



NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION OCEANIC AND ATMOSPHERIC RESEARCH

TECHNOLOGY PARTNERSHIPS OFFICE

Promoting Partnership & Commercialization of NOAA Technology and Innovations

NOAA Small Business Innovation Research (SBIR)

Notice of Funding Opportunity (NOFO)

FY2020

Application Tips and Help Sheet

Funding Opportunity Number: NOAA-OAR-OAR-TPO-2020-2006320

Link: <https://www.grants.gov/web/grants/view-opportunity.html?oppId=323195>

Catalog of Federal Domestic Assistance (CFDA) Number: 11.021 NOAA SBIR

Opening Date: December 19, 2019

Closing Date: February 3, 2020

Tips for Success When Applying to the NOAA SBIR Program



Early Submission

Abide by the Rules and Requirements

Read the NOFO Thoroughly

Think Commercialization, Propose Innovation

Homework

In other words...

- Do not wait until the last moment to submit an application. The deadline is firm and no late applications will be accepted. Be sure your application is complete and includes all mandatory forms and required materials.
- The Federal SBIR Program has specific rules and requirements, which are outlined in the NOFO. Failure to adhere to the rules of the program will result in disqualification.
- Take the time to read and understand the NOFO. Questions can be directed to noaa.sbir@noaa.gov. All questions pertaining to subtopics (Section 9 of the NOFO) are due no later than January 17, 2020 at 4:00pm (Eastern). Answers will be posted to <https://techpartnerships.noaa.gov/SBIR/FY19QA>.
- It is important that the proposed project is innovative and has clear commercial potential. Be sure to explain.
- Do your homework. Understand NOAA and its areas of research. Successful SBIR proposals align with NOAA's mission.

ATTACHMENT 1: NOAA SBIR Grants Fact Sheet



NATIONAL OCEANIC AND ATMOSPHERIC ADMINISTRATION OCEANIC AND ATMOSPHERIC RESEARCH

TECHNOLOGY PARTNERSHIPS OFFICE

Promoting Partnership & Commercialization of NOAA Technology and Innovations

NOAA SBIR Program

The SBIR program was originally established in 1982 by the Small Business Innovation Development Act (P.L. 97-219). The objectives of the SBIR Program are to:

- Stimulate technological innovation in the private sector;
- Strengthen the role of small business in meeting Federal research and development (R&D) needs;
- Foster and encourage participation by socially and economically disadvantaged persons in technological innovation; and
- Increase private sector commercialization of innovations derived from Federal research and development.

Each year, NOAA sets aside a portion of its extramural R&D budget to fund research from small science and technology-based firms. The NOAA SBIR Program supports innovative research projects that fall within NOAA's core mission of science, service, and stewardship.

Following the submission of proposals, the NOAA SBIR Program makes awards based on small business qualification, degree of innovation, technical merit, and future market potential. Small businesses that are selected may participate in the three-phase program.

Phase I: Feasibility Research

The purpose of Phase I is to determine the scientific, technical, and commercial merit and feasibility of the proposed research. Interested small businesses are encouraged to consider—and discuss in their grant application—whether the proposed research or R&D has private sector potential. NOAA Phase I grants are up to **\$150,000** for a **6-month** period of performance.

Phase II: Research and Development

Phase II is the R&D or prototype development phase. It requires a comprehensive proposal outlining the research and a detailed plan to commercialize the final product. Intellectual property rights remain with the company. Phase II grants are up to **\$500,000** for a **24-month** period of performance (plus an additional 12 months post-R&D for the development of a commercialization report). Only NOAA SBIR Phase I grantees are eligible to submit a Phase II proposal.

Phase III: Commercialization

Under Phase III, the grantee is required to obtain funding from the private sector, a non-SBIR Government source, or both, to further develop the prototype into a viable product or service for sale in the Federal government and/or private sector markets. SBIR Phase III refers to work that derives from, extends, or completes an effort made under prior SBIR funding agreements, but is funded by sources other than the SBIR Program. Phase III work is typically oriented towards commercialization of SBIR research or technology.

Tips to Get Started on the NOAA SBIR Grant Application Process

Confirm that your small business meets SBIR eligibility requirements. Visit <https://www.sbir.gov/applicants> to learn more.

