

**Proposal Compliance Matrix - NOAA Phase I**

**Solicitation Name:** NOAA SBIR Phase I

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

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

**Last Updated:** [October 2023]

**Proposal Manager:** [ ]

**Legend:** Forms, Formatting

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
<b>1. SF-424, Application for Federal Assistance</b>							
Item 12	List the NOFO number NOAA-OAR-TPO-2024-2008184.						
Item 19	Respond ‘no’ – the NOAA SBIR Program is not covered by that Executive Order.						
Item 21	The list of certifications and assurances is contained in the SF-424B, which is item 5 in the list of Required Forms and Documents in the NOFO.						
<b>2. SF-424A, Budget Information – Non-Construction Programs</b>							
The budget should reflect all anticipated expenses for the project.							
In Section A, the Grant Program Function or Activity on Line 1 under Column (a) should be entered as “NOAA Small Business Innovation Research (SBIR) Program”. The Catalog of Federal Domestic Assistance Number on Line 1 under Column (b) should be entered as “11.021” and the total award requested amount should be entered in Federal (e) column.							
In Section B, Acceptable fees (see Section 5.6 of this NOFO) should be included in “Other (h)”. These sections of the SF-424A should reflect funds for the entirety of the award: Section A; Section B; Section C; and Section D. Section E is not relevant to this program and therefore should be left blank.							
<b>3. SF-424B, Assurances - Non-Construction Programs</b>							
SF424B should have the same Authorized Representative and Signatures as in the SF424 page 3.							
<b>4. CD-511, Certification Regarding Lobbying</b>							
CD511 should have the same Authorized Representative and Signatures as in the SF424 page 3.							

**Proposal Compliance Matrix - NOAA Phase I**

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
<b>Award Number</b>	Enter “2024-NOAA-SBIR-01”.						
<b>Project Name</b>	Enter the title of the application used in field 15 of the SF- 424, or an abbreviation of that title.						

**5. SF-LLL, Disclosure of Lobbying Activities (if applicable)**

**6. SBIR Phase I Cover Page, Project Abstract, and Technical Content**

A complete application must include a Project Narrative (described below) and all other forms and documents listed in Section 8.1 of the NOFO.

The Project Narrative, including the Cover Page, Project Abstract, and Technical Content, is **limited to 15 pages**, including references cited. The only exception to the 15-page limit is for SBCs addressing the requirement related to prior SBIR Phase II Awards as listed in Section 3.3 (14). Additional pages beyond the 15-page limit will not be considered in the evaluation process. Pages should be of standard size (8 1/2” x 11”; 21.6 cm x 27.9 cm) with margins of 2.5 cm and type at least 10-point font.

**The Project Narrative portion of the application requires the following:**

- (a) **SBIR Phase I Cover Page pages 1 and 2 (Appendix D of NOFO);**
- (b) **Project Abstract page 3; and**
- (c) **Technical Content pages 4 through 15.**

The listing of all forms and documents needed to complete the application is given in Section 8.1 of the NOFO. The additional required forms and documents in Section 8.1 are not included in the 15-page count.

See Section 6.0 for information on the submission of applications in response to the NOFO.

**A completed SBIR Cover Page is a required part of the Project Narrative. The Cover Page is counted as pages 1 and 2 of the Project Narrative (Appendix D of the NOFO).**

**Applicants will be required to include a one-page project summary of the proposed R/R&D including at least the following:**

- (1) Name and complete address of SBC.**
- (2) Name and title of Principal Investigator**

