

September 27, 2013

SBIR Alerting Service

Final issue notice

The SBIR Alerting Service has been a free service that has provided bi-weekly notification of SBIR and STTR solicitation announcements, news and information, and Internet resources relevant to the SBIR/STTR programs since 1996. This service was provided by the [Economic Development Office](#) of [Pacific Northwest National Laboratory](#) (PNNL). With the release of this final issue, the service will discontinue. Back issues will remain on the PNNL website at www.pnl.gov/edo/opportunities/sbir/archive.asp, and the list of SBIR resources will still be available at www.pnl.gov/edo/opportunities/sbir/SBIRresources.pdf.

We would like to thank all of our readers for their support and suggestions over the last 16 years. We hope the service has been useful for you as you have worked toward developing high-tech innovation solutions to enhance our nation's defense, education, health care, and more.

Sincerely,

Richard Fowler - richard.fowler@pnnl.gov

Gary Spanner - gary.spanner@pnnl.gov

SBIR Alerting Service Proposal Writing Tip launch notice

Yes, it's true that the SBIR Alerting Service as we've known it ends with this edition. We would like to thank Richard Fowler, Gary Spanner, Pacific Northwest National Laboratory, and the US Department of Energy for supporting this important SBIR/STTR outreach effort since the late 1990s. Like yourselves, we have found the Alerting Service to be a valuable resource, and appreciate all the hard work and dedication that has gone into its publication. It will be greatly missed.

We have been honored to be part of the Alerting Service by volunteering our monthly proposal writing tip since 1999. We are pleased to announce that Greenwood Consulting Group, Inc. plans to continue to produce a monthly SBIR/STTR proposal tip and email it at no charge to those who would like to receive it.

If you are a current subscriber to the Alerting Service, you will automatically be put on the mailing list for this monthly proposal tip, unless you opt out by sending an email to lyris@lyris.pnl.gov with the words "unsubscribe sbir-alert" in the subject line of your message by October 15, 2013.

In honor of all the good work that Richard, Gary, PNNL and DOE have done, this will be called the *SBIR Alerting Service Proposal Writing Tip*.

Respectfully,

Gail and Jim Greenwood
gail-jim@gjgreenwood.com

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>> SBIR/STTR NEWS AND INFORMATION

DOC NOAA SBIR 2014 Phase I Pre-solicitation Notice

The Department of Commerce (DOC) National Oceanic and Atmospheric Administration (NOAA) posted a pre-solicitation notice for their 20143 Phase 1 SBIR solicitation on the Federal Business Opportunities (www.fedbizopps.gov) website on September 20, 2013. The complete notice is available at www.fbo.gov/index?s=opportunity&mode=form&id=c44fc698a9eb6d885d447e182b780f0a&tab=core&_cvview=0, but a portion of the notice appears below:

Notice Type: Presolicitation Notice
Solicitation Number: NOAA2014-1
Posted Date: September 20, 2013
Original Response Date: Jan 15, 2014

Synopsis:

The U. S. Department of Commerce (DOC), National Oceanic and Atmospheric Administration (NOAA) plans to seek proposals from small business firms for participation in Phase I of the Fiscal Year 2014 NOAA Small Business Innovation Research (SBIR) Program. Phase I of the SBIR program implements the SBIR/STTR Reauthorization Act of 2011, contained in the National Defense Authorization Act for Fiscal Year 2012 (P.L. 112-81), which reauthorizes the SBIR/STTR programs for six years. Small businesses are invited to submit research proposals in response to the Request for Proposals.

The SBIR solicitation will be issued on or about October 16, 2013. The NAICS Code for this acquisition is 541712. The SBIR solicitation will be available at the Federal Business Opportunities website www.fbo.gov. Please do not submit questions at this time. After release of the solicitation, it will be the offeror's responsibility to monitor this site for any amendments to the solicitation. The Government anticipates making multiple Phase I awards, each with a period of performance of six (6) months and a ceiling price not to exceed \$95,000.00.

