

PRELIMINARY PROPOSAL FORM INSTRUCTIONS

The revised Preliminary Proposal Form (PPF) combines the PPF and the PIQ form (Proposal Information Questionnaire).

Please call Ames Lab's Office of Sponsored Research Administration (OSRA) at 4-6486 to get an assigned PPF number. Enter the PP# on the line designated on the form.

Do not enter an Agreement #; leave that line blank; OSRA will complete the field when proposal is funded.

Part 1. Proposed Work Description

- 1.1 Provide a concise title of the proposed project; should be same as title of formal Proposal.
- 1.2 Enter the name and telephone number of the PI(s). To ensure that all parties to an agreement are fully aware of any personal or contractual relationships that might have relevance to or compete with a particular project and to put the Laboratory on notice that PI(s) have a COI, please check the applicable box. The PI(s) must sign the form to approve their COI status. If a potential COI is created, please attach a description of the COI signed by the PI. For more information about Conflict of Interest, visit the Sponsored Research Administration website: <https://www.ameslab.gov/operations/sra>.
- 1.3 If answer to question is "Other Fed. Agency or Non-Federal Sponsor", the proposal is being submitted to a non-DOE entity and you must complete Part 1A on pages 6-7, to accompany the ppf. In addition, if "Foreign Entity" is checked, you must also complete Part 1B on page 8.
- 1.4 Enter the anticipated Start & End date.
- 1.5 This should be the estimated total project cost of the defined work scope in thousands of dollars (K\$).
- 1.6 Self explanatory
- 1.7 Provide a descriptive statement of your project; providing enough information so that the Statement of Work (SOW) is well understood, or provide a Section Name and/or page number where an abstract of the work can be found in the attached proposal.
- 1.8 Self explanatory
- 1.9 Ames Laboratory normally does not perform classified research. If you know that a proposal would be classified, indicate such here. In order to submit project, Lab Director approval is required.
- 1.10 If any or all of these boxes are checked, then special handling of the project is required. This may include cyber security, encryption of electronic information, an export control license and other requirements as specified.

- 1.11 Self explanatory.
- 1.12 Please indicate if there is any existing Intellectual Property that relates to this proposal here. Existing IP includes 1) IP (including software) that has been documented in some "lab notebook" form but a Disclosure form has not yet been prepared, 2) submitted disclosures, 3) IP in which a patent application has been filed or that has a valid patent, 4) software that is/will be either open source software or protected under copyright. If the answer is "yes", please complete questions Part 1A.21, 1A.22, and 1A.24 on page 7, *Technology Transfer and Intellectual Property*.

Part 2. ES&H Review

To be completed by the PI with assistance from ESH&A, and signed by an ESH&A representative and PI in G40 TASF.

- 2.4 The use of DOE form 5634.2 is discussed in DOE O 470.1 Safeguards and Security Program.

Part 3. Sponsored Research & Administration

To be completed by the Associate Laboratory Director for Sponsored Research & Administration in 311 TASF.

Part 4. Export Control

To be completed and signed by the Export Control Officer in 311 TASF.

Part 5. Budget and Personnel Requirements

To be completed by the PI(s) and the PI(s) Program Assistant with assistance from their Budget Office Analyst in 231 TASF.

- 5.1d The list of sensitive property items can be found at:
<https://www.ameslab.gov/files/sensitivelist2012.pdf>
- 5.2 An attached budget sheet may be used in lieu of this item.

Part 6. Laboratory Approvals

Self explanatory

SUPPLEMENTAL FORMS (May or may not be required)

Part 1A (pages 6 & 7) Complete ONLY if Proposal is being submitted to a Non-DOE Sponsor (i.e. DOD, NIJ, University, Industry, Foreign, etc.). Do not complete if the proposal is in response to Ames Lab LDRD.

- 1A.1 Provide the name of the Entity who will enter into a formal agreement with Ames Laboratory.
"Technical Point of Contact" is the name of the person the PI(s) is/are working with regarding the technical aspects of the project.
"Contractual Point of Contact" is the name of the person responsible for negotiating or initiating the Contract for the Sponsoring organization.