**Proposal Compliance Matrix - NOAA Phase I**

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
<p>(3) Participating Agency name, Program Solicitation number, and Program Solicitation topic.                      (4) Title of project.                      (5) Technical abstract limited to two hundred words.                      (6) Summary of the anticipated results and implications of the approach and the potential commercial applications of the research.                      Each project abstract will be provided to the SBA and should not contain proprietary information. Awardee’s abstract and summary of potential commercial applications will be published on the NOAA SBIR website and SBIR.gov. The Project Abstract is counted as page 3 of the Project Narrative.</p>							
<p><b>Technical Content</b>                      Beginning on page 4 of the proposal, the following sections are required.                      (All headings must be included. If a particular section does not apply, please include the heading, followed by N/A).</p>							
<b>Technical Content</b>	<p><b>1. Identification and Significance of the Problem or Opportunity</b>                      Provide a clear statement of the specific research problem or opportunity addressed, its innovativeness, commercial potential, and explanation of importance. Explain how it applies to a specific topic in Section 9 of the NOFO and fulfills the NOAA mission.</p>						
	<p><b>2. Phase I Technical Objectives</b>                      State the specific objectives of the Phase I research and development effort, including the technical questions it will try to answer, to determine the feasibility of the proposed approach.</p>						
	<p><b>3. Phase I Work Plan</b>                      Include a detailed description of the Phase I feasibility research plan. The plan should indicate what will be done, where it will be done, and how the research will be carried out. The method(s) planned to achieve each objective or task should be discussed in detail.</p>						
	<p><b>4. Related R/R&amp;D</b>                      Describe previous significant R/R&amp;D efforts that are directly related to the application, including any prior research conducted by the PI or the proposing SBC. Describe how the</p>						

**Proposal Compliance Matrix - NOAA Phase I**

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
	R/R&D relates to the proposed effort, and include any planned coordination with outside sources. The applicant must persuade evaluators of his or her awareness of key, recent R/R&D conducted by others in the specific topic area.						
	<b>5. Key Individuals and Bibliography of Related Work</b> Identify key individuals involved in Phase I, including their related education, experience, and publications. Where vitae are extensive, summaries that focus on the most relevant experience and publications are desired and may be necessary to meet application size limitations.						
	<b>6. Relationship with Future R/R&amp;D</b> Discuss the significance of the Phase I effort in providing a foundation for the Phase II R/R&D effort. Also state the anticipated results of the proposed approach if Phases I and II of the project are successful.						
	<b>7. Facilities and Equipment</b> A detailed description, availability, and location of instrumentation and physical facilities proposed for Phase I should be provided.						
	<b>8. Consultants, Contracts, and Sub-awards</b> The purpose of this section is to show that any third-party research assistance would materially benefit the proposed effort and that arrangements for such assistance are in place at time of application submission. It is important that these individuals be clearly identified as consultants, sub-awardees, or subcontractors. This should match and be reflected in the budget tables and budget narrative sections.  For Phase I, a minimum of two-thirds of the research and/or analytical effort must be performed by the awardee. Outside involvement in the project is encouraged where it strengthens the conduct of the research. Outside involvement is not a requirement of this program and is limited to no more than one-third of the research						

**Proposal Compliance Matrix - NOAA Phase I**

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
	<p>and/or analytical effort in Phase I. The total cost for all consultant fees, facility leases, usage fees, and other subcontract/subaward or purchase agreements may not exceed one-third of the total award.</p> <p>No individual or entity may serve as consultant, contractor, or subrecipient if they (a) had any role in suggesting, developing, or reviewing the NOAA subtopic; or (b) have been the recipient of any NOAA information on the subtopic not available to the public.</p> <p>The following definitions apply to this NOFO:</p> <ul style="list-style-type: none"> <li>• Consultant - A person outside the firm, named in the application as contributing to the research, must provide a signed statement confirming his/her availability, role in the project, and agreed consulting rate for participation in the project.</li> <li>• Contract - Similarly, where a contract is involved in the research, the contractor institution must furnish a letter signed by an appropriate official describing the programmatic arrangements and confirming its agreed participation in the research, with its proposed budget for this participation.</li> <li>• Subawards - As the funding instrument used in this program is financial assistance, an awardee might pass through funds to another organization to carry out part of the Federally-supported project. A “subaward” relationship fits the circumstances more appropriately than a contract to carry out part of the Federally-supported project. See 2 CFR §§ 200.92 (subaward), 200.93 (subrecipient), and 200.330 (Subrecipient and contractor determinations), respectively.</li> </ul> <p>The applicant must also include Letters of Commitment in the application package from any participating consultants, subawards,</p>						