General SBIR - related inquiries may be directed to the NOAA SBIR Program at (301) 713-3565, or NOAA.SBIR@noaa.gov. Additional questions should be directed to Joan Clarkston, Contract Specialist at (816) 426-7469, fax at (757)664-3623, or email joan.e.clarkston@noaa.gov. When contacting individuals regarding this announcement, please reference in the title Solicitation Number NOAA 2014-1.

15th Annual NIH SBIR/STTR Conference Notice

The press release below highlights the upcoming Annual NIH SBIR/STTR Conference that will be held for the first time in South Dakota. *Note that the early-bird registration discount ends September 30th.*

Small Businesses to Connect with NIH SBIR/STTR Funding at Conference

Small business seeking funding to conduct and commercialize health-related research will connect with national

experts and programs Oct. 28th-30th in Sioux Falls, South Dakota. Organizers anticipate 400-500 attendees at National Institutes of Health's (NIH) 15th Annual Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Conference held at the Sioux Falls Convention Center.

NIH awards over \$700 Million annually to small businesses to perform innovative research and development through its SBIR and STTR programs. "South Dakota and the surrounding states have growing medical industries," says Matthew Portnoy, NIH SBIR/STTR Program Coordinator. "We look forward to sharing how NIH can partner with small businesses to bring new products and technologies to market."

This year's conference "How to Be Competitive in a World of Change: Opportunities Through SBIR/STTR Awards", will offer presentations from NIH program staff and other experts, opportunities for one-on-one meetings with staff representing most NIH institutes and centers, a poster session providing examples of NIH-funded SBIR and STTR projects, and a "Pitch to Investors" panel to educate attendees as to investor expectations.

The conference will include three tracks "Navigating through SBIR/STTRs"; "Circumventing the Hurdles"; and "Path to Commercialization". The wide variety of topics covered at this conference makes it ideal for SBIR newcomers, Phase I companies looking to advance to Phase II, and Phase II companies looking for commercial assistance, strategic partnership and investors. The conference agenda and receptions planned for Monday and Tuesday evenings will allow ample time to network with other attendees, NIH staff, potential strategic partners and investors.

For more conference information and to register, visit www.usdresearchpark.com. The early-bird registration discount ends September 30th. This project will not be funded in whole or in part with Federal funds from NIH.

New Required SBIR/STTR Program Certifications Notice

The National Institutes of Health (NIH) recently released the notice below on their NIH Guide for Grants and Contracts section of their website (grants.nih.gov/grants/guide/index.html):

New Program Certifications Required for SBIR and STTR Awards

Notice Number: NOT-OD-13-116
Release Date: September 17, 2013

The purpose of this Guide Notice is to announce that NIH is implementing certain SBIR/STTR program-specific certifications based on the SBIR/STTR Reauthorization Act of 2011 and the Small Business Administration's (SBA) SBIR and STTR Policy Directives. The Policy Directives revised the certifications required prior to award and added a requirement that small businesses certify they are meeting the program's requirements during the life cycle of the funding agreement. NIH will replace the pre-award small business concern "Verification Statement" form with a revised "Funding Agreement Certification" and will introduce a post-award "Life Cycle Certification" form consistent with the SBIR and STTR Policy Directives.

Implementation

Revised Certification: Effective October 1, 2013, NIH will require completion of a SBIR Funding Agreement Certification by all SBIR applicants for new or renewal grants prior to award of a new award (grant or contract) or a competing renewal award (grant or contract). Likewise, a STTR Funding Agreement Certification will be required of applicants for all new and competing renewal STTR grants. Submission of these Funding Agreement Certifications for grants will be implemented using NIH's Just-in-Time pre-award procedures for SBIR/STTR grants. The SBIR and STTR Funding Agreement Certifications are revised and re-named versions of the Verification Statements formerly used at the pre-award stage. They are being implemented to mirror the content and format contained in the current SBIR and STTR Policy Directives. These certifications are necessary to assure that the applicant meets the SBA size criteria, and that the organization will comply with other program-

specific requirements such as all work must be conducted in the United States and that a minimum amount of work be performed by its own employees within its own facilities, before NIH to can issue an award.

