Institute of Educational Sciences (IES) SBIR Quick-Start Guide

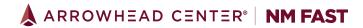This quick-start guide has been designed to get you started with an IES SBIR proposal package.

The current solicitation for IES can be found at this link. This provides a general idea of all the requirements necessary to complete an IES proposal package and what IES is interested in funding under their SBIR solicitation.

For IES, 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. Additionally, the New Mexico APEX Accelerator (Formerly New Mexico Procurement and Technical Assistance Centers (NM PTAC)) can assist you in the SAM registration processes, including securing a Unique Entity Identifier (UEI). You can contact one of their offices to receive one-on-one help. A list of NM APEX offices can be found at the bottom of their Contact Us page.

1. **SAM**: The System for Award Management, or SAM, is the first registration to complete in terms of priority. There are a few steps to getting your SAM registration in place. The first one is that you must create a Login.gov account, which you will be prompted to do when you click the registration link below. If you have never registered your business, you will also create a Unique Entity Identifier (UEI) during this process; if you have already registered with the government, you will be able to transition your DUNS into a UEI, or it is already available to you in a SAM registration. 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 information you input will go through a series of government checks. It is not unheard for it to be a four to six week process. Please plan accordingly. https://sam.gov/content/entity-registration. The following video walks you through this process: https://www.youtube.com/watch?v=0uv1YNAsINk

2. **SBC Control ID**: This registration is required by the Small Business Administration (SBA), which coordinates the SBIR/STTR programs. You have to have your UEI, at minimum, to complete this registration. https://www.sbir.gov/registration

Though IES 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 program manager to discuss the fit of your innovative idea.

1. **Phase IA and IB** – IES has two types of Phase I awards, IA and IB. Proposals submitted for Phase IA should involve an entirely new education technology where no or limited previous technological development has occurred. Proposals for IB should involve a new component to be added to an existing research-based education technology. Both Phase IA and IB have the same award amount, period of performance, and opportunity to progress to a Phase II award.

2. **Budget** – Phase I awards fund up to $250,000 over a period of 8 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).

3. **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.

4. **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. **Abstract** – The abstract requires a 200 word or less technical abstract of the product or tool if development were completed. The abstract should not contain proprietary or confidential information and should describe the innovative aspects of the project. This document should serve to convince a reviewer that the proposed product or service is unique, commercializable, and fills a customer niche.

   b. **Project Team – Biographical Summary of Each Key Project Team Member** – This portion of the proposal must identify key individuals involved in Phase I, including consultants, and explain their expertise in the design and development of education technology products, education theory and practice, education (or special education) research, research methods for the development and research of education technology (including experience performing research in education settings), and in the commercialization of education or technology-related products. In the brief biographical summaries, the summary for the principal investigator should describe their educational qualifications and experience that is most relevant to the proposed project, and summaries for the remaining key personnel must describe the role of each individual in the project.

   c. **Resources** – This will specify the availability and location of significant equipment, sophisticated instrumentation or computer 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@nmsu.edu) for more information.

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