Visit <http://www.noaa.gov> to learn about NOAA's areas of research. When applying, be sure your technology aligns with NOAA's mission, is innovative, and has commercial potential.

Make sure any required registrations—including SAM.gov, Grants.gov, and SBIR.gov—are done well in advance of the grants application deadline.

For more information about the NOAA SBIR Program:

- Visit <http://techpartnerships.noaa.gov/SBIR>



SBIR
America's Seed Fund™

ATTACHMENT 2: SBIR-STTR Form (Cover Page)

SBIR/STTR Information

OMB Number: 4040-0001
Expiration Date: 10/31/2019

*** Agency to which you are applying (select only one)**

DOE
 HHS
 USDA
 Other: ← DOC/NOAA

*** SBC Control ID:** (This 9 digit code is obtained from the Small Business Administration) ←

Visit <https://www.sbir.gov/registration>.

*** Program Type (select only one)**

SBIR
 STTR
 ← NOAA funds SBIR projects only; no STTR applications can be accepted.

Both (See agency-specific instructions to determine whether a particular agency allows a single submission for both SBIR and STTR)

*** Application Type (select only one)**

Phase I
 Phase II
 Fast-Track
 Direct Phase II
 Phase IIA
 Phase IIB

Commercialization Readiness Program (See agency-specific instructions to determine application type participation.)

Phase I Letter of Intent Number: ← Leave blank. This field is not applicable for NOAA submissions.

*** Agency Topic/Subtopic:** ← See Section 9 of the NOFO. Select only one (1) subtopic per application.

Questions 1-7 must be completed by all SBIR and STTR Applicants:

<input type="checkbox"/> Yes <input type="checkbox"/> No	* 1a. Do you certify that at the time of award your organization will meet the eligibility criteria for a small business as defined in the funding opportunity announcement?
	* 1b. Anticipated Number of personnel to be employed at your organization at the time of award. <input style="width: 100px; background-color: yellow;" type="text"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 1c. Is your small business majority owned by venture capital operating companies, hedge funds, or private equity firms?
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 1d. Is your small business a Faculty or Student-Owned entity?
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 2. Does this application include subcontracts with Federal laboratories or any other Federal Government agencies? * If yes, insert the names of the Federal laboratories/agencies: <div style="border: 1px solid black; height: 50px; margin-top: 5px;"></div>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 3. Are you located in a HUBZone? To find out if your business is in a HUBZone, use the mapping utility provided by the Small Business Administration at its web site: http://www.sba.gov
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 4. Will all research and development on the project be performed in its entirety in the United States? If no, provide an explanation in an attached file. * Explanation: <input style="width: 150px;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 5. Has the applicant and/or Program Director/Principal Investigator submitted proposals for essentially equivalent work under other Federal program solicitations or received other Federal awards for essentially equivalent work? * If yes, insert the names of the other Federal agencies: <div style="border: 1px solid black; height: 50px; margin-top: 5px;"></div>
<input type="checkbox"/> Yes <input type="checkbox"/> No	* 6. Disclosure Permission Statement: If this application does not result in an award, is the Government permitted to disclose the title of your proposed project, and the name, address, telephone number and email address of the official signing for the applicant organization to state-level economic development organizations that may be interested in contacting you for further information (e.g., possible collaborations, investment)?
	* 7. Commercialization Plan: The following applications require a Commercialization Plan: Phase I (DOE only), Phase II (all agencies), Phase I/II Fast-Track (all agencies). Include a Commercialization Plan in accordance with the agency announcement and/or agency-specific instructions. * Attach File: <input style="width: 150px;" type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>

SBIR/STTR Information

SBIR-Specific Questions:

Questions 8 and 9 apply only to SBIR applications. If you are submitting **ONLY** an STTR application, leave questions 8 and 9 blank and proceed to question 10.

<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 8. Have you received SBIR Phase II awards from the Federal Government? If yes, provide a company commercialization history in accordance with agency-specific instructions using this attachment.</p> <p>* Attach File: <input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/></p>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 9. Will the Project Director/Principal Investigator have his/her primary employment with the small business at the time of award?</p>

STTR-Specific Questions:

Questions 10 - 12 apply only to STTR applications. If you are submitting **ONLY** an SBIR application, leave questions 10 - 12 blank.