As done previously, if the funding agreement officer (for grants this is the Grants Management Officer) believes that the business may not meet certain eligibility requirements at the time of award, they may request a size determination from the SBA, who will determine eligibility. At that time, SBA will request further clarification and supporting documentation from the applicant small business concern in order to assist in the verification of any of the information provided as part of the determination request.

New Certification: Effective October 1, 2013, NIH also will require that all recipients of new or continuing SBIR and STTR awards complete a "Life Cycle Certification" once certain milestones are reached during the project period. Grant awardees are not required to submit this certification directly to NIH, but must instead complete a certification and maintain it on file in accordance with the records retention policy in Section 8.4.2 of the NIH Grants Policy Statement. A certification is required at the following times:

For SBIR and STTR Phase II Awardees: prior to receiving more than 50% of the total award amount and prior to final payment or disbursement from the Payment Management System (PMS).

For SBIR and STTR Phase I Awardees: At the time of receiving final payment or disbursement from the Payment Management System

In addition, SBIR and STTR awardees indicate compliance with these certification requirements by drawing or requesting funds from PMS. The "Life Cycle Certification" is intended to ensure the ongoing compliance of the awardee with the assurances it provided in the Funding Agreement Certification prior to award.

If the Grants Management Officer believes, after award, that the business is not meeting certain funding agreement requirements, the agency may request further clarification and supporting documentation in order to assist in the verification of any of the information provided.

The Funding Agreement Certification and Life Cycle Certification forms are now available for SBIR and STTR applicants and awardees in fillable format at: <http://grants.nih.gov/grants/forms.htm#sbir>. Applicants and awardees are encouraged to carefully review each form prior to apply for or accepting an award.

Please direct all inquiries to:

NIH SBIR/STTR Program Office

Telephone: 301-435-2688

Fax: 301-480-0146

Email: sbir@od.nih.gov

Website: <http://sbir.nih.gov>

SBIR Insider Thank You Note

Rick Shindell, President of Zyn Systems, has been a significant supporter of and contributor to the SBIR Alerting Service, and continues to be a tireless advocate for the SBIR community through the SBIR Gateway (www.zyn.com/sbir/), and the SBIR Insider newsletter www.zyn.com/sbir/insider/. We want to thank Rick for his efforts and for the kind note below that he recently sent us:

As a long time SBIR and small business advocate, I am deeply saddened by the loss of Pacific Northwest National Laboratory's (PNNL) SBIR Alerting Service newsletter. In my role of SBIR reporting and support, I know how much work and effort the PNNL team has put into each publication.

Richard Fowler and Gary Spanner have done a splendid job in producing the SBIR Alert over the years, and their work has earned them many awards including the coveted SBIR Tibbetts Award. Another important

contributor to their publication has been Jim Greenwood of the Greenwood Consulting Group. Jim's advice and SBIR guidance has been invaluable to many small businesses participating in SBIR. These collaborative efforts will be missed by our SBIR community.

Gentlemen, thank you for your years of service. We will miss you.

Rick Shindell
Editor, SBIR Insider

SBIR Proposal Writing Tip: Key Points in Your Phase 1 or 2 Proposal

The following proposal writing tip was provided by Gail & Jim Greenwood. Past SBIR proposal writing articles written by the Greenwoods are available on the Greenwood Consulting Group, Inc. (GCGI) web site at www.gjgreenwood.com.

SBIR Proposal Writing Basics: Key Points in Your Phase 1 or 2 Proposal
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This is the last proposal writing tip that we are preparing as part of PNNL's SBIR Alerting Service. We have done this every month for the past 14 years, and have passed out a lot of advice over that time. The SBIR Alerting Service as we've known it ends this month, although per the announcement in this edition we intend to continue to write and distribute a monthly proposal writing tip. We thought this transition point would be a good time to go back to our previous articles and pick out a few key points that are important and that many SBIR/STTR proposers don't realize.

