

April 20, 2012

SBIR Alerting Service

The SBIR Alerting Service is a free service that provides bi-weekly notification of SBIR and STTR solicitation announcements, news and information, and Internet resources relevant to the SBIR/STTR programs. This service is provided by the [Economic Development Office](#) of [Pacific Northwest National Laboratory](#) (PNNL).

Back issues of the SBIR Alert are available at www.pnnl.gov/edo/opportunities/sbir.stm. Subscription instructions appear at the end of this newsletter.

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>> SBIR/STTR NEWS AND INFORMATION

EPA 2013 SBIR Phase 1 Solicitation Deadline Reminder

Proposals in response to the Environmental Protection Agency (EPA) 2013 SBIR Phase 1 Solicitation are due on May 3, 2012. Your proposal with an original and two (2) copies shall be received by 12:00 p.m. (Noon), eastern time. As indicated on the solicitation website (epa.gov/ncer/rfa/2013/2013_sbir_phase1.html), three copies of the application must be submitted: 1) an original, signed copy; 2) a single-sided copy on plain white paper; and 3) another copy for administrative purposes. Offerors are encouraged to also include one CD-ROM with a Portable Document Form (PDF) copy of your proposal.

Section VI of the solicitation advises to review Section V, Paragraph J.9(c) concerning Late Proposals, Modifications of Proposals and Withdrawal of Proposals, and that Telegraphic, telecopied or facsimile proposals will NOT be considered for award.

Spring 2012 NASA SBIR/STTR Newsletter Released

The Spring 2012 issue of *The Concept*, NASA's SBIR/STTR Quarterly Newsletter, was recently posted on the NASA SBIR/STTR website (sbir.gsfc.nasa.gov/SBIR/SBIR.html). NASA indicates that 'the purpose of The Concept is to provide information of interest to our NASA SBIR/STTR awardees, small business concerns, and university and high-tech industrial communities. The newsletter includes NASA SBIR/STTR news, events, informative articles and contact information for general program inquiries, as well as pointers to Web sites for the latest technical information on NASA mission programs.'

Items appearing in the Spring 2012 issue include: a letter from NASA's SBIR/STTR Program Executive Richard Leshner; information about the 1st Annual ISS Research and Development Conference, including the SBIR Technologies Workshop, which will be held on June 26-28 in Denver, Colorado; 'Infusing and Commercializing Your Technology'; and success story profiles of SBIR award recipients Broadband Photonics Inc. and CoolCAD

Electronics LLC.

The current and previous five issues of *The Concept* are available to view/download at sbir.gsfc.nasa.gov/SBIR/newsletter.html.

Design Contest Available for SBIR/STTR Companies

The NASA SBIR/STTR Quarterly Newsletter mentioned above also includes a notice regarding the 2012 Create the Future Design Contest which may be of interest to SBIR/STTR companies. The contest was launched in 2002 by the publishers of NASA Tech Briefs magazine to help stimulate and reward engineering innovation. The annual event has attracted more than 8,000 product design ideas from engineers, entrepreneurs, and students worldwide. The contest begins March 1, 2012 and ends June 30, 2012 and the Grand Prize winner will receive \$20,000.

For more information including rules, entry, prizes, FAQs, etc., visit contest.techbriefs.com/.

SBIR Resources on the Web Spotlight: Intellectual Property Awareness Assessment Tool

The announcement below regarding the new Intellectual Property Awareness Assessment Tool, which may be of interest to members of the SBIR community, was recently posted on the Department of Transportation (DOT) SBIR Program News page (www.volpe.dot.gov/sbir/sbirnews.html):

USPTO and NIST Unveil New IP Awareness Assessment Tool

The new Intellectual Property Awareness Assessment Tool developed by NIST MEP in collaboration with the US Patent and Trademark Office is now available for use. The tool is designed to guide business owners and inventor to consider critical intellectual property issues by providing customized menu of topics specific to their needs. The tool will also allow access to educational material developed by the USPTO. The IP Tool addresses Trademark, Copyright, Patent, Trade Secret, Licensing, International Rights, Strategies and IP asset Tracking. Once the simple assessment is completed the user gains access to a customized menu of educational materials on intellectual property developed by the USPTO and information on additional resources that offer helpful assistance. The intent is to help smaller manufacturers establish and employ an informed strategy to create value and protect their valuable IP assets. The tool is available on USPTO's website.

