**Solicitation Name:** USDA SBIR Phase l

**Solicitation Number:** USDA-NIFA-SBIR-009301

**Proposal Manager:** [Fill in]

**Submission Dates:** 5 PM ET on October 6, 2022

**Last Updated:** [Fill in]

**Legend:** Forms, Formatting

| Field # | RFP Requirement (Text Extract) | RFP Page, Section, Paragraph | Proposal Volume/  Section, Page, Paragraph | Writing Assigned To | Notes Regarding Compliance | Due Date | Status |
| --- | --- | --- | --- | --- | --- | --- | --- |
| The [Application Guide](https://www.nifa.usda.gov/nifa-22-001-nifa-grants-application-guide) is part of the corresponding application package for this RFA. The RFA overrides the Application Guide if there is a discrepancy between the two documents. NIFA will accept subsequent submissions to an application until the application deadline. However, applicants that do not meet the application requirements, to include partial applications, risk being excluded from NIFA’s review. NIFA will assign a proposal number to all applications that meet the requirements of this RFA. Applicants must refer to the proposal number when corresponding with NIFA. Key Application Instructions outlines other key instructions for applicants.  *Any proposals that are non-compliant with the requirements (e.g., content format, PDF file format, file name restrictions, and no password protected files) will be at risk of being excluded from the NIFA review*. Grants.gov does not check for NIFA required attachments or whether attachments are in PDF format; see Part VI.100 Option 2; Page 81 of the Application Guide for how to check the manifest of submitted files. Partial applications will be excluded from NIFA review. | | | | | | | |
| Required Formatting   * Attachments must be created as a typed or word-processed document. * Use font no smaller than 12 point, regardless of line spacing. * Use at least 1-inch margins. * Number each page of an attachment sequentially. * The RFA will indicate if a page limitation applies. * NIFA requires that attachments be in .pdf file format to preserve the layout and appearance of submitted documents. * File names of .pdf attachments must be limited to 50 characters. * Names may not include special characters (e.g., &, –, \*, %, /, #), periods (.), blank spaces or accent marks. * An underscore (example: Attached\_File.pdf) may be used to separate a filename. * File names must be unique. No other attachment in the application package may have the same file name. * The .pdf attachment must not be password protected. Lead institutions of multi-organization applications must ensure that documents from collaborators are not password protected. * There is a paper clip icon on the left side of the page in every application. Do not attach documents with this function. If you attach documents under this function your application will be incomplete and cause errors. When all the required forms and attachments for your funding opportunity are complete, you can check your application for errors and submit the application package through Workspace. You should satisfy the following conditions for an application to be considered. | | | | | | | |
| 1. SF 424 R&R Cover Sheet   See Part V.100; Page 23 and Part V.1001 Field 17; Page 31 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf) for the required certifications and assurances. | | | | | | | |
| 1. SF 424 R&R Project/Performance Site Location(s)   See Part V.110; Page 34 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf). | | | | | | | |
| 1. R&R Other Project Information Form   R&R Other Project Information Form. See Part V.120; Page 36 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf). | | | | | | | |
| Field 7 Project Summary (PS) & Abstract (1-page limit) | See **Part V.120 § 3 Field 7; Page 41** of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf) for instructions and suggested templates. The PS is limited to one page with line spacing set at single space (or not exceeding six lines of text per vertical inch) and at least 1-inch margins with font size no smaller than 12-point Times New Roman.  The PS must show how the project goals align with the project goals of the SBIR/STTR Phase I Program.  The PS must include a description of the problem or opportunity, project objectives, and a description of the effort. The PS must also include a paragraph discussing the anticipated results and potential commercial applications of the proposed research. NIFA may publish the PS of successful applications; therefore, the PS should not contain proprietary information.  It is the responsibility of the applicant to review the attachment for page limit and PDF compliance before submission. Applicants must ensure that the abstract attachment meets the required page limit. NIFA will not review applications that exceed the required page limits.  Suggested application support templates for the Project Summary/Abstract are available on [NIFA's Application Template Resource Page](https://www.nifa.usda.gov/application-support-templates).  The summary should be approximately 250 words. List the names and affiliated organizations of all Project Directors/co-PDs and the title of the project at the top of the page.  The summary should be a self-contained, specific description of the activity to be undertaken and should include: overall project goal(s) and supporting objectives; plans to accomplish project goal(s); and relevance of the project to the goals of the program.  A concise, informative Project Summary is critical for successful applications. |  |  |  |  |  |  |
| Field 8 Project Narrative  (17-page limit) | The PN must not exceed 17 pages of written text including all figures and tables with line spacing set at 1.5 and at least 1-inch margins with font size no smaller than 12-point Times New Roman (the font size for tables and figures should be no smaller than 11 points, Times New Roman). The only exception to the page limit requirement will be found in the directions as noted below under (a) Response to Previous Review. The page limits outlined here ensure fair and equitable competition. Appendices to the PN are allowed if they are directly germane to the proposed project. Do not add appendices to circumvent the page limit. Applicants must not include additional information such as cover sheets, table of contents, reference listings, budgets, and appendices unless the applicant intends for NIFA to consider them in the page limit.  The PN must include all of the following: |  |  |  |  |  |  |