1. The Phase 1 proposal should present an innovative idea that is yet unproven and technically risky. Already proven ideas are too advanced for this stage of SBIR/STTR, unless you are trying to adapt them to challenging new applications.
2. Phase 1 proposals should clearly state what that innovation is, and what technical risks need to be resolved before it can be considered a feasible solution to a pressing problem. NEVER make the reviewer try to figure out what is innovative in your proposal.
3. Phase 1 projects, then, are feasibility studies, and the term feasibility should be used throughout the Phase 1 proposal, along with how you will measure your success in proving feasibility
4. ALWAYS ask for fee or profit on your SBIR or STTR proposal. Every agency allows it, but you have to ask for it. A typical number is 7% of the total direct and indirect costs on the project. You can use the money you get for fee/profit for anything you want—this flexibility makes it the most valuable money you can get in an SBIR/STTR, so always ask for it and always ask for 7%.
5. Try to anticipate questions or objections that a reviewer may have to some aspect(s) of your proposal, and then address them in the proposal. One way to know what questions or objectives may arise is to get someone to review the proposal who hasn't been involved in its preparation
6. Another reason for getting that review is to catch nuances in the proposal preparation instructions in the SBIR/STTR solicitation that you overlooked when you drafted the proposal. Even someone without the technical qualifications to understand/critique your innovation or project can often catch such errors
7. Which, of course, leads to the basic advice of FOLLOW THE INSTRUCTIONS. The reviewers want to see innovation in the ideas you are proposing, not in how creatively you can organize the proposal. Proposals get tossed out if they stray from the instructions.

8. Your team must look right on paper. If the team collectively does not have credentials (education and/or experience) appropriate for the project, then you are in trouble. Consider adding personnel or subcontract part of the award to individuals or entities that help cover your weaknesses.

9. Expect ever increasing emphasis on commercialization of SBIR/STTR projects. If you can't convince the reviewer that there is a likely market for your innovation, and/or if you don't appear interested in commercializing it, then you are losing valuable points with the reviewers and those who pick the SBIR/STTR award winners.

10. Commercializing is NOT limited to selling to the private sector. Commercialization at DOD almost always means getting it into the hands of the warfighter (or those who support them)

11. Commercialization does not mean that you necessarily have to manufacture, sell, and service products in Phase 3. You may license the results of your SBIR/STTR work to others who could be better equipped to do the manufacturing, selling and/or servicing.

12. Commercialization also does not mean just products, but also services. Sometimes the smartest commercialization strategy can be to take the technology you create in SBIR/STTR and use it to provide services to clients

13. A Phase 2 proposal needs to start with a simple, concise statement that Phase 1 proved feasible. Unless Phase 1 is feasible, a Phase 2 can't be considered. So state it, and then in the Phase 1 project summary explain how you reached that conclusion.

14. That Phase 1 summary in your Phase 2 proposal also should show what a careful, conscientious, and thorough job you did on the Phase 1 project. Phase 1 is a feasibility study, and a "get to know you" opportunity for the agency.

15. Don't wait until the Phase 2 proposal, however, to show you are good people. During the Phase 1 effort, regularly contact the agency's project manager to keep them informed and ask for input, while being careful to not become a whiner or "black hole of need"

16. NEVER indicate that you still need to do feasibility studies in Phase 2—a conclusion about feasibility is the purpose of Phase 1

17. Expect SBIR and STTR to change significantly as the SBA and agencies implement requirements under the recent Reauthorization Legislation. This is especially true at NIH

We could go on, but hopefully there's a valuable reminder or two for you in this short list. Keep up the good work—we will continue to produce our monthly proposal writing tips, if you will continue to innovate, solving pressing problems and helping our economy through wealth and job creation.

