



# **BUSINESS ACCELERATOR GRANT**

**A Component of the MTI Business Innovation Program**

## **Application Instructions**

### **Key Dates:**

Applications Relating to SBIR/STTR Phase I/II Awards

Submission – March 6, 2012 by 5:00 PM EST

Grant Notification – March 28, 2012

Applications Relating to Development Loans

Submission – March 1, 2012 5:00 PM EST

Grant Notification – June 18, 2012

Contact:

**Shane Beckim**

8 Venture Avenue, Brunswick Landing

Brunswick, ME 04011

Phone: 207-582-4790 x210 Email: [sbeckim@mainetechnology.org](mailto:sbeckim@mainetechnology.org)

For more information about the Business Accelerator Grant, please visit our website at

<http://www.mainetechnology.org/fund/business-accelerator-grant>

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## Application Requirements

|                    |  |
|--------------------|--|
| Due Dates          | SBIR/STTR Related – March 6, 2012 by 5:00 pm (EST)<br>Development Loan Related – March 1, 2012 by 5:00 pm (EST)  |
| Delivery address   | Maine Technology Institute (MTI)<br>8 Venture Avenue, Brunswick Landing, Brunswick, ME 04011   |
| Application format | See Application Elements   |
| Application layout | 12 point or larger font<br>1” Margins<br>Single-sided, black & white or grayscale<br>Do not bind or staple<br>Do not use covers<br>Label each section<br>List the unique application number on each page in the upper right corner |

*All applications should be presented in a **narrative format** with the use of diagrams, data, tables and charts as needed.*

## OVERVIEW

### **Goals and Objectives of the MTI Business Innovation Program**

The MTI Business Innovation Program provides financial and business development support that helps Maine entrepreneurs, businesses, universities and institutions bring new technologies, products, services and processes to the market with financial and technical assistance along the development and company life cycle.

The Program consists of grants and investment that cost share early-stage foundational and planning activity and help Maine leverage external R&D funding such as the Federal Small Business Innovation Research/Small Business Technology Transfer Program and equity capital funding further along the commercialization and growth continuum. Applications are competitively reviewed and require at least a 1:1 ratio of external funding for every dollar of MTI investment. MTI funding helps leverage the capital required to develop and market the technology and results in positive economic impact IN Maine.

### **Purpose**

Over MTI's first decade of funding, the track record of MTI-funded companies demonstrated that projects with strong, experienced management teams and/or projects that incorporated business development activities into its business plan typically had higher rates of commercial success. It has been MTI's experience, as well as the experience of technology-based economic development (TBED) programs in other states, that this is particularly important for start-up/initial stage companies, and doubly so when entrepreneurs do not have prior experience growing a technology company or when a management team lacks certain expertise. As a result, MTI has created the Business Accelerator Grant to support the business and commercialization activities necessary to bring a product, process or service to market.

### **Confidentiality**

MTI maintains the confidentiality of applications, reports and other information submitted to MTI, with the exception of selected text from the application cover page (Form A) and information contained in the "Non-confidential Project Summary." All MTI Board of Directors, Technology Board members, Peer Reviewers, other consultants, and staff are required to sign and adhere to a non-disclosure agreement and conflict of interest policy statements (both forms are available at: [www.mainetechnology.org](http://www.mainetechnology.org)).