|  | **1. Response to Previous Review**  The response to previous review must not exceed 1 page with line spacing set at 1.5 and at least 1-inch margins with font size no smaller than 12-point Times New Roman. This does not count towards the page limit for the PN. |  |  |  |  |  |  |
|  | **2. Responsiveness to USDA NIFA SBIR Program Priorities** Please indicate if the application has a connection to agriculturally related manufacturing technology, energy efficiency and alternative and renewable energy. Provide a brief explanation of how the application is related to the area indicated. |  |  |  |  |  |  |
|  | **3. Identification and Significance of the Problem or Opportunity**  Clearly state the specific technical problem or opportunity addressed and its importance. |  |  |  |  |  |  |
|  | **4. Background and Rationale**  Indicate the overall background, technical approach and market needs to the problem or opportunity being pursued. This must include a statement of end-user needs. Describe how the proposed research plays a part in providing needed results. As a part of this section, it is critical that applications adequately cite relevant scientific literature to demonstrate support for your proposed research. Moreover, all citations provided must be properly referenced in the Bibliography & References Cited as a separate attachment (see Field 9). USDA NIFA has the right to decline any application where there is evidence of plagiarism. |  |  |  |  |  |  |
|  | **5. Relationship with Research or Research and Development**  Discuss the significance of the Phase I effort in providing a foundation for the follow-on Phase II effort. State the anticipated results of the approach if the project is successful and address: (a) the technical, economic, social, and other benefits to the Nation and to users of the results, such as the commercial sector, the Federal Government, or other researchers; (b) the estimated total cost of the approach relative to benefits; and (c) any specific policy issues or decisions that might be affected by the results. |  |  |  |  |  |  |
|  | **6. Technical Objectives**  State the specific objectives of the research or research and development effort. Include the technical questions needed to establish the technical feasibility of the proposed approach. |  |  |  |  |  |  |
|  | **7. Work Plan**  The work plan must provide an explicit, detailed description of the research or research and development approach. The plan should list the tasks to be performed, provide details of the methodology that would be used to research each task, including statistical analysis, if applicable, and indicate how and where the work will be carried out. The effort should attempt to determine the technical feasibility of the proposed concept. The work plan should be linked with the technical objectives of the research and the questions the effort is designed to answer. This section should constitute a substantial portion of the project narrative and can include graphics, tables, charts, etc. |  |  |  |  |  |  |
|  | **8. Related Research or Research and Development**  Describe significant research or Research and Development (R&D) activities that are directly related to the proposed effort, including any conducted by the Project Director or by the proposing small business concern, how the proposed effort expands on the related work, and any planned coordination with outside sources. Describe any commercial products, services or innovations that are already in the market and if the project relates back to that R&D. Discussion of existing innovations in the application should convince reviewers that the applicant is aware of related research and commercial innovations in the selected subject. It is critical that the applicant make a convincing case that the proposed research builds upon previous research and, if successful, will lead to the development of a new innovation or to substantial improvement of an existing product, process, service, or technology. |  |  |  |  |  |  |
|  | **9. The Market Opportunity**  Describe the market and addressable market for the innovation. Discuss the business economics and market drivers in the target industry. How has the market opportunity been validated? Describe your customers and your basic go to market strategy to achieve the market opportunity. Describe the competition. How do you expect the competitive landscape may change by the time your product/service enters the market? What are the key risks in bringing your innovation to market? Describe your commercialization approach. Discuss the potential economic benefits associated with your innovation, and provide estimates  of the revenue potential, detailing your underlying assumptions. Describe the resources you expect will be needed to implement your commercialization approach. |  |  |  |  |  |  |
| Field 9 Bibliography & Cited References | Provide a complete list of all references cited in the application. For each reference, provide the complete name for each author, the year of the publication, full title of the article, name of the journal or book published, volume, and the page numbers. The references should be listed in alphabetical order using the last name of the first author. |  |  |  |  |  |  |
| Field 10 Facilities & Other Resources | Describe the types, location, and availability of instrumentation and physical facilities necessary to carry out the work proposed. If the work will be conducted at a facility not owned and operated by the applicant, see Field 12 for additional information. |  |  |  |  |  |  |
| Field 11 Equipment Documentation | Describe the types, location, and availability of equipment necessary to carry out the work proposed. Items of equipment to be purchased must be fully justified under this section. When purchasing equipment or a product under the SBIR/STTR funding agreement, the small business should purchase only American- made items whenever possible. |  |  |  |  |  |  |
