, with the most recent listed first.
- D. A description of experience at managing programs similar to this intern program
- E. Research and professional experience. Beginning with the present position, list in chronological order, previous employment, experience and honors. List in chronological order beginning with the most recent, the titles and complete references to recent representative publications, especially those most pertinent to this application.
- F. Previous OCAST support. Include project number and results. For previous OCAST internship awards show the academic and professional achievements for each former intern.

22. Mentor Biographical Information

Required Attachment The mentor is the person at the intern host site who works most closely with the interns on the research project. **For each mentor there is a two-page maximum for Sections A-E and a three-page limit for Section F. Include the following information:**

- A. Name
- B. Title
- C. Education, baccalaureate through postdoctoral. Include the institution and location, degree and year conferred and field of study, with the most recent listed first.
- D. A description of experience at managing programs similar to this intern program
- E. Research and professional experience. Beginning with the present position, list in chronological order, previous employment, experience and honors. List in chronological order beginning with the most recent, the titles and complete references to recent representative publications, especially those most pertinent to this application.
- F. Previous OCAST support. Include project number and results. For previous OCAST internship awards show the academic and professional achievements for each former intern.

23. Faculty Intern Biographical Information

Required Attachment For a project with a faculty intern, the faculty intern may also serve as the PI or co-PI. **For each faculty intern there is a two-page maximum for Sections A-E and a three-page limit for Section F. Include the following information:**

- A. Name
- B. Title
- C. Statement of anticipated benefits from being a faculty intern
- D. Education, baccalaureate through postdoctoral. Include the institution and location, degree and year conferred and field of study, with the most recent listed first.
- E. Research and professional experience. Beginning with the present position, list in chronological order, previous employment, experience and honors. List in chronological order beginning with the most recent, the titles and complete references to recent representative publications, especially those most pertinent to this application.
- F. Previous OCAST support. Include project number and results.

24. Letters of Commitment and Benefit

Required Attachment The reviewers critically review these one or two page letters. These letters must be specific to the application and not a generalization.

1. Letter of commitment and benefit signed by an official of the fiscal agent organization that is the lead applicant organization is **required**.
2. Letter of commitment and benefit signed by an official of a collaborating Oklahoma firm, intern host organization, non-profit research organization, college or university that is an additional applicant organization is **required**. Note: Organizations providing matching monies sign as an additional applicant (and contractor, if awarded) to allow the organization to set up a project account for matching monies rather than provide match through the lead organization.
3. Letter of commitment and benefit from a collaborating Oklahoma firm, non-profit research organization, college or university that is not an applicant or additional applicant **may be included**. Such organizations will include Items A, B and C below as appropriate or may include other information to aid the reviewers. Reviewers find it helpful to understand the relationship between all parties and their commitment to the program. For example, in an application from a company, you may include a letter from a faculty member assisting you to recruit students and/or the dean/department chair/head of the school acknowledging the importance of the program to the students. Letters from the CEO or president of benefiting organizations beyond the educational organizations and research sites, such as Oklahoma farm and ranch associations may be included in this section.
 - A. **For each applicant organization letter:** Include an assessment of the potential for attracting future federal or private funds to continue the internship program beyond this Intern project. How will a sustainable internship program be created?
 - B. **For each applicant organization letter:** Include (1) specific organizational commitments to the project for such items as equipment, computer services, facilities, release time for key personnel, secretarial support and technical support, (2) a statement of organizational

commitment to the proposed project beyond the required matching monies and (3) summary of plans to continue the internship program beyond the project.

- C. **For all R&D site letters:** Briefly discuss how the applied R&D performed by the company or on behalf of the company by another organization (e.g., a non-profit research organization or a college) (1) will lead to innovation, new knowledge or technology and is not training or technical assistance for the business; (2) has a reasonable probability to enhance employment opportunities within Oklahoma and (3) is technically sound and will lead to a measurable result. Include a specific estimate of the potential economic gain the research will give the company. Examples of economic gain include increased payroll, jobs created or retained, increase in gross sales, cost avoidance, productivity and federal contracts won. This statement is very important.