## Business Accelerator Grant Specifications

| <b>Business Accelerator Grant</b>                        | <b>Type of Matching Funds</b>                        | <b>Grant Fund Amount</b>                                     | <b>Application Deadlines</b>  | <b>Eligible Applicants</b>   |
|--|--|--|-------------------------------|--|
| <i>-For Early Stage Development Loan (DL) recipients</i> | Grant <u>in addition to</u> MTI DL funds             | Up to 10% of the awarded Development Loan                    | 3 per year-tied to DL process | Early stage company DL recipients  |
| <i>-For SBIR/STTR Phase I recipients</i>                 | Grant <u>in addition to</u> SBIR/STTR Phase I grant  | Up to 20% of SBIR/STTR Phase I grant not to exceed \$15,000  | Monthly                       | Maine small businesses that have been awarded and executed an SBIR/STTR Phase I contract within the past 90 days   |
| <i>-For SBIR/STTR Phase II recipients</i>                | Grant <u>in addition to</u> SBIR/STTR Phase II grant | Up to 10% of SBIR/STTR Phase II grant not to exceed \$50,000 | Monthly                       | Maine small businesses that have been awarded and executed an SBIR/STTR Phase II contract within the past 180 days |

### Who is Eligible to Apply?

The MTI Business Accelerator Grant is available to the following categories of companies:

- Companies that have recently been chosen for a Federal Small Business Innovation Research (SBIR) Phase I and Phase II grants, and/or
- Start-up/Early Stage Companies that are awarded MTI Development Loans (DLs).

In both cases these are grant funds provided to the company in addition to their SBIR/STTR or DL funding and do not have to be repaid to MTI.

Eligible companies applying for an MTI Development Loan (see Development Loan Application) apply for their Business Accelerator Grant at the same time, as the review process will take the proposed business development steps into consideration when evaluating the Development Loan application. SBIR/STTR Phase I and II recipients apply for an MTI Business Accelerator Grant after having received formal notice of award of federal SBIR/STTR funding.

### Eligible Projects

Eligible companies can use these grant funds to support commercialization and business development/capacity activities not eligible for SBIR/STTR funding, or to accompany a Development Loan. The funds are to be used to advance the new technology to market and to firmly establish or increase the scope and sustainability of the business enterprise. The grant is intended to increase the competitiveness of the company by providing funds directed at products/services commercialization, business and management team development, and company organization.

## List of Eligible Activities

- Business planning and business model development
- Evaluation of commercialization opportunities and identification of resources needed
- Development of strategy to secure target customers/strategic partners/investors
- Identification and analysis of target customers/strategic partners or other relevant stakeholders
- Evaluation of potential distribution channels
- Development of target market strategy, including market research, analysis and travel to gather market data
- Capital fundraising, including creation of materials to attract potential strategic partners and investors, etc.
- Strengthening of company financial management capacity and systems
- Intellectual property protection
- FDA or other certification body approval (i.e. UL, CSA or European standards certifications)
- Hiring of qualified personnel to support business development activities
- Travel related to product development, manufacturing, distribution, or trade shows that will contribute meaningfully to commercial success
- Preparation of an SBIR/STTR Phase II proposal– grant writers, experts, costs to gather information (literature search, market research or reports, etc.), in-state travel to develop partnerships for the Phase II project are allowable. All projects must end with submission of a completed SBIR/STTR Phase II proposal.
- Entrepreneurship training for management team members that will contribute to company success
- Recruiting of key management team or technical expert employees
- Establishing a board of directors or advisors for the company
- Activities surrounding the establishment of a legal corporate entity presence including filing organizational material and taking care of all basic legal matters, such as those related to employees, consultants, partner contracts and license agreements
- Other activities the applicant can establish which are critical to commercial success and fit within the purpose as outlined above and approved by MTI

Indirect or overhead costs are **NOT** eligible expenses. In addition, funding may not be requested for activities already covered by SBIR/STTR or Development Loan funding.

## Limitations and Restrictions

Companies are limited to one Business Accelerator Grant per year, with no more than \$100,000 over five years. MTI requires that companies considering applying for a Business Accelerator Grant to contact MTI to schedule a meeting with a member of the Business Innovation Program team to discuss their plans prior to submitting an application.