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SBIR Proposal Writing Tip: Caution if you are using Human Subjects in your SBIR/STTR project

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: Caution if you are using Human Subjects in your SBIR/STTR project
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For unknown reasons, the agencies have gotten a lot more sensitive about SBIR/STTR proposals involving both human and animal subjects. NIH has always had a sensitivity, but agencies like DOD and NASA also are making a big deal out of this aspect of a research project.

"What do I care?" you ask. "We're not going to poke or drug or abuse anyone, so 'human subject' regulations don't apply to our SBIR project." Boy, are you naïve! Human subject regulations pertain to much more mundane

and innocent situations than these.

Consider, for example, the discussion of human subjects in the website of the Department of Health and Human Services (the department under which the NIH fall), www.hhs.gov/ohrp/policy/checklists/decisioncharts.html. The flow chart found here first asks if you are doing research--chances are real good that your answer is yes if you are submitting for SBIR/STTR funding. If you are doing research, then the chart asks if you will be "obtaining information about living individuals." Again, the chances are good that, if you are working with people in your SBIR/STTR project, then they are alive. The chart next asks if DHHS is supporting the research; if you are getting an SBIR contract or grant from NIH, Centers for Disease Control or Food and Drug Administration, then again your answer will be "yes." Then, unless your research falls under one of the five relatively narrow and specific exemptions listed on the chart, your project is deemed to involve human subjects and you must comply with the regulations that are designed to protect them. That will involve approval of your research protocols by an Institutional Review Board (IRB), which will ensure your project does not adversely impact the safety, privacy or welfare of its human subjects.

The DoD also warns you about the use of human subjects in its Phase 1 solicitation. For example, in Section 2.8 of DOD's FY11.3 solicitation, proposers are warned that human use regulations pertain to "any research involving an intervention or interaction with a living person that would not be occurring or would be occurring in some other fashion" if it weren't for this project, as well as "any research involving identifiable private information" about a person. Again, that's casting a pretty broad net around a lot of research plans that SBIR/STTR proposers are contemplating. DoD goes on, in section 3.7 of that same solicitation, to require proposers who contemplate using human subjects to be in compliance with all Federal and state policy, guidelines and laws pertaining to human subjects. While suggesting that the aforementioned DHHS/NIH compliance is one way to do this, DOD adds that "additional measures" may be required.

"Whew," you say, "that sounds like a lot of effort. I guess I'd better build a little extra time into my Phase 1 work plan with DOD to get the necessary approvals." Well, we've got some bad news for you: DOD stated in its FY11.3 solicitation that the time required to get the IRB approvals could be 1-3 months, and then DOD needs another 3-6 months to review your human subject plan and the IRB approval--if you're doing the math, that means it could take 9 months to get all the approvals in place BEFORE you can begin any research involving those human subjects. Given Phase 1 SBIR projects typically are 6-9 months in duration, you have spent the entire time allotment to just getting the human subject background work done, and haven't done any of the actual research involved in your feasibility study. Therefore, DOD has stated that Phase 1 proposals should NOT be for research that includes human subjects. NASA issued similar guidance in its last SBIR/STTR solicitation, presumably for the same reason.

We'll conclude with several takeaways from this discussion.

First, recognize the much higher level of scrutiny by the Federal government of research involving human subjects, and be prepared to do more than you have in the past to avoid such research, justify being under one of the exemptions, or taking precautions to protect your human subjects.

Second, if you are proposing to DOD or NASA, do not define a Phase 1 work plan that includes human subjects. This may require some rethinking of your proposal, and a discussion with the topic author and other agency representatives to ensure that your proposal avoids human subject involvement.

Third, if you plan to claim that you are exempt to the human subject regulations in your project, you should be prepared to thoughtfully and thoroughly justify that claim.

Finally, do not take treatment of the human subjects topic lightly. In an era of increased whistle blowing by former employees of SBIR/STTR companies, and of increased scrutiny in the SBIR/STTR reauthorization of "waste, fraud and abuse" among companies getting awards, such light treatment could lead to heavy consequences.