25. Project Plan Typically, this section takes 8-10 pages.

Required Attachment The applicant must complete all of the following in this order and begin each section with a heading:

- A. **Project Description and Research Objectives:** Describe the general nature of the applied R&D to be performed without including proprietary information. Include a list of research objectives. *Typically, this will be one page for each research project.*
- B. **R&D Facility:** Describe the applied R&D facility(ies) where the student and/or faculty interns will work. Show that adequate equipment and supplies are available for the project. *Typically, this will be one page for each venue.*
- C. **Intern Work Description:** Generally describe the work the student and/or faculty interns will perform and how the interns contribute to meeting the research objectives. *Typically, this will be one to two pages for each project/venue.*
- D. **IRB and Hazardous Substances Notification:** When an award is made applicants will be required to provide certification that all regulations pertaining to research use of human subjects, vertebrate animals, recombinant DNA, radioisotopes, narcotics and dangerous drugs, and biological hazards have been satisfied. **Student interns supported under this program must not be research subjects for any research project that requires IRB approval.**

Indicate in this section if the research project involves any of the above research components and how the appropriate certifications/approvals will be obtained. Mark this item NOT APPLICABLE if these components are not a part of the research project. *Typically, this will be one page for each project/venue.*

E. **Intern Activities**

- i. Describe the role and duties of the applied research mentor(s) as they interact with the interns.
- ii. Describe the activities of the intern for the first month of the internship.
- iii. If a mentor's principal employer is a non-profit research organization, college or university, describe each mentor's experience in performing applied R&D that has led to commercialized products, processes or services. *Typically, this will be one to two pages.*

- F. **PI Role:** Describe the role and duties of the principal investigator and co-PI. *Typically, this will be one page.*
- G. **Non-Business Internship Location:** If all or part of the intern experience is at a non-profit research organization, college or university, describe the specific relationship between each participating company and the non-profit or university laboratory. Fully explain why the internship is not at the participating company site. If the internship will take place solely at the applicant firm's location, mark this item NOT APPLICABLE. *Typically, this will be one to two pages.*
- H. **Intern Selection Plan:** Carefully explain the plan for selecting and assigning the interns. R&D Intern Partnerships projects must involve one or more students and/or faculty working at an R&D facility(ies) located in Oklahoma. Describe the potential intern pool. When a college or university is not a formal partner, include the process for contacting potential interns and the relationship between the applicant organization and Oklahoma colleges and universities. *Typically, this will be one to two pages.*
- I. **Performance Monitoring:** For faculty and student interns, describe the process that will be used to monitor the intern's work performance and to evaluate performance. Include evaluation instruments in Appendix I. *Typically, this will be a one-page explanation plus the sample instrument(s).*
- J. **Intern Reporting:** Describe the process to be used for the intern to prepare reports. In general terms, without including proprietary information, the intern should describe the work done, the skills acquired and the benefits accrued. The intern should use the style guide of the company or of the institution of higher education to prepare each report that describes the internship experience. A minimum of monthly progress reports should be a part of the internship experience. The PI, as part of the annual progress report, will include sample reports. *Typically, this will be one to two pages.*
- K. **Intern Tracking:** Describe the process the fiscal agent organization will use to track the academic and professional progress of each intern for five years after the internship is served. This information will be reported to OCAST as a part of the annual impact report request for information that is required of all contractors. Information required, as a minimum, will be institutions of higher education attended, degrees earned, where employed and a current address for the intern. *Typically, this will be one page.*

26. Appendix I

For new projects, include samples of evaluation instruments. For continuing projects or a new project by a previous awardee, include samples of intern reports and evaluation instruments used in the previous program.

27. Resubmission Appendix

Materials required for *resubmissions* are placed here. Include the following assembled in this order:

- A. Letter responding in detail to the reviewers' comments from the previous review and noting all changes in the new internship program proposal
- B. Copy of the previously submitted application
- C. All reviews of the previously submitted application

Note: Resubmissions have fared well in Intern competitions; however, it is very important that a resubmission include all required materials as described above. A resubmission is a new proposal and not prepared by simply commenting on the previous reviewers' comments.

28. Other Appendix

Other materials placed in additional appendices must be limited to those relevant and essential to the proposal and may not exceed five pages maximum.