## Specific Instructions for SBIR/STTR Phase I and Phase II Applicants

MTI makes its Business Accelerator Grants available to help Maine companies that succeed at securing the highly competitive federal Small Business Innovation Research and Small Business Technology Transfer (SBIR/STTR) R&D funding to position their companies for commercial success. Specifically, these grants help SBIR/STTR recipients to:

- Fund commercialization and business development activities not eligible for SBIR/STTR funding but required to advance the research and development to market

- Increase the incentive for Maine companies to apply for SBIR/STTR Phase I awards
- Increase the competitiveness and success of Maine SBIR/STTR projects by providing matching funds directed at commercialization and business development activities not typically paid for by the federal award
- In the Phase I/ II review process conducted by the federal agency, help companies be more competitive by stating the company is eligible to receive matching funds that will accelerate commercialization and business success
- Augment and leverage funds for Phase I, IB and Phase II and IIB awards.

Prior to submission of a Phase I or Phase II SBIR/STTR proposal to any of the eleven agencies, applicants should contact MTI to obtain a letter of support and notice of commitment of the Business Accelerator Grant if awarded a Phase I or Phase II award. The MTI letter must be requested 14 days prior to the Agency’s required due date. MTI support letters are not required to receive the matching funds, but are highly encouraged.

**Economic Benefit to Maine**

Projects funded by the MTI must show a high potential for significant economic benefit to Maine. Outcome measures will include some of the following benefits:

- creation or retention of jobs
- additional company investments
- increased competitiveness
- infrastructure investments by the company
- increased sales and revenue
- increasing Maine’s capacity for R&D
- patents, trademarks and/or licenses
- additional outside investment into the company
- firm sustainability and growth

**Maine Seven Targeted Technology Sectors**

- Advanced Technologies for Forestry & Agriculture
- Composite Materials Technology
- Aquaculture and Marine Technology
- Environmental Technology
- Biotechnology
- Information Technology
- Precision Manufacturing Technology

**Application Process and Timeline (subject to change)**

| <b>Applications Related to SBIR/STTR Awards</b> |   |
|---|---|
| <b>Grant Cycle</b>                              | <b>Activity</b>   |
| January 10, 2012                                | Applications (paper copy or submitted electronically through the MTI website) due at MTI by 5:00 PM (EST). Late submissions will not be accepted. |
| January 31, 2012                                | Review Committee Meeting  |
| February 1, 2012                                | Applicants notified of results  |

| <b>Applications Related to Development Loans</b> |  |
|--|--|
| <b>Grant Cycle</b>                               | <b>Activity</b>  |
| March 1, 2012                                    | Applications (paper copy or submitted electronically through the MTI website) due at MTI by 5:00 PM (EST) at the same time as the Development Loan application. Late submissions will not be accepted. |
| May 8-10, 2012                                   | Review Committee Meetings  |
| June 19, 2012                                    | Applicants notified of results   |

**STEP ONE – Meet with MTI BIP Team Member**

All applications must contact the MTI Business Innovation Program to discuss the project to be pursued through the use of Business Accelerator Grant Funds. Applicants who fail to contact MTI prior to submission of a Business Accelerator Grant application will have their applicant returned without review.

**STEP TWO – Receipt and Review of Complete Applications**

All applications must be received at the MTI office no later than 5:00 pm on the deadline date. Any incomplete applications, applications received after the 5:00 pm deadline for any reason, applications that exceed page limits or do not follow other directions will be returned to the applicant without review.

Applications received at the MTI at least 5 business days prior to the deadline will be screened for completeness. The applicant will be notified of missing information and be allowed to complete their application prior to the deadline.

Upon receipt of your completed application and within one week of the application deadline, MTI will send an email as confirmation that the completed application was received and forwarded for review.

**STEP THREE – Review Committee Evaluation**

All complete Business Accelerator Grant – Development Loan Applications will be forwarded to the specified sector’s Technology Board Review Committee (TBRC) for which the application best fits. Volunteer technical/business advisors will evaluate applications using specified evaluation criteria and determine which projects best meet MTI’s objectives. MTI has five standing TBRC Review Committees.

All complete Business Accelerator Grants applications related to an SBIR/STTR award will be forwarded to that month’s Review Committee. Volunteer technical/business advisors will evaluate applications using specified evaluation criteria and determine which projects best meet MTI’s objectives.