- 1A.2. Provide the answer to, “Who is cutting and sending the check to Ames Lab?” Depending upon the answer, this determines the type of agreement: a WFO/CRADA agreement, an interagency agreement (IPR or MIPR), or Inter Lab Transfer, etc.
- 1A.3 If sponsor is a foreign entity, different terms and condition from US sponsors must be offered by OSRA. If the answer is “Yes” you **must** complete Part 1B.
- 1A.4 If Federal funds are being used by the Non-Federal Sponsor and the Non-Federal Sponsor is sending us the funds, please list the Agency funding the Sponsor in order to include the appropriate Intellectual Property (IP) clauses in the formal agreement.
- 1A.5 Self-explanatory
- 1A.6 Self-explanatory
- 1A.7 In order to do work for others, the proposed work must relate to the Lab’s or DOE’s mission; if it doesn’t, then justification for doing the proposed work must be detailed.
- 1A.8 Ames Laboratory cannot compete with U.S. private sector. Please explain why the work can’t be obtained from a private entity, or can’t be readily obtained in the U.S.
- 1A.9 Requires a statement that explains that the work for this project can only be provided by Ames Laboratory. The proposed work must not place the facility in direct competition with the domestic private sector. If the detail provided in 1.A.8 is complete enough to answer this question, also, put “See response in 1.A.8”
- 1A.10 “Space” means applications for Outer/Deep Space.
- 1A.11 Self explanatory
- 1A.12 Self explanatory
- 1A.13 Self explanatory
- 1A.14 Self explanatory
- 1A.15 Self explanatory
- 1A.16 Average annual percent effort of time built into this proposal for duration of this project
- 1A.17 Number of individuals of new people (not FTE’s)
- 1A.18 Self explanatory
- 1A.19 Self explanatory
- 1A.20 If there are existing patents, patent applications, disclosures, or pending disclosures that the Sponsor needs to license for the furtherance of the project, or if they already have a

license or option to Lab IP, or if they have indicated their willingness to negotiate an option or license, please explain. This includes software that may be open source or copyrighted.

- 1A.21 List all existing IP that may be involved in the project; both Ames Lab & ISU. This is necessary to assure that the IP is currently available for licensing or that ISURF (Iowa State University Research Foundation) doesn't license the IP to another entity while the proposal is pending. Please call the Lab's Intellectual Property Coordinator, at 4-5932 if you need assistance.
- 1A.22 List any IP that may be involved in the project which either has been disclosed to ISURF but nothing has been filed or you have yet to formally disclose. IP that does not have USPTO protection in place, i.e., a patent received or a patent application filed with the USPTO, is considered "Potentially Patentable Information". If you must submit a proposal that contains potentially patentable information, please use the legends found on the Ames Lab website at <http://www.ameslab.gov/techtransfer/proposal-submission>. Please call the Lab's IP Coordinator at 4-5932 or the Associate Director at 4-1048 if you need further assistance.
- 1A.23 If the sponsor is loaning you equipment or if they are providing you with materials they own, please indicate by marking "yes".
- 1A.24 If the sponsor is sending one of its employees to the Ames Lab to work on the project and conducting part of the Scope of Work, please indicate by marking "yes".

Part 1B. SC Foreign Work for Others Analysis Worksheet (page 8)

Please NOTE:

1B.1 Leave as is.

1B.2 completed by OSRA.

1B.3 List sponsor name and indicate if the Sponsor is a corporation, government entity, university, not for profit.

Sensitive Countries – Contact either John Henderson or Deb Covey, or leave Blank and the Export Control Manager will complete.

Terrorist Countries (as of 9/1/12): Cuba, Iran, Sudan, Syria,

1B.4. Use the PPF # (found in the top left hand corner of Page 1 and the Title as listed in item 1.1.

1B.5. Use the projected start and end dates from item 1.4.

1.B.6 Use costs detailed on the Budget worksheet by FY.

1.B.7 Use the description found in item 1.7.

1.B.8. If yes, describe any potential detrimental consequences, you perceive, to the US/DOE/Laboratory if this work is performed at the Laboratory.

1.B.9. Use explanation from 1A.7,8 and 9.

1.B.10. LEAVE BLANK. For DOE use/approvals ONLY.