

Department of Transportation (DOT) SBIR Quick-Start Guide

This quick-start guide has been designed to get you started with a DOT SBIR proposal package.

The current solicitation for DOT can be found at this [link](#). This provides a general idea of all the requirements necessary to complete a DOT proposal package and what DOT is interested in funding under their SBIR solicitation. Additionally, the New Mexico Procurement and Technical Assistance Centers (NM PTAC) can assist you in the DUNS and SAM registration processes. You can contact one of their offices to receive one-on-one help. A list of NM PTAC offices can be found at the bottom of their [Contact Us](#) page.

For DOT, you will need the following registrations. It is important that you complete these registrations as soon as possible, as some can take up to 14 days to issue, and not having these in place can impact your ability to submit a proposal. Please reach out to the NM FAST team if you need assistance with any of these registrations.

1. **DUNS:** The Data Universal Numbering System, more commonly referred to as “DUNS,” is your priority registration as other registrations require this information. It requires some very basic business information, but you need to have your EIN/TIN handy. <http://www.dnb.com/duns-number.html>
2. **SAM:** The System for Award Management, or SAM, is the next registration to complete in terms of priority – you have to have your DUNS on hand for this. There is a new requirement with SAM for requiring a [notarized letter](#) affirming your business and business status. While the digital portion of this registration can take up to an hour, as it requires quite a few markers for your business, including your foundation date, points of contact (which can all be the same person), and your ACH banking information, the additional documentation requirements can take several weeks. Plan for it to be a four to six week process. <https://www.sam.gov/portal/SAM/##11>
3. **SBC Control ID:** This registration is required by the Small Business Administration (SBA), which coordinates the SBIR/STTR programs. You have to have your DUNS, at minimum, to complete this registration. <https://www.sbir.gov/registration>
4. **DOT’s SBIR submission portal:** DOT uses their own submission portal for SBIR packages. Though there is no real “registration” for the portal, you will need to keep the link handy for submitting your proposal. <https://hostedsites.volpe.dot.gov/SBIR/SubmitProposal.aspx>

Though DOT does not require an executive summary to be submitted for idea validation, it is a good idea to reach out to a cognizant program manager for idea validation before starting your proposal narrative. When performing a topic match, NM FAST staff can put you in touch with the most relevant DOT program manager to discuss the fit of your innovative idea.

1. **Budget** – Phase I awards fund up to \$150,000 over a period of 6 months for a feasibility study. The feasibility study will typically include researching the proposed methodology, laboratory testing and environment replication if necessary, and any other markers to verify that your idea has merit for prototype production (Phase II). As you know the tentative scope of the work and the budget threshold, it is a good idea to start formulating some costs and making decisions on materials and equipment needs (if available).
2. **Collaboration** – If you are working with any other entities for a consultancy or subcontract to the project, it is a good idea to start formulating a work plan and action items for that relationship. You

will also want to start putting together rough numbers for a budget figure for this collaboration, as any administrative signatures or authorizations at your partner could delay the process.

3. **Required Forms** – Though we will send you a compliance matrix that lays out all of the necessary formatting requirements, sections, and content for your proposal, it is a good idea to familiarize yourself with the information that needs to populate those sections, as well as begin any necessary research.
 - a. **Key Personnel and Bibliography of Directly Related Work** – This portion of the proposal must identify key individuals involved in Phase I including their directly related education and experience. Though there is not a required or specified format for this, offerors will need to cover the most relevant information that ties this individual's capabilities to the proposed work, providing summaries that focus on their most relevant experience or publications.
 - b. **Facilities** – This will specify the availability and location of significant equipment, instrumentation, computers, and physical facilities necessary to complete the project and the manner in which the small business has access to these items. This is also a place to report equipment you have (teleconferencing, office computers, etc.) that will assist in communicating with project stakeholders.

The forms and proposal sections referenced above are simple to generate even if you only have a vague idea of what you would like to accomplish. Once you have a concrete idea of your path forward, the bulk of the writing will be done in other sections.

The NM FAST team has a suite of resources (e.g. [YouTube](#) instructional videos, check-lists, compliance matrices, etc.) available for use in proposal creation. Please reach out to Dana Catron (dderego@ad.nmsu.edu) for more information.