| Field 12 Add Other Attachments | Add Other Attachments. See **Part V.120 Field 12; Page 43** of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf) for instructions regarding mandatory Felony Convictions or Tax Delinquent Status. The following are additional instructions for documentation that may be required for your application. |  |  |  |  |  |  |
|  | **1. Use of Facilities or Equipment**  If university facilities, private facilities, or government laboratories are being used, there must be a letter in the application from the authorized organizational representative of the university, private facility, or government laboratory describing the arrangement and testifying that the facilities will be subject to the exclusive use and control of the applicant. |  |  |  |  |  |  |
|  | **2. Outside Services**  Involvement of university, government, or other outside personnel in the planning and research stages of the project as consultants or through subcontracting arrangements is permitted and may be particularly helpful to small businesses that have not previously received Federal research awards.  Establishment of a Cooperative Research and Development Agreement (CRADA) with a USDA laboratory or other Federal laboratory may also be beneficial to proposing firms. If the application involves outside consultants, subcontracts, or involvement with a CRADA partner, these arrangements should be described in detail. For SBIR, up to a maximum of one-third (33%) of the grant based on expenditures can be used for outside services. Applications must include letters from proposed consultants, subcontractors or CRADA cooperators indicating their willingness to serve in order for such participation to be considered during the application review and evaluation process. |  |  |  |  |  |  |
|  | **3. Letters of Support**  Letters of Support are strongly encouraged and should be included. Letters of support act as an indication of market validation and technical support for the proposed innovation and add significant credibility to the proposed effort. Letters of support should demonstrate that the company has initiated dialogue with relevant stakeholders (potential customers or end users, strategic partners or investors) for the proposed innovation and that a legitimate business opportunity may exist should the technology prove feasible. The letter(s) must contain affiliation and contact information for the signatory stakeholder. Letter of support from consultants or subcontractors may be provided if they are providing a critical role in the project, such as access to facilities, equipment or expertise. The recommended page limit for each individual letter is two pages. Letters and supporting documents from State, Local and Congressional representatives, are NOT considered letters of support and should not be submitted as part of the application. Applicants must include these letters of support in a PDF format and upload to Field 12 of the R&R Other Project Information form (Add Other Attachments).  If letters of support are not appropriate for this stage of an innovation, due to business considerations, then the applicant must clearly justify why letters of support are not being included in a two-page document and include this in a PDF format and upload to Field 12 of the R&R Other Project Information form (Add Other Attachments). The justification should relate to the technical and commercial considerations of the innovation proposed in the application. |  |  |  |  |  |  |
|  | **4. Duration Exceeds Normal Project Period**  The proposed duration of Phase I projects should normally not exceed eight (8) months for SBIR and twelve (12) months for STTR, except in special, justified circumstances. Where a proposed research project requires more than the specified duration to complete Phase I, a longer project period, not to exceed twenty (20) months, may be requested. An applicant of a Phase I project with an anticipated duration beyond eight months for SBIR and twelve months for STTR should specify and justify the length of duration in the application at the time of its submission to USDA NIFA. |  |  |  |  |  |  |
|  | **5. Applicant is a Subsidiary**  A potential grantee that is a subsidiary must show that the parent company or parent companies are also a small business entity, and the parent company or parent companies must provide documentation supporting their small business status. The parent company or companies must reside in the U.S. and cannot be a nonprofit. The subsidiary must provide documentation to support its independent viable financial status. |  |  |  |  |  |  |
|  | **6. Statement as to Delinquency on Federal Debts by Applicants for Federal Assistance**  An applicant that is delinquent on Federal debts must attach, in PDF format, explanatory information detailing all relevant particulars concerning the Federal debt. |  |  |  |  |  |  |
|  | **7. Non-Domestic Performance Explanation**  In the budget justification, provide the purpose, the destination, method of travel, number of persons traveling, number of days, and estimated cost for each trip. If details of each trip are not known at the time of application submission, provide the basis for determining the amount requested. All Applicants MUST note that per the terms and conditions of the award “All foreign travel performed under this project must be approved in writing by USDA NIFA prior to departure. If foreign travel is authorized under this project, the approved budget will identify funds for this purpose. Where foreign travel is contemplated subsequent to the effective date of the project, a written request must be submitted to the USDA NIFA outlining the purpose of the proposed trip, the inclusive dates of travel, the destination, and estimated costs involved.” |  |  |  |  |  |  |