<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 10. Please indicate whether the answer to BOTH of the following questions is TRUE:</p> <p>(1) Does the Project Director/Principal Investigator have a formal appointment or commitment either with the small business directly (as an employee or a contractor) OR as an employee of the Research Institution, which in turn has made a commitment to the small business through the STTR application process; AND</p> <p>(2) Will the Project Director/Principal Investigator devote at least 10% effort to the proposed project?</p>
<input type="checkbox"/> Yes <input type="checkbox"/> No	<p>* 11. In the joint research and development proposed in this project, does the small business perform at least 40% of the work and the research institution named in the application perform at least 30% of the work?</p>
	<p>* 12. Provide DUNS Number of non-profit research partner for STTR.</p> <input type="text"/>

ATTACHMENT 3: Form SF-424 Instructions (Grants.gov)

Grants.gov Form Instructions

Form Identifiers	Information
Agency Owner	Grants.gov
Form Name	Application for Federal Assistance (SF-424) V2.1
OMB Number	4040-0004
OMB Expiration Date	10/31/2019

Form Field Instructions

Field Number	Field Name	Required or Optional	Information
1.	Type of Submission:	Required	Select one type of submission in accordance with agency instructions. <ul style="list-style-type: none">• Pre-application• Application• Changed/Corrected Application - Check if this submission is to change or correct a previously submitted application. Unless requested by the agency, applicants may not use this form to submit changes after the closing date.

Field Number	Field Name	Required or Optional	Information
2.	Type of Application	Required	<p>Select one type of application in accordance with agency instructions.</p> <ul style="list-style-type: none"> • New - An application that is being submitted to an agency for the first time. • Continuation - An extension for an additional funding/budget period for a project with a projected completion date. This can include renewals. • Revision - Any change in the federal government's financial obligation or contingent liability from an existing obligation. If a revision, enter the appropriate letter(s). More than one may be selected. <p>A: Increase Award B: Decrease Award C: Increase Duration D: Decrease Duration E: Other (specify) AC: Increase Award, Increase Duration AD: Increase Award, Decrease Duration BC: Decrease Award, Increase Duration BD: Decrease Award, Decrease Duration</p>
3.	Date Received:	Required	Enter date if form is submitted through other means as instructed by the Federal agency. The date received is completed electronically if submitted via Grants.gov.
4.	Applicant Identifier:		Enter the entity identifier assigned by the Federal agency, if any, or the applicant's control number if applicable.
5a.	Federal Entity Identifier:		Enter the number assigned to your organization by the federal agency, if any.

Field Number	Field Name	Required or Optional	Information
5b.	Federal Award Identifier:		For new applications, leave blank. For a continuation or revision to an existing award, enter the previously assigned federal award identifier number. If a changed/corrected application, enter the federal identifier in accordance with agency instructions.
6.	Date Received by State:		Leave this field blank. This date will be assigned by the state, if applicable
7.	State Application Identifier:		Leave this field blank. This identifier will be assigned by the state, if applicable.
8.	Applicant Information:		Enter the following in accordance with agency instructions.
	a. Legal Name:	Required	Enter the legal name of the applicant that will undertake the assistance activity. This is the organization that has registered with the System for Award Management (SAM). Information on registering with SAM may be obtained by visiting SAM.gov.
	b. Employer/Taxpayer Number (EIN/TIN):	Required	Enter the employer or taxpayer identification number (EIN or TIN) as assigned by the Internal Revenue Service. If your organization is not in the US, enter 44-4444444.
	c. Organizational DUNS:	Required	Enter the organization's DUNS number received from DUN and Bradstreet. The DUNS number may be either 9 or 13 numeric digits. Information on obtaining a DUNS number may be obtained by visiting Grants.gov
	d. Address:	Required	Enter address: Street 1 (required); City (required); County/Parish, State (required if country is US); Province; Country (required); 9-digit ZIP/Postal Code (required if country is US). If +4 does not exist for the address, enter "0000".
	e. Organizational Unit		Enter the name of the primary organizational unit, department, or division that will undertake the assistance activity.

Field Number	Field Name	Required or Optional	Information
	f. Name and contact information of person to be contacted on matters involving this application	Required	Enter the first and last name (required); prefix, middle name, suffix, and title. Enter organizational affiliation if affiliated with an organization other than that in 7.a. Telephone number and email (required); fax number.

