

WYOMING SBIR/STTR INITIATIVE (WSSI)

SOLICITATION FOR PHASE 0/00 PROPOSALS

Solicitation No. SBIR18-1

ISSUED BY THE UNIVERSITY OF WYOMING RESEARCH OFFICE FOR THE WYOMING BUSINESS COUNCIL

November 25, 1998 (revised October 27, 2021)

1.0 INTRODUCTION AND BACKGROUND

The federal Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs provide R&D financial resources of more than \$4 billion to U.S. small businesses annually. Through these programs, eleven federal agencies provide funding for a wide range of proposal topic areas. These programs provide excellent opportunities to nurture the development of innovative businesses in Wyoming, offer employment opportunities for our university and community college graduates, and enable economic development and diversification.

Only for-profit proprietorships and small businesses (fewer than 500 employees) qualify for SBIR and STTR funding. Hence, these programs provide a unique source of seed capital for Wyoming citizens and small businesses to explore and develop innovative new product concepts. These programs are particularly important to Wyoming businesses where innovation capital is in very short supply. And there are few strings attached to SBIR and STTR funding - there is no loan repayment, no equity sacrifice, and most intellectual property rights generated on funded projects remain with the small business.

The Wyoming SBIR/STTR Initiative (WSSI) was launched in 1996 to stimulate and nurture improved SBIR/STTR competition results in Wyoming. The National Science Foundation EPSCoR Program, the University of Wyoming Research and Economic Development Office, and the state of Wyoming funded this pioneering activity. While progress has been made, there remain many untapped opportunities for Wyoming small businesses to access and benefit from the SBIR/STTR resource.

Further information on the SBIR and STTR programs is available at the WSSI website:

www.uwyo.edu/sbir

In order to stimulate better SBIR and STTR competition results in Wyoming, the University of Wyoming and Wyoming Business Council (WBC) instituted and funded the WSSI Phase 0/00 Program. The purpose of this program is to facilitate high quality SBIR and STTR proposals and to broaden participation from Wyoming small businesses through Phase 0/00 competition assistance grants.

This document solicits proposals for the WSSI Phase 0/00 Program.

2.0 PROGRAM DESCRIPTION

The WSSI Phase 0/00 Program solicits proposals each month for SBIR/STTR competition assistance awards. The total amount available annually for all Phase 0/00 awards is \$120,000, but is subject to availability of funds. The amount of individual awards will not exceed \$5,000 per award. Complete proposals are due by 5 PM MT on the first day of each month and awards will be announced on or about two weeks later. Requests can be made for Phase 0/00 proposal development assistance in the weeks

prior to the Phase 0/00 submission deadlines. Incomplete or non-responsive applications received on the first of each month will be returned without consideration.

Experience shows that critical pre-reviews are key to submission of competitive Phase I/II proposals. Hence, after a Phase 0/00 award, the recipient is required to submit, sequentially, two complete Phase I/II draft proposals for review. The reviews must be scheduled to occur **at least** three weeks and one week, respectively, prior to submitting the proposal to the SBIR/STTR agency. If applicant is new to the program and there is not adequate time to fulfill review requirements prior to agency submission deadline, proposals may be returned without review. Each Phase 0/00 award will be aimed at preparation and submission of a Phase I/II proposal directed to a specific agency on a specific topic.

Appropriate Phase 0/00 activities should be reflected in the budget and may include, but are not limited to:

- Attendance at SBIR conferences and workshops
- Communication with, including travel to, targeted federal agencies
- Consultant and mentor services for preparation of the Phase I/II proposal
- Proposal preparation and review
- Communications with potential customers
- Analyses to support test data preparation
- Acquisition of test data for inclusion in the Phase I/II proposal

3.0 ELIGIBILITY

All Individuals and small businesses resident in the state of Wyoming who are eligible to participate in the federal SBIR and STTR programs are eligible to participate in the WSSI Phase 0/00 Program. One of the primary goals of the Wyoming Phase 0/00 Program is to enlist first-time SBIR/STTR participants from as broad a demographic and geographic cross-section of the state as possible. In furtherance of this goal, the following rules apply to participants in the WSSI Phase 0/00 Program: all proposing individuals and small business entities will be limited to one Phase 0/00 award per calendar quarter. Individuals or small businesses new to the program, with appropriate scores, may be given priority over previous award winners. Subsidiaries are eligible to participate in the SBIR/STTR and WSSI Phase 0/00 programs providing the parent organization is eligible. A detailed Phase 0/00 budget justification must be provided. Adequate time must be available to fulfill review requirements prior to agency submission deadline.