| 1. R&R Senior/Key Person Profile (expanded)   See Part V.130; Page 44 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf) for profile requirements, details about the biographical sketch, and suggested support templates.  This form is used for all grant applications and allows the collection of data for all senior/key persons associated with the project. Some information for the PD/PI may be pre-populated from the SF-424 (R&R) form. | | | | | | | |
| Field 1: Enter Profile: Project Director/Principal Investigator | Several fields in this form may be pre-populated from SF-424 (R&R) when using Workspace. These include PD/PI name, position, address, and contact information. If these are not pre-populated, provide any missing information in these fields.   * + Credential: If you are submitting to an agency (e.g., NIFA) where you have an established personal profile, enter the agency ID. If not, leave blank.   + Project Role: Select one or use “other” if a category is not listed.   + Other Project Role: Complete if “other” was selected for project role.   + Degree Type: Enter the highest academic or professional degree or other credentials (e.g., RN).   + Degree Year: Enter the year the highest degree or credential was obtained. |  |  |  |  |  |  |
| Field 2: Attach Biographical Sketch | Provide a biographical sketch for the PD/PI. The Biographical Sketch should be limited to 2 pages each in length, excluding publications listings. This biographical sketch is required.  Recommended information includes:   * Education and Training * Research and Professional Experience * Collaborators and Affiliations (for conflicts of interest) * Publications and Synergistic Activities   Save the information in a single .pdf file and attach.  The biographical sketch should summarize academic and research credentials for the PD/PI. This can include earned degrees, teaching experience, employment history, professional activities, honors and awards, and grants received.  Include a chronological list of all publications in refereed journals during the past 4 years, including those in press. List only those non-refereed technical publications that have relevance to the proposed project. List all authors in the same order as they appear on each paper cited, along with the title and complete reference as these usually appear in journals. |  |  |  |  |  |  |
| Field 3: Attach Current and Pending Support | Provide a list of all current and pending support for the PD/PI for ongoing projects and pending proposals. This support information is required even if they receive no salary support from the project(s).  Show the total award amount for the entire award period, including indirect costs. Also include the number of person-months per year to be devoted to the project by the senior/key person, regardless of source of support.  The percent of time committed should not exceed 100% of effort for concurrent projects. NIFA will not fund an application that duplicates or overlaps substantially with an application already funded (or to be funded) by another organization or agency.  Prepare the Current and Pending support list(s) following the instructions and format noted below.   * Record information for active and pending projects, including this proposal. Concurrent submission of a proposal to other organizations will not prejudice its review by NIFA. * All current efforts to which project director(s) and other senior personnel have committed a portion of their time must be listed, whether salary for the person involved is included in the budgets of the various projects.   Concurrent submission of a proposal to other organizations will not prejudice its review. A suggested template for the Current and Pending support is available through [NIFA's Application Template Resource](https://www.nifa.usda.gov/application-support-templates). |  |  |  |  |  |  |
| Field 4: Enter Profile – Senior/Key Person 1 | Enter data in this “Profile – Senior/Key Person 1” section to provide information on a senior/key person (other than the PD/PI listed above), if applicable.  Select “Next Person” to enter the next senior/key person entry. Complete the same information for additional senior/key persons.  A PD/PI is the individual(s) a research organization designates as having an appropriate level of authority and responsibility for the proper conduct of the project, including the appropriate use of funds and administrative requirements such as the submission of progress reports to the agency. When an organization designates more than one PD/PI, it identifies them as individuals who share the authority and responsibility for leading and directing the project, intellectually and logistically. NIFA does not infer any distinction in scientific stature among multiple PD/PIs. NIFA will consider the PD/PI entered on the SF-424 R&R Cover Sheet as the contact PD/PI.  NIFA will recognize, on any award that is issued as a result of the application, all the PD/PI co-PD/PIs entered on this form (any individual listed as a “co-investigator” is not identified on the award). You must attach “Current and Pending Support” information for each key person identified. Even if no other funding is currently reported as “Active,” this application is to be identified as “Pending” in the information submitted. |  |  |  |  |  |  |
| 1. R&R Personal Data   This information is voluntary and is not a precondition of award (see Part V.140; Page 47 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf)). | | | | | | | |
| 1. R&R Budget   See Part V.150; Page 47 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf).  A Research and Related Budget form must be completed for each year (or partial year) for which work is proposed under this program solicitation. Applicants must ensure that the budget provided in the R&R Budget forms matches the requested budget amount found in Field 15(a) on the SF–424 form and that this number does not exceed the budget ceiling. | | | | | | | |
