

Proposal Checklist - NOAA Phase I

Solicitation Name: NOAA SBIR Phase I

Solicitation Number: NOAA-OAR-TPO-2024-2008184

Submission Date: 11:59 PM ET on December 20, 2023

Proposal Development Checklist

Formatting:

- Proposal pages are set at standard 8.5 x 11
- Font in proposal is at least 10 point
- Margins are at least 2.5 cm

SF-424, Application for Federal Assistance –

- **Specific Item Compliance**

- Item 12 lists the NOFO number of NOAA-OAR-TPO-2024-2008184
- Item 19 has been responded to with ‘no’

SF-424A, Budget Information – Non-Construction Programs –

- **General Formatting**

- Budget reflects all anticipated expenses for the project
- Budget is not in excess of \$175,000

- **Section A**

- Line 1(a) bears “NOAA Small Business Innovation Research (SBIR) Program”
- Line 1(b) bears the CFDA number of “11.021”
- Total award requested amount entered in Federal (e) column

- **Section B**

- Acceptable fees (see Section 5.6 of the NOFO) should be included in “Other (h)”

- **Section E**

- Has been left blank as it is not relevant

SF-424B, Assurances - Non-Construction Programs –

- **General Formatting**

- All required sections have been completed and bears the same Authorized Representative and Signatures as in the SF424 page 3

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CD-511, Certification Regarding Lobbying –

- **General Formatting**

- All required sections have been completed
- Award Number bears “2023-NOAA-SBIR-01”
- Project Name uses the same title or an abbreviation of that matches field 15 of the SF- 424
- Same Authorized Representative and Signatures as in the SF424 page 3 have been used

Letter of Intent

- Small Business Information (Name, address; Authorized Representative; Unique Entity; Identifier Number, if available; Principal Investigator)
- Proposed NOAA Topic Area: See Research Topics, Section 9.0
- Proposed Project Title: A descriptive title of the planned R&D. The Proposed Project Title should be descriptive of the proposed research and not include redundant phrases such as “Phase I” or “Letter of Intent”. Note: The full Phase I grant application must have the same title
- Technical abstract that describes the technology and application in sufficient detail to evaluate responsiveness to NOAA topics and priorities
- The abstract should not exceed 500 words, and it must provide sufficient technical depth to allow NOAA to assign scientific reviewers for your application. Please note that your abstract should not contain any proprietary information
- Brief description of the commercial potential and application for the proposed technology

SBIR-STTR Information, Project Abstract and Project Narrative (Technical Proposal) –

- **General Formatting**

- Project Narrative or Technical Proposal is 15 pages long or less
 - Include the SBIR Phase I Cover Page, Project Abstract, and Technical Content
- Document has been attached by clicking on “Add Attachments” found in item 15 of the SF-424, Application for Federal Assistance

- **SBIR Phase I Cover Page**

- **General Formatting**

- All required sections have been completed
- Completed Cover Sheet has been counted as pages 1 and 2 of the Project Narrative

- **Project Abstract and Potential Commercial Application Summary**

- **General Formatting**

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- One-page
- Project abstract, limited to 200 words
- Summary of potential commercial application
- No proprietary information has been included
- Completed Project Abstract has been counted as page 3 of the Project Narrative
- **Technical Content**
 - **General Formatting**
 - All supplied headings have been used
 - If a section does not apply for the project, then designate as N/A
 - Technical Content begins on page 4 of the proposal
 - **Identification and Significance of the Problem or Opportunity**
 - A clear statement of the specific research problem or opportunity addressed, its innovativeness, commercial potential, and explanation of importance has been made
 - Explanation has been provided on how this applies to a specific subtopic in Section 9 of the NOFO
 - **Phase I Technical Objectives**
 - The specific objective to be addressed in Phase I have been stated, including the technical questions it will try to answer, to determine the feasibility of the proposed approach
 - **Phase I Work Plan**
 - A detailed description of the Phase I feasibility research plan has been provided indicating what will be done, how the research will be carried out, and where it will be done
 - The method(s) planned to achieve each objective or task have been discussed in detail
 - **Related R/R&D**
 - Significant R/R&D that is directly related to the application has been described in full, including efforts by the principal investigator or offering firm, and those from outside sources
 - **Key Individuals and Bibliography of Related Work**