**STEP FOUR – MTI Decision Process**

MTI will consider the highest quality applications recommended for funding across all sectors and make the final funding decision based on the reviews and recommendations of the Review Committee. The MTI Board can take an action other than that recommended due to the availability of funds to balance and encourage synergies across sectors or to serve in the best interests of the MTI.

**STEP FIVE – Grant Notification**

A list of selected grant recipients will be posted on the MTI website ([www.mainetechnology.org](http://www.mainetechnology.org)) on the listed decision notification date. All applicants will be notified in writing of the outcome of their

application. Applications not selected for a grant will be and provided feedback specific to the review of the application. All applicants are encouraged to call MTI for a detailed de-briefing regarding the review of their application.

### **Appeals Process**

MTI's standard appeals policy will govern the program. Appeals must be filed within two weeks from the date of the MTI written notification letter. The full existing policy is available at:

[http://www.mainetechnology.org/docs/appeal\\_policy.pdf](http://www.mainetechnology.org/docs/appeal_policy.pdf)

### **Process for Grant Recipients**

Grant recipients will be notified and arrangements will be made to finalize the Grant Agreement. Grants are contingent upon completion of the final Grant Agreement. A total of 80% of the approved grant will be disbursed at the start of the project. The final 20% will be disbursed upon project completion as specified in the final Grant Agreement.

Final Grant Agreement requires:

- The expected endpoint documentation and date targeted for project completion be specified and agreed to by both the Recipient and MTI.

### **Reporting Requirements**

Completion of the grant project requires the submission to MTI of a final report as outlined in the Grant Agreement including:

- Provide a summary of the business development /commercialization efforts undertaken and results obtained.
- Summary and documentation of all expenses identified within the project budget.
- If matching an SBIR/STTR Award, a copy of the Phase I or Phase II interim and final reports that are submitted to the federal agency.

# BUSINESS ACCELERATOR GRANT DIRECTIONS AND CHECKLIST

## REQUIRED ITEMS

Please submit to the MTI one original paper copy or an electronic copy through the MTI website each of the following eight items. Inclusion of optional item #5 is strongly encouraged.

*Applications submitted via fax or e-mail, or incomplete applications, applications exceeding page limits, or otherwise not following directions laid out within the application instructions will be returned with no further review.*

### 1. Form A: Non-Confidential and Confidential Information (1 page printed form)

Applicants must register at [www.mainetechnology.org](http://www.mainetechnology.org) prior to submitting an application. In addition, MTI strongly encourages interested applicants to have an in-person meeting with MTI staff to discuss their applications.

*Please Note – “Public Information” submitted in Form A may be shared with media, MTI partner organizations or the public. Information for “MTI purposes only” will only be used by MTI.* Register on-line at the MTI website and receive your unique application number to be used with all communications at <http://www.mainetechnology.org/fund/businessdevelopmentgrants>. ***Once registered, write your unique application number on the upper right corner of each page of your application.***

Print out the completed registration Form A, certify its truthfulness with your original signature, and include this as the cover page along with the remaining parts of the application. If you are unable to register on-line, please call MTI to register by phone and receive your application number before submitting your application. Note names of individuals (i.e. potential reviewers) from whom to withhold application information.

### 2. SBIR/STTR Phase I or Phase II Contract/Grant

#### **SBIR Phase I and Phase II Business Accelerator Grant Applications ONLY**

On a separate page(s), provide a complete copy of the Contract/Grant from the awarding federal agency.