|  | **1. Request for use of Technical and Business Assistance (TABA)**  [15 U.S.C. § 638(b)](https://uscode.house.gov/view.xhtml?req=granuleid%3AUSC-prelim-title15-section638b&num=0&edition=prelim) permits SBIR/STTR Phase I awardees to enter into agreements with one or more vendors to provide Technical and Business Assistance (TABA). USDA is able to fund TABA assistance to all USDA SBIR/STTR Phase I grantees. Grant recipients have two options for receiving TABA assistance: (1) utilize services provided by a USDA vendor or (2) identify their own TABA assistance provider.  If you wish to receive TABA assistance from USDA’s vendor, Larta Institute, you do not need to include this expense in your budget. If you are awarded a Phase I grant, you will receive notification from USDA and follow-up contact from Larta on what services are available to you and how to obtain these services at no cost to your small business. If you wish to utilize your own TABA assistance provider, you are required to include this as “Other Direct Costs” in your budget, provide a detailed budget justification, and a signed letter of commitment from the provider. You may include up to $6,500 for assistance. Please note that this commercialization assistance does not count toward the maximum grant size of $125,000 or $175,000. For example, seeking commercialization assistance from your own provider could result in an increase of $6,500 over the maximum grant limit. That is under this RFA with a maximum grant limit of $125,000, the actual grant may increase to $131,500 respectively. Reimbursement is limited to services received that comply with [15 U.S.C. § 638(b)](https://uscode.house.gov/view.xhtml?req=granuleid%3AUSC-prelim-title15-section638b&num=0&edition=prelim). In the event some or the entire amount listed is not expended on commercialization assistance services as proposed, the remaining funds cannot be budgeted to other project costs and will be provided back to USDA. Re-budgeting of these funds is not allowable.  Applicants must request a federal budget that is reasonable and must not exceed a ceiling of $125,000 or $131,500 if requesting TABA assistance from your own vendor, for areas 8.6 and 8.12. For all other topic areas (8.1, 8.2, 8.3, 8.4, 8.5, 8.7, 8.8, and 8.13) the budget must not exceed $175,000 or $181,500 if requesting TABA assistance from your own vendor. |  |  |  |  |  |  |
|  | **2. Fee**  A reasonable fee, not to exceed seven percent of total Federal funds awarded (.07527 of Field I, Total Direct and Indirect Costs) is permitted under this program solicitation, but applicants are encouraged to minimize fee requests due to the small amount of funds available. All fees are subject to negotiation with USDA NIFA. If a fee is requested, the amount should be indicated in Field J “Fee” on the R&R Budget form. If an applicant requests a fee, the combined total of “Section I - Total Direct and Indirect Costs” and “Section J – Fee” on the Research & Related (R&R) Budget form must not exceed the ceiling of this full announcement. Proposals with budgets exceeding $125,000 ($131,500 with TABA) or $175,000 ($181,500 with TABA) will be returned without review. |  |  |  |  |  |  |
|  | **3. Indirect Costs (IDC)**  See Part IV § C of this RFA for funding restrictions regarding indirect cost, and Part V.150 Section H; Page 57 of the Application Guide for additional information. There are three options for charging indirect costs: 1) obtain a negotiated indirect cost rate agreement (NICRA) from your Cognizant Agency; 2) elect to use the 10% De Minimis Rate; or 3) charge all allowable facilities and administrative costs under the project as direct costs. Billing rates are not allowed. |  |  |  |  |  |  |
| 1. Data Management Plan   A Data Management Plan is NOT required for this program. | | | | | | | |
| 1. Supplemental Information Form   See Part V.300; Page 74 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf). | | | | | | | |
| Field 2 Program to which the applicant is applying | Program to which the applicant is applying. Enter the program name, for example, “Animal Production and Protection” and the corresponding program code, “8.3”. Accurate entry is critical.  If you have a question about which topic area is appropriate for your application, please contact the National Program Leader (NPL) in the area(s) in question. An application can only be submitted to one topic area. It is extremely important the Program Code Name and Program Code are spelled correctly and match exactly one of the topic areas indicated in Part I, § C of this program solicitation. Failure to complete these fields correctly could significantly delay the acceptance of your application into the program and the application may not be reviewed. |  |  |  |  |  |  |
| Field 8 Conflict of Interest List | Conflict of Interest List. See Part V.300; Page 76 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf).  Representations Regarding Felony Conviction and Tax Delinquent Status for Corporate Applicants. This is required for corporate applicants. See Part V.200; Page 66 of the Application Guide for a description of the term, “corporation.” |  |  |  |  |  |  |
| 1. SBIR/STTR Information   Information related to the questions on this form is dealt with in detail in Part V.220; Page 69 of the [Application Guide](https://www.nifa.usda.gov/sites/default/files/2022-06/NIFA-5-2b-NIFA%20Grants.gov%20Application%20Guide%2005.26.2022.pdf) unless otherwise noted below. | | | | | | | |
| SBC Control ID | Please enter your Small Business Concern number that you received upon registering at <https://www.sbir.gov/registration>. |  |  |  |  |  |  |
| Program Type | Select SBIR, STTR, or Both. Applications may be submitted to both SBIR and STTR within the same topic area if the proposed project aligns with the regulations for both programs (e.g., percentage of work conducted by a single nonprofit research institution is at least 30% but less than 33%, the PD/PI works more than one half (51%) of the time with the small business, etc.). |  |  |  |  |  |  |
| Application Type | Select Phase I. |  |  |  |  |  |  |
| Letter of Intent Number | This solicitation does not require a letter of intent. Enter “NA”. |  |  |  |  |  |  |
| Field 7. Commercialization Plan | Leave this section blank. |  |  |  |  |  |  |
| Field 8. Documentation of Prior SBIR/STTR Phase II Awards | There are two documents Phase I applicants must provide.[[1]](#endnote-1) |  |  |  |  |  |  |