Gail and Jim Greenwood may be reached at:

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1150 Junonia
Sanibel, FL 33957
(239) 395-9446 (voice & fax)
gail-jim@g-jgreenwood.com

>> CONFERENCES AND WORKSHOPS

National

15th Annual NIH SBIR/STTR Conference -- Sioux Falls, South Dakota, October 28-30, 2013. This year's conference "How to Be Competitive in a World of Change: Opportunities Through SBIR/STTR Awards", will offer presentations from NIH program staff and other experts, opportunities for one-on-one meetings with staff representing most NIH institutes and centers, a poster session providing examples of NIH-funded SBIR and STTR projects, and a "Pitch to Investors" panel to educate attendees as to investor expectations. Registration has now opened; visit the conference website for additional details: www.usdresearchpark.com.

Regional

NASA and DoE SBIR/STTR Tips -- McLean, VA, September 30, 2013. Learn special proposal development and submission tips for the NASA and Dept. of Energy SBIR and STTR grant programs. Make sure you are prepared! Special NASA SBIR program guest to provide additional tips! For more information, visit www.bbcetc.com/training/, or contact info@bbcetc.com.

Webinar: Tips on Electronic Submission to DOE -- Online, October 1, 2013. This webinar will provide tips and guidance to help applicants avoid common errors and successfully navigate the electronic submission process. For more information, visit www.bbcetc.com/training/, or contact info@bbcetc.com.

NIH SBIR Introduction and Phase 1 Proposal Guidance Webinar -- Online, October 2, 2013. To register, visit <http://exactmail.atlanticbt.net/link.php?M=114023&N=3171&L=9205&F=H> or email sbir@sbtcd.org for more information.

* *Phase 1 proposal preparation workshop* -- Lexington, KY, October 10, 2013. This workshop will cover the basics of SBIR/STTR, including important changes coming from their recent reauthorization, and progress through a four-step process for developing a competitive Phase 1 proposal to any agency. For more information or to register, go to <http://ksef.kstc.com/>.

* *Abbreviated Phase 1 Proposal Preparation Workshop* -- Carbondale, IL, October 11, 2013. This half-day event will cover the basics of SBIR/STTR including the reauthorization, and then address the four-step process for developing a Phase 1 proposal. Contact lindberg@biz.siu.edu for more information or to register.

* *Phase 2 Proposal Preparation Workshop* -- Tampa, FL, October 17, 2013. This event will start with Phase 2 basics, then progress through a recommended process for developing a Phase 2 proposal. It will then address the all-important commercialization plan, which can make or break a Phase 2 proposal—and show you how other companies have undertaken commercialization of their SBIR/STTR technologies, both successfully and not so much. Wendy at wplant@usf.edu is the person to contact for more information or to register.

* *Phase 1 Proposal Preparation Workshop* -- Orlando, FL, October 22, 2013. This event will present information about the basics of SBIR/STTR, and how to submit a competitive Phase 1 proposal to any agency. It will also cover the important changes being made to both programs as a result of their recent reauthorization—that legislation includes changes that only some of the agencies must make, changes that agencies can decide whether to implement or not, and changes that different agencies are implementing in different ways. For more information or to register, contact peggy.allen@ucf.edu.

Advanced Government Compliance Webinar -- Online, October 29, 2013. This event, designed to help SBIR contractors, will address FAR Overview, Cost Accounting Standards-Overview, OVERHEAD/G&A RATE VARIETIES AND CONSIDERATIONS, Advanced Incurred Cost Proposals, DCAA Audit - Support and Defense, How to Build and Negotiate a DCAA Cost Compliant Proposal; and more. Visit www.gov-con.com or call 303-800-9115 for more information.

DCAA Gov't Contracts Compliance 4 Day On-Line Boot Camp -- Online, November 4-7, 2013. This event, designed to help SBIR contractors, will address DCAA Audits, Contract Close Outs, Forward Pricing Rates/Audits, Managing Subcontractors; and more. Visit www.gov-con.com or call 303-800-9115 for more information.

Identifying Business and Research Partner Webinar -- Online, November 13, 2013. To register, visit <http://exactmail.atlantictb.net/link.php?M=114023&N=3171&L=9205&F=H> or email sbir@sbtcd.org for more information.