### 3. Non-Confidential Project Summary (≤ 100 words)

This summary must be **non-confidential** and must not exceed 100 words. The summary will be included in the official MTI Business Accelerator Grant press release if the project is funded and may be provided to members of the public or MTI partner organizations. The summary should be constructed to reflect the benefit and feasibility of the project as well as clearly specify the project's goals. It should include:

- a. Identification of the technology
- b. Summary scope of the project
- c. Expected outcome

### 4. SBIR/STTR Project Description

#### **SBIR/STTR Phase I and Phase II Business Accelerator Applications ONLY**

On separate paper, not to exceed one page, 12 point font and with 1-inch margins, submit a brief typed description of the SBIR/STTR Phase I or Phase II project, the technical and market need for the project and the final product/service to be commercialized.

## 5. Application Narrative Components

Applicable to both SBIR/STTR applications as well as Development Loan applications

| <b>Scope of Work (≤ 2 pages)</b><br>This section of the application will be evaluated and assigned up to 50 points for Scope of Work. |   |
|---|---|
| A   | Provide a detailed description of the objectives for the scope of work. The plan should describe what will be done, where it will be done and how the project will be carried out. The plan to achieve each objective should be discussed in detail. (See “Eligible Projects” for a list of appropriate activities.)    |
| B   | Describe how the proposed scope of work will advance this technology toward commercialization and augment the work of the SBIR/STTR or Development Loan project.  |
| C   | Identify measurable outcomes showing progress towards commercialization and growth (such as business plan completed, patent filed, market research completed, grant proposal submitted, certification achieved, etc.).  |
| D   | Provide a timeline corresponding to the proposed scope of work not to exceed the timeline for the corresponding matching project (i.e. SBIR/STTR Phase I/II or Development Loan). The proposed timeline will be taken into consideration as part of the applicant’s ability to complete the project in a timely manner. |

## Market Potential, Management Team and Commercialization and Potential for Economic Impact Sections (≤ 2 pages combined)

| <b>Market Potential</b><br>This section of the application will be evaluated and assigned up to 10 points for Market Potential |   |
|--|---|
| A  | Give an overview of the target market for the technology and what meaningfully unique competitive advantage the product, process or service has over current solutions and competition. |
| B  | Define and quantify targeted customers. A letter from a significant interested buyer, end-user or partner may be included within the supporting documentation.                          |

| <b>Management Team</b><br>This section of the application will be evaluated and assigned up to 20 points for Management Team |   |
|--|---|
| A  | Describe the management team's relevant experience in developing and commercializing new products, processes and services or how this application will augment management team gaps and weaknesses. |
| B  | Describe the team's relevant experience with the technology being developed.  |

## Commercialization and Potential for Economic Impact

This section of the application will be evaluated and assigned up to 10 points for Commercialization/Potential Economic Impact.

|   |  |
|---|--|
| A | Briefly describe the proposed business model and any pricing and cost insight or explain how this application better defines the model.  |
| B | Describe how and where the technology will be manufactured or implemented.   |
| C | Describe how the proposed project will lead to positive economic impact to the State of Maine.   |
| D | Describe ownership over any primary intellectual property or proprietary knowledge associated with this project and how it provides a competitive marketplace advantage and/or barrier to current or future competitors. |

## 6. Budget Summary and Budget Supporting Document (≤ 2 pages including Form B)

This section will be evaluated and assigned up to 10 points total for Budget Appropriateness.

*All eligible and properly documented expenses may be claimed back to the application deadline date.*

Using the form provided at [www.mainetechnology.org/fund/seed-grants](http://www.mainetechnology.org/fund/seed-grants) or using a copy of the blank form (you may add additional lines, if needed) and up to 1 (one) page of budget supporting documentation, please indicate:

- a. Line-item expenses for the proposed project
- b. Number of hours and hourly rate for all employees and non-employees.
- c. Total funds requested from MTI.

### **WAGE / SALARY RATE GUIDELINES:**

Payment of project personnel salaries/wages (including that for company principals) is a legitimate use of MTI funds. All salaries/wages must be the actual pay rate, or must **NOT** exceed the mean hourly wage rates compiled by the US Department of Labor under the National Occupational Employment and Wage Estimates ([http://stats.bls.gov/oes/current/oes\\_stru.htm](http://stats.bls.gov/oes/current/oes_stru.htm)). Actual pay rates may need to be justified by actual, documented payments, made prior to the MTI award application, for the named person in the specified position by the applicant company. MTI staff is responsible for verifying payments.