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>> CONFERENCES AND WORKSHOPS

National

14th Annual NIH SBIR/STTR Conference – Louisville, Kentucky, May 30-June 1, 2012. This event will be hosted by the Kentucky Science and Technology Corporation. This year's conference "The Changing Face of SBIR/STTR", will offer presentations from NIH program staff and other experts, a poster session providing examples of NIH-funded SBIR and STTR projects, exhibits, and opportunities for one-on-one meetings with staff representing several NIH institutes and centers. For additional details, registration, agenda, and logistics visit nih.kysbir.com/.

2012 National SBIR Beyond Phase II Conference & Technology Showcase – Indianapolis, IN, September 10-13, 2012. This event showcases the SBIR Program's Phase II awardees' technologies and provides a forum for commercialization opportunities, and will bring together current SBIR Phase II companies, key technology and acquisition personnel from government and industry to enable the transition of SBIR-funded research and development into products for military, government and private sector commercial markets. For more information, email conference@esncc.com.

2012 National SBIR and STTR Conference – Portland, Oregon, November 13-15, 2012. The Micro-enterprise Inventors Program of Oregon (MIPO) and the Oregon Small Business Development Center Network (OSBDC) will host the SBIR/STTR 2012 National Conference. The theme "Crack the Code" is designed to promote discovery of the key issues to successful grant applications – creating connections, fostering new opportunities, showcasing diversity, and exploring innovative possibilities for both new and experienced SBIR recipients. For more information, visit www.sbir.gov/events/portland-oregon-will-host-2012-national-small-business-innovation-research-sbir-and-small-bus.

Regional

** Phase 1 Proposal Preparation Workshop with DoD Focus* -- Chicago, Illinois, April 24, 2012. This all day event will cover everything from the basics of SBIR/STTR, to a description and analysis of the recent Reauthorization legislation, to a comprehensive four step process for developing a competitive Phase 1 proposal. The workshop will focus on the Department of Defense, though concepts discussed will also be relevant to the other agencies participating in SBIR/STTR. For more information, contact efetters@istcoalition.org.

SBIR/STTR Proposal Prep-NIH Focus -- Plymouth Charter Township, MI, April 24-25, 2012. This NIH-focused seminar presents essential information for crafting a competitive SBIR/STTR proposal that meets the unique requirements of the NIH. It provides detailed instruction on the ins and outs of preparing a proposal, including both technical and commercialization plans, and navigating the often complicated submission process. For more information, visit www.bbcetc.com/training.html, or contact kris@bioconsultants.com.

DCAA Compliant Seminar -- Denver, Colorado, April 24-25, 2012. This event, designed to help SBIR contractors, will address Government Cost Accounting/DCAA Audits; Indirect Rates-Budget Seminar; Incurred Cost Proposal; and more. Visit www.gov-con.com or call 303-800-9115 for more information.

Federal Laboratory Consortium (FLC) National Conference -- Pittsburgh, PA, April 30-May 3, 2012. The FLC offers a full day of training designed to meet the training requirements of all T2 professionals--from beginners to experienced practitioners. Through panel discussions, interactive sessions, workshops and seminars, subject-matter experts provided in-depth training in technology transfer fundamentals, intellectual property protection and licensing, technology marketing and commercialization, as well as a free-wheeling discussion of the "hottest" T2 issues of the day. For more information, visit www.federallabs.org/meeting/, email flcmso@federallabs.org, or call 856-667-7727.

How To Win SBIR Awards -- Herndon, Virginia, May 2, 2012. This all-agency event will offer an extra "spotlight" on DoD and strategies for the June proposals, and will focus on how to evoke the desired responses in reviewers of SBIR/STTR applications through focused strategic planning, pre proposal marketing efforts and competitive application techniques. Course instruction, workbook, and classroom materials will be provided by the SBIR Resource Center. For more information, visit sbir.us/course.html, or contact SBIR@win-sbir.com or (410) 315-8101.

SBIR/STTR Proposal Prep-DoD and NSF Focus -- Grand Rapids, MI, May 2, 2012. This seminar presents essential information for crafting a competitive SBIR/STTR proposal that meets the unique requirements of both the DoD and the NSF. It provides detailed instruction on the ins and outs of preparing a proposal, including both technical and commercialization plans, and navigating the often complicated submission process. For more information, visit www.bbcetc.com/training.html, or contact kris@bioconsultants.com.