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- All key individuals have been identified and their directly related education, experience, and bibliographic information has been provided
- **Relationship with Future R/R&D**
 - The significance of the Phase I effort in providing a foundation for a Phase II effort has been discussed
 - Anticipated results of the proposed approach if Phases I and II of the project are successful has been stated
- **Facilities and Equipment**
 - A detailed description of the availability and location of the facilities and equipment necessary for the Phase I effort has been provided
- **Consultants, Contracts, and Sub-awards**
 - If applicable, all information on third-party research assistance under the Phase I effort has been described in full and states how that assistance will materially benefit the proposed effort
 - Dependent on the particular definition utilized for research assistance, appropriate accompanying documentation as stated in the NOFO has been included
- **Potential Commercial Application**
 - The commercial potential of the proposed research has been described in detail, including market opportunity, technology and competition, and finances required to move to market
- **Cooperative Research and Development Agreements (CRADA)**
 - If applicant is a current CRADA partner with NOAA or any other Federal agency, a statement has been provided reflecting the agency, title of the CRADA, and any relationship with the proposed work
- **Guest Researcher**
 - If offeror or any of its consultant or subcontracts is a guest researcher at NOAA, that information has been stated and the sponsoring laboratory has been named
- **Cost Sharing**
 - Cost sharing is not required and is not considered during the evaluation process for Phase I applications
- **Similar Proposal or Awards**

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If proposal is an identical proposal or contains a significant amount of essentially equivalent work under another Federal program solicitation, all information about that work has been provided as stated in the NOFO

➤ Prior SBIR Phase II Awards

If SBC has received more the 15 Phase II awards in the prior five fiscal years, information on those awards and their commercialization status has been added

Budget Narrative –

• General Formatting

A detailed breakdown of costs under each applicable object class category as reflected on the SF-424A (personnel, fringe benefits, equipment, travel, supplies, other direct costs and indirect costs) has been provided, including a written justification that includes the necessity and the basis for the cost

Document has been attached by clicking on “Add Attachments” found in item 15 of the SF-424, Application for Federal Assistance

• Personnel

At a minimum, section includes name; job title; commitment of effort on the proposed project in terms of average number of hours per week or percentage of time; salary rate; total direct charges on the proposed project; description of the role of the individual on the proposed project; and the work to be performed for each personnel assigned to the project

• Fringe Benefits

Fringe benefits have been identified separately from salaries and wages and based on rates determined by organizational policy, and rate has been provided

• Travel

For all travel costs, destination; names or number of people traveling; dates and/or duration; mode of transportation, lodging and subsistence rates; and description of how the travel is directly related to the proposed project, has been provided

• Equipment

Any item of property that has an acquisition cost of \$5,000 or more and an expected service life of more than one year has been included and bears information for the cost and a description of how it will be used and why it is necessary to the successful completion of the proposed project

A lease versus purchase analysis has been provided for each piece of equipment

- If an analysis cannot be completed, a statement saying such has to be included

Sourcing for each piece of equipment requested has been provided

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- **Supplies**

An explanation has been provided for supplies costing more than \$5,000, or five percent of the award, whichever is greater, bearing a list of each supply, the breakdown of the total costs by quantity or unit of cost, and the necessity of the cost for the completion of the proposed project

- **Contractual (i.e. Contracts/Subawards)**

For each contract, a separate budget has been provided

Products or services to be obtained and applicability or necessity of each to the project has been provided

Each contract bears information stating; name of contractor or vendor, method of selection, period of performance, scope of work, and criteria for measuring accountability

- **Other Direct Costs**

Profit margin has been explicitly outlined

A profit or fee not to exceed 7% of the sum of the direct and indirect costs has been listed if included in the applicant's budget

Indirect Cost Rate Agreement –

- **General Formatting**

If applicable, document has been attached by clicking on “Add Attachments” found in item 15 of the SF-424, Application for Federal Assistance

SBA Company Registry Form –

- **General Formatting**

Registration information has been saved as a .PDF document

Document has been attached by clicking on “Add Attachments” found in item 15 of the SF-424, Application for Federal Assistance

Research & Related Personal Data –

- **General Formatting**

Form available at <https://www.grants.gov/web/grants/forms/r-r-family.html#sortby=1> has been completed and printed

Document has been attached by clicking on “Add Attachments” found in item 15 of the SF-424, Application for Federal Assistance

Compliance with SBIR Program Requirements, Applicant Fraud Awareness Training - Certificate of Training Completion –

- **General Formatting**

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- Training at <https://techpartnerships.noaa.gov/SBIR> has been completed and last page of the training presentation has been filled out and printed
- Document has been attached by clicking on “Add Attachments” found in item 15 of the SF-424, Application for Federal Assistance