1. Attachment 1: A small business firm that submits a Phase I application and has received more than 15 Phase II SBIR/STTR awards during the preceding five fiscal years must document the extent to which it was able to secure Phase III funding to develop concepts resulting from previous Phase II SBIR/STTR awards. In addition, the documentation must include the name of the awarding agency, date of award, funding agreement number, amount, topic or subtopic title, follow-on agreement amount, source and date of commitment, and current commercialization status for each Phase II award. USDA NIFA shall collect and retain the information at least until the General Accounting Office submits the report required under § 105 of the Small Business Research and Development Enhancement Act of 1992.

   If the applicant falls under the threshold indicated above, the applicant must provide an attachment stating that less than 15 Phase II awards have been granted to this organization/company during the preceding five fiscal years.

   Attachment 2: Five (5) Page Limit.

   A small business firm that submits a Phase I application and has previously received Phase II funding under the USDA NIFA SBIR/STTR Programs must document the extent to which it was able to secure Phase III funding and commercialize the technology, product or service funded by USDA NIFA SBIR/STTR. The documentation must include:

   Business Name

   Year Company was founded

   Identify and name change your business has gone through with the past five years

   List the parent company if you were a subsidiary or a spin-off

   Percentage of company revenues for each of the past three (3) fiscal years from federal SBIR/STTR funding (include Phase I and Phase II awards).

   Phase II Grant Information

   Partnership-Related Activities

   Funding: Describe any funding and third-party investments

   Revenue & Sales that were directly attributed to the prior Phase II SBIR awards.

   Intellectual Property Assets

   Other Success Indicators (Employees, Acquisitions, Return on Investment etc.)

   Company Achievements

   If the applicant has not received Phase II funding, the applicant must provide an attachment stating, “No prior USDA NIFA SBIR/STTR Phase II awards have been issued to [Insert Company Name]”.

   USDA NIFA SBIR/STTR shall collect and retain the information for its internal use. Any data provided under this section of the application may lead to USDA NIFA contacting the applicant to coordinate the development of additional information that can serve to inform the public and the Federal Government on the benefits of the USDA NIFA SBIR/STTR programs to Small Businesses. [↑](#endnote-ref-1)