There is no MTI set rate for consultant/contractor (non-employee) services. However, a reasonable rate based upon the current market within Maine is expected. MTI staff must verify that the proposed rates are the actual billable rates most frequently charged by the consultant/contractor or other personnel.

## 7. Professional Summary (≤ 2 pages each)

On separate paper, please submit biographies for the primary contact and any other project personnel identified on the Business Accelerator Grant Budget form or within the project Scope of

Work, including any named consultants and/or (sub) contractors. Be sure the biographies indicate experience relevant to the performance of tasks related to this application.

Note: Biographies may not be longer than two pages per person. Any additional biography pages over the two page per person limit will be discarded. Biographies may come in the form of a resume, CV, or paragraph summary style.

## **8. Application Checklist**

Provide a completed and signed copy of the application checklist.

An Excel version of this document is available on the Business Accelerator Grant page of the MTI website.

[www.mainetechnology.org/fund/business-accelerator-grant](http://www.mainetechnology.org/fund/business-accelerator-grant)

### Form B: Budget Summary Form

Provide a description of each expense and from which source the expense will be paid for the proposed project. All gray cells are formula driven. You may add additional lines where necessary. Reviewers will assess the

|  |       |        |            | Total |
|--|-------|--------|------------|-------|
| <b>Employees</b>                         | Title | Hours  | Hrly Rate  |       |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
| <b>Consultants</b>                       | Role  | Hours  | Hrly Rate  |       |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
| <b>Equipment (* = Include if leased)</b> |       | *Hours | *Hrly Rate |       |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
| <b>Materials</b>                         |       | Units  | Cost per   |       |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
| <b>Other</b>                             |       | Units  | Cost per   |       |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
|  |       |        |            | \$ -  |
| <b>Total Project Costs</b>               |       |        |            | \$ -  |

**BUSINESS ACCELERATOR GRANT APPLICATION CHECKLIST**

**BA#** \_\_\_\_\_

**Please submit to the MTI one original of each of the following eight items.**

- \_\_\_\_\_ **1. Form A – Registration Form:** Obtained through registration at [www.mainetechnology.org](http://www.mainetechnology.org).
- \_\_\_\_\_ **2. SBIR/STTR Phase I or Phase II Contract/Grant:** SBIR Phase I and Phase II Business Accelerator Grant Applications ONLY
- \_\_\_\_\_ **3. Non-confidential 100 word Project Summary:** Will be included in the official MTI Business Accelerator Grant press release if the application is approved for funding.
- \_\_\_\_\_ **4. SBIR/STTR Project Description:** SBIR Phase I and Phase II Business Accelerator Applications ONLY
- \_\_\_\_\_ **5. Application Narrative:** Not to exceed four pages in total, this section must address the criteria identified in the application instructions.
- \_\_\_\_\_ **6. Form B - Budget Summary:** MS Excel form may be obtained at [www.mainetechnology.org](http://www.mainetechnology.org). A one page budget supporting document is optional.
- \_\_\_\_\_ **7. Professional Summary:** Submit biographies for the primary contact and any other key project personnel, including any named consultants and/or contractors. **Biographies may NOT be longer than two pages per person. Paragraph style may be preferred.**
- \_\_\_\_\_ **8. Application Checklist (this form):** Checked by applicant for completeness and verified with an original signature.

\_\_\_\_\_  
Applicant Signature

\_\_\_\_\_  
Date of Signature

**SIGNATURE:** By signing below, the applicant requests MTI treats all application information as confidential under 5 MRSA Section 15302-A other than “Form A, Section I” and the “Non-confidential Summary.”(See page 5.) The applicant certifies the application has been checked for completeness. Failure to provide all required information will result in the application not being considered.