SBIR/STTR Phase I Proposal Writing Workshop -- Little Rock, AR, May 4, 2012. This event will focus on two areas key to winning SBIR funding: the work plan and the commercialization plan. Participants will receive guidance in researching government organizations, topics and financial and administrative requirements and will explore some specific steps to attract commercialization partners, even at the Phase I stage of the SBIR Program. For more information and to register, visit asbtcd.ualr.edu/training/technology.asp.

NSF SBIR/STTR Phase II Grantees Conference -- Baltimore, Maryland, May 6-9, 2012. This event provides opportunities for small businesses that have received SBIR or STTR Phase II awards and supplements from NSF to share their technical and commercial achievements with the NSF Program Directors, potential investors and strategic partners. Grantees will also have the opportunity to network with other small businesses for possible collaborations to grow their businesses and to learn about the various supplemental funding opportunities available for Phase II awards. For more information and to register, visit www.cvent.com/d/8cq8zv

NDIA's Annual Missile Defense Small Business Programs and SBIR/STTR Programs Conference -- Huntsville, Alabama, May 8-9, 2012. Attendees will receive information designed to assist small businesses in understanding MDA Program requirements. Attendees will have the opportunity to attend one-on-one meetings with large and small MDA prime contractors, MDA 12.2 SBIR topic authors, government small business specialists, and contracting officers. For more information and to register, visit www.ndia.org/meetings/2160/Pages/default.aspx.

NIH SBIR/STTR Funding Opportunities -- Brunswick Maine, May 9, 2012. This agency focused workshop features Dr. Matthew Portnoy, NIH SBIR/STTR Program Manager. He will talk about the SBIR/STTR at NIH as well as the SBIR/STTR review process. In addition, a small business panel of NIH awardees will provide strategy, hints and tips on writing a compelling application. One-on-one's with Dr. Portnoy and Maine Technology Institute staff will be available.. For more information and to register, visit www.mainetechnology.org, or 207-845-2934.

DCAA Government Contractors Compliance Exposition -- Washington D.C., May 15-16, 2012. This event, designed to help SBIR contractors, will address FAR, How To Build A Cost Proposal, Advanced Incurred Cost Proposals, DCAA Audit Support, and more. Visit www.gov-con.com or call 303-800-9115 for more information.

How To Win SBIR Awards -- Virginia Beach, Virginia, May 17, 2012. This all-agency event will offer an extra "spotlight" on DoD and strategies for the June proposals, and will focus on how to evoke the desired responses in reviewers of SBIR/STTR applications through focused strategic planning, pre proposal marketing efforts and

competitive application techniques. Course instruction, workbook, and classroom materials will be provided by the SBIR Resource Center. For more information, visit sbir.us/course.html, or contact SBIR@win-sbir.com or (410) 315-8101.

USDA SBIR Program: From Submission to Award -- Webinar, May 22, 2012. This webinar will address key content to include in SBIR proposal applications, including the commercialization plan that is a required part of a Phase II application. Also to be discussed is the review process used by USDA and the necessary steps for successful registration and submission through Grants.gov. For more information and to register, visit asbtcd.ualr.edu/training/technology.asp.

Navy Opportunity Forum 2012 – Crystal City, Virginia, June 4-6, 2012. The 2012 Navy Opportunity Forum provides a preview of over 250 technologies funded by the Navy's SBIR and STTR programs; the Navy's Office of Research and Technology Applications (ORTAs); and the Department of Energy's, Office of Energy Efficiency and Renewable Energy. Invited attendees include: Large defense contractors, acquisition sponsors, first and second tier suppliers, Navy, DoD, and other federal employees, equity investors, Fortune 500 companies, Congressional Staff and Defense support contractors. For more information and to register, visit www.navyopportunityforum.com, or contact 585-617-6298 or info@navyopportunityforum.com.

How To Win SBIR Awards -- Reno, Nevada, June 11, 2012. This all-agency event (with the Veteran Entrepreneur Training Symposium), will offer an extra "spotlight" on DoD and strategies for the June proposals, and will focus on how to evoke the desired responses in reviewers of SBIR/STTR applications through focused strategic planning, pre proposal marketing efforts and competitive application techniques. Course instruction, workbook, and classroom materials will be provided by the SBIR Resource Center. For more information, visit sbir.us/course.html, or contact SBIR@win-sbir.com or (410) 315-8101.