Field Number	Field Name	Required or Optional	Information
9.	Type of Applicant: Select Applicant Type	Required	<p>Select a minimum of one applicant type or select up to three applicant types in accordance with agency instructions. If "Other" is selected, then specify Other Type of Applicant in text box.</p> <ul style="list-style-type: none"> A. State Government B. County Government C. City or Township Government D. Special District Government E. Regional Organization F. U.S. Territory or Possession G. Independent School District H. Public/State Controlled Institution of Higher Education I. Indian/Native American Tribal Government (Federally Recognized) J. Indian/Native American Tribal Government (Other than Federally Recognized) K. Indian/Native American Tribally Designated Organization L. Public/Indian Housing M. Nonprofit N. Private Institution of Higher Education O. Individual P. For-Profit Organization (Other than Small Business) Q. Small Business R. Hispanic-serving Institution S. Historically Black Colleges and Universities (HBCUs) T. Tribally Controlled Colleges and Universities (TCCUs) U. Alaska Native and Native Hawaiian Serving Institutions V. Non-US Entity W. Other (specify)

Field Number	Field Name	Required or Optional	Information
10.	Name of Federal Agency:	Required	Enter the name of the federal agency from which assistance is being requested with this application. This information is pre-populated if submitting through Grants.gov.
11.	Catalog Of Federal Domestic Assistance Number/Title	Required	Enter the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested, as found in the program announcement, if applicable. This information is pre-populated if using Grants.gov.
12.	Funding Opportunity Number/Title	Required	Enter the Funding Opportunity Number and title of the opportunity under which assistance is requested as found in the program announcement. This information is pre-populated if using Grants.gov.
13.	Competition Identification Number/Title:		Enter the competition identification number and title of the competition under which assistance is requested, if applicable. These fields are pre-populated by Grants.gov if provided by the federal agency.
14.	Areas Affected By Project:		This data element is intended for use only by programs for which the area(s) affected are likely to be different from the place(s) of performance reported on the SF-424 Project/Performance Site Location(s) Form. Add attachment to enter additional areas, if needed.
15.	Descriptive Title of Applicant's Project:	Required	Enter a brief descriptive title of the project. Supporting documents may be attached if specified in agency instructions.

Field Number	Field Name	Required or Optional	Information
16.	Congressional Districts	Required	<p>16a. Enter the applicant’s congressional district. 16b. Enter the primary district affected by the program or project. Enter in the following format: 2 character state abbreviation – 3 characters district number, e.g., CA-005 for California 5th district, CA-012 for California 12th district, NC-103 for North Carolina’s 103rd district. If all congressional districts in a state are affected, enter “all” for the district number, e.g., MD-all for all congressional districts in Maryland. If nationwide, i.e., all districts within all states are affected, enter US-all. If the program/project is outside the US, enter 00.000. This optional data element is intended for use only by programs for which the area(s) affected are likely to be different than place(s) of performance reported on the SF-424 Project/Performance Site Location(s) form. Attach an additional list of program/project congressional districts, if needed.</p>
17.	Proposed Project Start and End Dates:	Required	Enter the proposed start date and end date of the project.
18.	Estimated Funding:	Required	Enter the amount requested, or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines, as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. For zero funding, enter 0.

Field Number	Field Name	Required or Optional	Information
19.	Is Application Subject to Review by State Under Executive Order	Required	Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Select the appropriate box. If "A." is selected, enter the date the application was submitted to the State.
20.	Is the Applicant Delinquent on any Federal Debt?	Required	Select the appropriate box. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of federal debt include; but may not be limited to: delinquent audit disallowances, loans, and taxes. If yes, include an explanation in an attachment.
21.	Authorized Representative:	Required	To be signed and dated by the authorized representative of the applicant organization. Enter the first and last name (required); prefix, middle name, and suffix. Enter title, telephone number, fax number, and email. Fax number is not required. A copy of the governing body's authorization for you to sign this application as the official representative must be on file in the applicant's office. (Certain federal agencies may require that this authorization be submitted as part of the application.) If the application is submitted via Grants.gov, the signature of the authorized representative and the date signed are completed upon submission.