4.0 PROPOSAL PREPARATION INSTRUCTIONS

If you believe your idea or technology might benefit from intellectual property protection, fill out and submit the Wyoming Technology Transfer and Research Product Center's Invention Disclosure Form available at <http://www.uwyo.edu/rpc/for-independent-inventors/> prior to preparing and submitting a Phase 0/00. Additional submission instructions are provided on the form. Phase 0/00 proposals should not include proprietary information. WSSI staff and reviewers do not sign non-disclosure agreements.

Proposals submitted in response to this solicitation must not have type smaller than 12 point size using Times New Roman with margins not less than one inch on all sides, regardless of line spacing, and must include the following:

PART 1: COVER PAGE (Use continuation page if necessary)

1. Name and complete physical and mailing address of proposing person – include telephone and email
2. Name of proposing small business
3. Target Federal Agency Solicitation, Topic, Due Date, and Solicitation URL
4. Phase 0/00 Project Title

5. Proposed Phase 0/00 Budget (Not to exceed \$5,000 with \$360 allocated for mentoring, if required. See Section 7 for explanation of mentoring requirement).
6. Phase 0/00 Budget Justification (Explanation of Major Cost Elements)
7. Phase 0/00 Schedule (Identify major milestones – include two reviews of proposal drafts with the first scheduled at least three weeks prior to the Phase I/II proposal due date as described in Section 2.)
8. Abstract: Limited to 200 words; provide a brief description of the problem or opportunity, project objectives, a description of the effort, anticipated results, and potential commercial applications. (Note: the Abstract should be prepared with particular care – it introduces the project to the reviewers and the impressions made can be critical to the review outcome.) Abstracts may be published after Phase I/II submission to the target agency and may be used to develop award press releases. Phase 0/00 abstracts should not include proprietary information.

PART 2: PROJECT DESCRIPTION AND DISCUSSION (3 page limit)

Provide a clear and concise discussion of the proposed Phase 0/00 project and clearly identify the Phase I/II objectives. Tie the discussion into the specific SBIR/STTR agency solicitation and topic targeted by the Phase 0/00 project. **Follow the proposal outline in the targeted Phase I/II solicitation** for the Phase 0/00 work, including:

- Identification and significance of the problem
- Background
- Phase 0/00 objectives
- Phase 0/00 work plan and outline of Phase I/II objective, plan and timeline
- Related research or R&D
- Budget and justification
- Key personnel for Phase 0/00 and Phase I/II
- Importance of Phase 0/00 for Phase I/II proposal
- Facilities
- **Commercialization potential**
- Applicant's previous SBIR/STTR Phase 0/00, Phase I/II, Phase I/II and Phase I/II competition/award history

PART 3: RESUMES (5 page limit)

Include brief resumes for key persons (including consultants) who will work on the Phase 0/00 project and those who will be involved in the Phase I/II project to be proposed.

5.0 PROPOSAL SUBMISSION AND RESUBMISSION

Electronic communications capability is critical to SBIR/STTR competition. Currently, SBIR/STTR agencies release their solicitation only electronically and require electronic submission of proposals. For this reason and to accommodate efficient administration of the Phase 0/00 Program, it is a requirement that Wyoming small businesses submit their Phase 0/00 proposals electronically **in PDF format**. If you do not have conversion to PDF capabilities, contact the Program Manager for assistance.