Year End Boot Camp Webinar -- Online, November 19-21, 2013. This topics of this event, designed to help SBIR contractors, will be Incurred Cost Proposal, and Year End with RatesPlus. Visit www.gov-con.com or call 303-800-9115 for more information.

DCAA Compliant Seminar -- Denver, CO, December 3-4, 2013. This event, designed to help SBIR contractors, will address Government Cost Accounting/DCAA Audits, Indirect Rates-Budget Seminar, Incurred Cost Proposal, QuickBooks Seminar, and more. Visit www.gov-con.com or call 303-800-9115 for more information.

** Phase 1 Proposal Preparation Workshop and Introduction to Phase 2* -- Gainesville, FL, December 3, 2013. This event will start with a thorough overview of the SBIR/STTR programs and then continue through a four-step process for developing a competitive Phase 1 proposal. The workshop concludes with a brief session on important factors in applying for Phase 2 SBIR/STTR funding. For more information or to register, contact ksfl@ufl.edu.

** Other possible upcoming SBIR training opportunities include:*

Annual New Jersey SBIR/STTR conference -- Newark/Brunswick area, New Jersey, November 2013 (tentative)
SBIR/STTR Phase 1 workshop -- Tampa, Florida, February 4, 2014

*** Greenwood Consulting Group, Inc.** will provide training at these workshops. Any attendee of one of these workshops is entitled to a free critique of his or her draft SBIR or STTR proposal. If you have questions, contact Gail or Jim Greenwood at (239) 395-9446 (voice & fax) or gail-jim@g-jgreenwood.com, or visit their web site at www.g-jgreenwood.com.

If you are sponsoring or are aware of SBIR workshops in your area and would like to post an announcement, feel free to contact us.

>> SOLICITATIONS CURRENTLY OPEN

SBIR

DOE FY2014 SBIR and STTR FOA
Applications Due October 15, 2013 (Letter of Intent was Due September 3, 2013)
<http://science.energy.gov/sbir/funding-opportunities/>

PHS 2013-2 SBIR/STTR Omnibus Solicitation of the NIH, CDC, FDA and ACF
Due Date: December 5, 2013;
AIDS and AIDS-related due January 7, 2014
<http://grants.nih.gov/grants/funding/sbir.htm>

STTR

DOE FY2014 SBIR and STTR FOA Release 1
Applications Due October 15, 2013 (Letter of Intent was Due September 3, 2013)
<http://science.energy.gov/sbir/funding-opportunities/>

PHS 2013-2 SBIR/STTR Omnibus Solicitation of the NIH, CDC, FDA and ACF
Due Date: December 5, 2013;
AIDS and AIDS-related due January 7, 2014
<http://grants.nih.gov/grants/funding/sbir.htm>

Coming Soon

DOC NOAA FY-2013 Phase I SBIR Solicitation
Expected October 16, 2013
www.oar.noaa.gov/orta/

NSF FY2014 SBIR and STTR Solicitations
Expected November 2, 2013 and November 4, 2013 (on the web now)
<http://nsf.gov/eng/iip/sbir/index.jsp>

DOE FY2014 SBIR and STTR FOA Release 2
Expected November 25, 2013 (Topics issued October 28, 2013)
<http://science.energy.gov/sbir/funding-opportunities/>

NASA 2013 SBIR and STTR Solicitations
Expected November, 2013
<http://sbir.gsfc.nasa.gov/SBIR/SBIR.html>

ED IES FY 2014 SBIR Solicitation
Expected December, 2013
<http://www2.ed.gov/programs/sbir/applicant.html>

DoD SBIR 2014.1 Solicitation
Release expected November 20, 2013
<http://www.acq.osd.mil/osbp/sbir/index.shtml>

DoD STTR 2014.A Solicitation
Release expected February 3, 2014
<http://www.acq.osd.mil/osbp/sbir/index.shtml>