**Proposal Compliance Matrix - NOAA Phase I**

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
	<p>or subcontractors signed by an appropriate official of that institution describing the programmatic arrangements and confirming its agreed participation in the research, with its proposed budget and budget justification for this participation.</p>						
	<p><b>9. Potential Commercial Application</b>            A program goal is to provide opportunities for small businesses to convert research into technological innovation in the private sector. All proposed research should have some potential commercial outcome. Describe in detail the commercial potential of the proposed research, and how commercialization would be pursued and potentially used by the private sector and/or the Federal Government. Include any optional letters of support and relevant supporting material such as references to journal articles, literature, or government publications. Provide any indicators of commercial potential, and address the following:</p> <ul style="list-style-type: none"> <li>• Market opportunity – Describe the current and anticipated target market and the size of the market, and include a brief profile of the potential customer(s).</li> <li>• Technology and competition – Describe the competitive landscape and the value proposition and competitive advantage of the product or service enabled by the proposed innovation. Also include what critical milestones must be met to get the product or process to market and the resources required to address the business opportunity.</li> <li>• Finances – Describe your strategy for financing the innovation beyond the SBIR award. Describe the existence of any outside, non-SBIR funding or partnering commitments including any Phase II funding commitments from private sector or non-SBIR funding sources and/or the existence of Phase III follow-on commitments for the subject research.</li> </ul>						

**Proposal Compliance Matrix - NOAA Phase I**

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
	<p><b>10. Cooperative Research and Development Agreements (CRADA)</b>                      State if the applicant is a current CRADA partner with NOAA, or with any other Federal agency, naming the agency, title of the CRADA, and any relationship with the proposed work. An Agency may NOT enter into, or continue, a CRADA with an awardee under this NOFO on the subtopic of the award.</p>						
	<p><b>11. Guest Researcher</b>                      State if the applicant or any of its consultants or subcontractors is a guest researcher at NOAA, naming the sponsoring laboratory.</p>						
	<p><b>12. Cost Sharing</b>                      Cost sharing is not required and is not considered during the evaluation process for Phase I applications Cost sharing or matching funds are not to be included in the Research and Related Budget form. The amount and planned use of these funds can be described in the technical narrative.</p>						
	<p><b>13. Similar Applications or Awards. WARNING</b>                      While it is permissible to submit identical applications or applications containing a significant amount of essentially equivalent work for consideration under numerous Federal program funding announcements, <b>it is unlawful to enter into a funding agreement requiring essentially equivalent work to an SBIR award (see 15 U.S.C. § 638(bb)(3)).</b> If there is any question concerning this, it must be disclosed to the soliciting agency or agencies before award.</p> <p>If an application submitted in response to this NOFO is substantially the same as another application that has been funded, is now being funded, or is pending with another Federal Agency, the applicant must provide the following information:</p>						

**Proposal Compliance Matrix - NOAA Phase I**

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
	<p>(a) Names and addresses of agencies to which an application was submitted or from which an award was received.</p> <p>(b) Date of application submission or date of award.</p> <p>(c) Title, number, and date of NOFO(s) under which an application was submitted or award received.</p> <p>(d) Specific applicable research topic(s) for each application submitted or award received.</p> <p>(e) Title of research projects for each application submitted or award received.</p> <p>(f) Name and title of principal investigator or project manager for each application submitted or award received.</p> <p>If no equivalent application is under consideration or award for equivalent work received, a statement to that effect <b>must</b> be included in this section of the technical content area of the application.</p>						
	<p><b>14. Prior SBIR Phase II Awards</b></p> <p>If the SBC has received more than 15 Phase II awards in the prior 5 fiscal years, the SBC must submit the following information in its Phase I application: name of the awarding agency; date of award; funding agreement number; amount of award; topic or subtopic title; follow-on agreement amount; source and date of commitment; and current commercialization status for each Phase II award. This required information <b>will not</b> be counted toward the 15-page Project Narrative (Technical Proposal) limitation.</p>						

