

Appendix E. SBIR Phase II Application Checklist

Please review this checklist carefully to ensure that your proposal meets NOAA submission requirements. Failure to meet these requirements may result in your application being rejected without consideration.

- _____ 1. **SBIR Cover Page.** A completed SBIR Cover Page Form. This form is located in Appendix C of this NOFO and is a required preformatted document. Attach this document to the SF-424 as described at the end of Section 8.1.
- _____ 2. **Project Abstract.** See Section 3.2 and 8.1.
- _____ 3. **Project Narrative.** Read Section 3.2 of this NOFO very carefully, and in its entirety, for directions on completing the required components of this section of the application.
- _____ 4. **Commercialization Plan.** The commercialization plan provides information to NOAA regarding how the potential awardee will convert their research into commercial applications. See Section 3.2.
- _____ 5. **SF-424, Application for Federal Assistance.** See Section 8.1 and <https://www.grants.gov>
- _____ 6. **SF-424A, Budget Information – Non-Construction Programs.** The budget should reflect all anticipated expenses for the project. See Section 8.1 and <https://www.grants.gov>
- _____ 7. **Budget Narrative.** In addition to other mandatory budget information, a separate Budget Narrative is required. Instructions for developing the budget Narrative is available at <https://www.noaa.gov/organization/acquisition-grants/how-to-apply> under the section titled “Financial Assistance Budget Guidelines”.
- _____ 8. **SF-424B, Assurances - Non-Construction Programs.** See <https://www.grants.gov>
- _____ 9. **CD-511, Certification Regarding Lobbying.** See Section 8.1 and <https://www.grants.gov>
- _____ 10. **SF-LLL, Disclosure of Lobbying Activities (if applicable).** See Section 8.1 and <https://www.grants.gov>
- _____ 11. **Indirect Cost Rate Agreement (if applicable).** If indirect costs are included in the proposed budget, provide a copy of the approved negotiated agreement if this rate was negotiated with a cognizant Federal audit agency. See section 8.1.
- _____ 12. **SBA Company Registry Form.** Register at <http://www.sbir.gov/registration>. SBIR applicants must attach this document to the SF-424 as described at the end of Section 8.1. See Section 1.5.
- _____ 13. **Research & Related Personal Data.** Complete and print the form available at <https://www.grants.gov/web/grants/forms/r-r-family.html#sortby=1>. Attach this document to the SF-424 as described at the end of Section 8.1.
- _____ 14. **Compliance with SBIR Program Requirements, Applicant Fraud Awareness Training - Certificate of Training Completion.** After completion, print and fill out the last page of the training presentation. Attach this document to the SF-424 as described at the end of Section 8.1. Complete the training at: <https://techpartnerships.noaa.gov/SBIR>. See Section 1.8 for more information.
- _____ 15. **Letters of Commitment.** This includes, but is not limited to, contractors, consultants, subcontracts, facilities use, and suppliers. See Section 3.2.
- _____ 16. The Principal Investigator will be employed by the company at the time of award and for the duration of the award. See Section 1.5.
- _____ 17. All work will be performed in the United States, unless a waiver has been submitted and granted in advance by the Grants Officer. All supplies, materials, and equipment must be American made unless a waiver has been granted by the Grants Officer. See Section 1.5.
- _____ 18. A minimum of one-half of the research and/or analytical effort must be performed by the applicant. The total cost for all consultant fees, facility leases, usage fees, and other contract/subcontract/subaward or purchase agreements may not exceed one-half of the total award. See Section 1.5.
- _____ 19. Applicant is registered in the System for Award Management (SAM), located at <https://sam.gov/SAM/>. See Section 6.3(2). Please be aware that this registration could take a week or more to process, so applicants are encouraged to register early.