SBIR Commercial Acceleration Program at TechConnect World Summit and Innovation Showcase 2012 -- Santa Clara, California, June 18-21, 2012. TechConnect World 2012 Joint Conferences (Nanotech, Microtech, Biotech and Cleantech), Expo and Innovation Showcase has extended an invitation to SBIR awardee companies to participate in direct matchmaking and showcase opportunities at a greatly reduced cost. Selected SBIR Awardees will be reviewed by Corporate and Technology Acceleration Partners for potential one-on-one meetings and a display booth at the 1.5-day Innovation Showcase with corporate and investment partners. For more information, visit www.techconnectworld.com/World2012/, or contact Derek Mayer, Partnerships Manager, TechConnect at dmayer@techconnect.org or 512-800-9796.

ISS Conference & NASA SBIR Workshop – Denver, Colorado, June 26-28, 2012. The SBIR Technologies Workshop at the ISS Research and Development Conference will give companies holding current NASA SBIR contracts the opportunity to present their technologies to prime companies, industry, and Government. Priority will go to technologies that can show a direct relationship to ISS needs. Space is limited so reserve your spot. For more information, visit astronautical.org/, or contact arc-sbir-outreach@mail.nasa.gov or (650) 604-2954.

SBIR & Global Trade Summit -- Uncasville, CT, July 24-26, 2012. This event will provide an opportunity to meet one-on-one with global companies, agencies and government reps; attend presentations, panels and workshops; interact with other innovators and manufacturers; and more. For more information, visit www.SBIRglobalTRADE.com, or contact Merrie London at merrie.london@ctinnovations.com or (860) 257-2894.

SBIR/STTR Phase I Proposal Writing Workshop -- Fayetteville, AR, August 29, 2012. This event will focus on two areas key to winning SBIR funding: the work plan and the commercialization plan. Participants will receive guidance in researching government organizations, topics and financial and administrative requirements and will explore some specific steps to attract commercialization partners, even at the Phase I stage of the SBIR Program. For more information and to register, visit asbtcd.ualr.edu/training/technology.asp.

** Other possible upcoming SBIR training opportunities include:*

Annual New Jersey SBIR/STTR Conference & Workshops -- Newark/North Brunswick, New Jersey area, November 14-16, 2012 (tentative)

National SBIR Conference -- Portland, Oregon area, Fall 2012

* **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-igreenwood.com, or visit their web site at www.g-igreenwood.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

EPA FY 2013 SBIR Solicitation

Due May 3, 2012

www.epa.gov/ncer/sbir/

DOT SBIR FY12.2 Solicitation

Due June 5, 2012

www.volpe.dot.gov/sbir/

DOE FY 2012 SBIR/STTR Phase I Funding Opportunity Announcement

Grant Applications Due: July 3, 2012

science.energy.gov/sbir/funding-opportunities/

PHS 2012-2 SBIR/STTR Omnibus Solicitation of the NIH, CDC, FDA and ACF

Due August 5, December 5, 2012;

AIDS and AIDS-related due May 7, September 7, 2012, and January 7, 2013

grants.nih.gov/grants/funding/sbir.htm

STTR

DOE FY 2012 SBIR/STTR Phase I Funding Opportunity Announcement

Grant Applications Due: July 3, 2012

science.energy.gov/sbir/funding-opportunities/

PHS 2012-2 SBIR/STTR Omnibus Solicitation of the NIH, CDC, FDA and ACF

Due August 5, December 5, 2012;

AIDS and AIDS-related due May 7, September 7, 2012, and January 7, 2013

grants.nih.gov/grants/funding/sbir.htm

Coming Soon

DoD 2012.2 SBIR Solicitation

Release expected April 24, 2012

acq.osd.mil/osbp/sbir/index.shtml

NSF FY-2013 SBIR Phase I Solicitation

Expected to open May 19, 2012

www.nsf.gov/eng/iip/sbir/index.jsp

>> SBIR/STTR ADDITIONAL RESOURCES

For a listing of and links to participating federal agencies, state/regional SBIR and small business resources, consulting services and more, view the *SBIR/STTR Resources on the Web* file on at visit www.pnnl.gov/edo/opportunities/sbir.stm.

>> SUBSCRIPTION INSTRUCTIONS

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If you have any comments, suggestions, or would like to submit items for the next issue please contact us:

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