**7. Budget Narrative**

In addition to other mandatory budget information, a separate Budget Narrative is required. Instructions for developing the required budget Narrative is available at [https://www.noaa.gov/sites/default/files/atoms/files/gmd\\_budget\\_narrative\\_guidance\\_-\\_05-24-2017\\_final.pdf](https://www.noaa.gov/sites/default/files/atoms/files/gmd_budget_narrative_guidance_-_05-24-2017_final.pdf).

There is no set format for the budget narrative; however, it should provide a detailed breakdown in narrative and tabular form 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), and a written justification that includes the necessity and the basis for the cost. Proposed funding levels must be consistent with the project scope, and only allowable costs that fall within the



**Proposal Compliance Matrix - NOAA Phase I**

Field #	NOFO Requirement (Text Extract)	NOFO Page, Section, Paragraph	Proposal Volume/ Section, Page, Paragraph	Writing Assigned To	Notes Regarding Compliance	Due Date	Status
	<p>spending limitations specified in Section 1.2 “Phase I – Feasibility Research” of this NOFO should be included in the budget. The proposed budget should reflect planned costs, but the awardee must charge actual costs to the award consistent with cost principles applicable to the type of awardee in accordance with the Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards at 2 C.F.R. Part 200, which apply to awards in this program. More information is available at <a href="http://go.usa.gov/SBYh">http://go.usa.gov/SBYh</a> and <a href="http://go.usa.gov/SBg4">http://go.usa.gov/SBg4</a>.</p>						
	<p><b>8. Indirect Cost Rate Agreement</b>                      NOAA will not negotiate indirect cost rates for Phase I awards. If indirect costs are included in the proposed budget, provide a copy of the approved negotiated agreement with your application if this rate was negotiated with a cognizant Federal agency in accordance with the provisions and cost principles mandated by 2 CFR Part 200 for use on grants and cooperative agreements. Negotiated Indirect Cost Rate Agreements for use on contracts in accordance with the provision and cost principles of the Federal Acquisition Regulations will not be accepted. If a rate has not been established, provide a statement to this effect and a computation for the cost in the budget narrative. Applicants without an established rate may propose estimated indirect costs at a rate not to exceed 40 percent of the total direct costs and will not be required to provide further justification if selected for an award. Any profit or fee requested is not considered a direct cost for the purpose of the indirect cost base calculation.</p>						
	<p><b>9. SBA Company Registry Form</b>                      SBA maintains and manages a Company Registry at <a href="http://www.sbir.gov/registration">http://www.sbir.gov/registration</a> to track ownership and affiliation requirements for all companies applying to the SBIR Program. The SBIR Policy Directive requires each Phase I applicant to register in the Company Registry prior to submitting an application. The applicant must save its information from the registration in a .pdf document. Attach this document to the SF-424 as described at the end of Section 8.1 of the NOFO.</p>						
	<p><b>10. Research &amp; Related Personal Data</b></p>						
	<p>Complete and print the form available at <a href="https://www.grants.gov/web/grants/forms/r-r-family.html#sortby=1">https://www.grants.gov/web/grants/forms/r-r-family.html#sortby=1</a>. Attach this document to the SF-424 as described at the end of Section 8.1 of the NOFO.</p>						
	<p><b>11. Compliance with SBIR Program Requirements, Applicant Fraud Awareness Training - Certificate of Training Completion</b>                      Complete the training at: <a href="https://techpartnerships.noaa.gov/SBIR">https://techpartnerships.noaa.gov/SBIR</a>. 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 of the NOFO.</p>						