Phase 0/00 proposals must be sent via email as an attached PDF file. A Phase 0/00 proposal template is provided on the WSSI website www.uwyo.edu/sbir under the Phase 0/00 link. Use of this template is recommended.

Phase 0/00 proposals may be submitted at any time. Complete proposals received by **5 PM MT on the first of each month** will be evaluated as set forth in Section 6 below. Proposals received after that deadline will be evaluated in the next available proposal evaluation and selection cycle. Phase 0/00

proposals should be submitted minimally six to eight weeks prior to federal agency submission deadline. Prior approval from WSSI Program Manager is required for exceptions.

Proposals must be sent via email to:

Kelly Haigler Cornish, WSSI Program Manager
Email: haigler@uwyo.edu with a copy to wssi@uwyo.edu
Phone: 307-766-2904

Verification of receipt of your proposal is sent via email. Contact the WSSI Program Manager if you do not receive verification.

Phase 0/00 proposals that have not received funding may be resubmitted to subsequent Phase 0/00 closings for reevaluation. Resubmitted proposals must be accompanied by a cover letter of not more than one page describing the changes made to the revised proposal to accommodate the comments and concerns expressed by the previous reviewers.

6.0 METHOD OF SELECTION AND EVALUATION CRITERIA

A three member WSSI Phase 0/00 Evaluation Team will evaluate the Phase 0/00 proposals. The Evaluation Team members will be from the Wyoming academic and small business communities and will be knowledgeable about and experienced in the SBIR/STTR competition process. Under no circumstances will the identity of the evaluation team members be revealed.

Each month, the WSSI Evaluation Team will evaluate the submissions from eligible proposing entities and recommend Phase 0/00 proposals for award. A recommendation on the selection for award(s) will be compiled by the WSSI Program Manager, reviewed by the Wyoming SBDC Network State Director, and submitted to the UW Office of Research & Economic Development and the Wyoming Business Council for approval. Awards will be announced on or about two weeks after submission.

The criteria to be used in evaluating and ranking the Phase 0/00 proposals are as follows:

1. Clear and compelling abstract
2. Significance of the proposed innovation
3. Technical merit, topic responsiveness, and timeline
4. Commercial potential
5. Concise, coherent presentation (graphics where appropriate)
6. Team and available resources – qualifications, balance
7. Detailed Phase 0/00 plan and outline of Phase I/II objective, plan and timeline

Note: Appropriate budget and budget justification will be considered in making final award decisions.

7.0 DELIVERABLES AND PAYMENT

Deliverables for Phase 0/00 awards will be evidence of on-time submission of the Phase I/II proposal to the targeted SBIR/STTR agency, and submission of a hard copy of the final, complete proposal to the WSSI Program Manager. In addition, two earlier draft copies of the proposal must be submitted for critical review to a WSSI qualified mentor, if required, with information copies submitted to the Program Manager. Phase 0/00 award winners who have not previously received an SBIR or STTR contract or grant within the last three years will be required to retain the services of a WSSI qualified mentor to assist in the preparation of their Phase I/II SBIR/STTR proposals. **Note:** the amount of the Phase 0/00 award each month may be reduced, at the discretion of the program manager, from the amount proposed depending on the number of meritorious Phase 0/00 proposals received and the availability of funds.

One-half of the Phase 0/00 award will be approved for payment upon notice of award, receipt of contract, and press release. (The payment process takes approximately three to four weeks after the University receives the required paperwork.) The final one-half will be approved for payment upon receipt of all deliverables for the Phase 0/00 project, including a copy of the complete application packet, evidence of on-time submission of the Phase I/II proposal to the targeted SBIR/STTR agency and payment in full to the assigned WSSI mentor, if required. This mentor requirement is waived if Contractor has previously received at least one SBIR or STTR award in the last three years.

8.0 FURTHER INFORMATION

Direct any questions about the WSSI and the Phase 0/00 program to:

Kelly Haigler Cornish, Program Manager
307-766-2904 Phone
Email: haigler@uwyo.edu; WSSI@uwyo.edu