

# Welcome to the 2025 U.S. DOT Small Business Innovation Research (SBIR) Webinar

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- ❑ The webinar will begin shortly.
- ❑ This webinar will be view and listen only; **all attendees are muted.**
- ❑ Questions will be captured through the Q&A box.
- ❑ Closed-captioning is available.
- ❑ If participating using a web browser, update to the latest version and allow pop-ups to participate in polls in today's webinar.
- ❑ This webinar is being recorded. As soon as possible after the webinar, the recording will be posted to <https://www.volpe.dot.gov/work-with-us/small-business-innovation-research>.





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# **Pre-Offer Webinar**

## **U.S. DOT Small Business Innovation Research (SBIR) Program**

**Solicitation No. 6913G625QSBIR1**

**February 10, 2025**

# Today's Agenda

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- ❑ Ground Rules and Logistics
- ❑ SBIR Overview
- ❑ Eligibility and Requirements
- ❑ Offer Preparation
- ❑ Solicitation Appendices
- ❑ Evaluation Factors, Award Information, and Submission of Offers
- ❑ SBIR FY 2025 Topics
- ❑ Important Dates and Reminders
- ❑ U.S. DOT/OIG Fraud Awareness

## Presenters

### **Rachael Sack**

Chief, Innovative Research  
Division, Volpe Center, and  
U.S. DOT SBIR Program Director

### **Tammy Taylor**

U.S. DOT SBIR Contracting Officer



# Ground Rules and Logistics

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- ❑ Solicitation process questions may be typed in the Q&A pod.
- ❑ The Government will answer Q&A pod questions as time allows.
- ❑ Unanswered questions may be submitted to [DOTSBIR@dot.gov](mailto:DOTSBIR@dot.gov) directly after the webinar. Please review the Solicitation and FAQs before sending.
- ❑ Answers to all questions not found in the Solicitation or existing FAQs will be added to the “FAQs” section of the U.S. DOT SBIR Program website: <https://www.volpe.dot.gov/work-with-us/small-business-innovation-research/faqs>
- ❑ No verbal or written questions regarding the solicitation topics will be accepted.



# Ground Rules and Logistics (cont.)

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- ❑ Administrative and Appendix C questions will be accepted through February 27, 2025, at 3:00 p.m. ET.
- ❑ Any statements or remarks made during the webinar shall not alter the terms of the solicitation.
- ❑ The terms and conditions of the solicitation remain unchanged unless an amendment is issued that incorporates any changes discussed or alluded to during the webinar.

# Polling Questions

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1. Have you applied to a DOT SBIR before? (yes/no)
2. Do you work in the transportation sector? (yes/no)



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## **SBIR Overview**

# SBIR Overview

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- ❑ Congress established the SBIR Program to:
  - Stimulate technological innovation,
  - Utilize small business to meet federal research and development needs,
  - Encourage participation by minority and disadvantaged businesses in technological innovation and,
  - Increase private-sector commercialization of innovations derived from federal R&D.





# How SBIR Supports U.S. DOT Research

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- ❑ SBIR addresses high-priority research gaps within U.S. DOT's R&D Program.
- ❑ Topics are developed to align with strategic priorities and modal research plans.
- ❑ RD&T Annual Modal Research Plans can be found at <https://www.transportation.gov/administrations/assistant-secretary-research-and-technology/rdt-annual-modal-research-plans>



# Snapshot of Phase I Participation in U.S. DOT's SBIR Program by Agency

DOT Operating Administration	2021	2022	2023	2024	2025
Federal Aviation Administration	Voluntary Participation				
Federal Highway Administration/ ITS Joint Program Office	X	X	X	X	X
Federal Railroad Administration	X	X	X	X	X
Federal Transit Administration	X	X	X	X	X
Federal Motor Carrier Safety Administration	X			X	X
National Highway Traffic Safety Administration	X			X	X
Office of the Secretary				X	
Pipeline and Hazardous Materials Safety Administration	X	X	X	X	



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# **Eligibility and Requirements**

Section I of Solicitation

# Eligibility and Requirements

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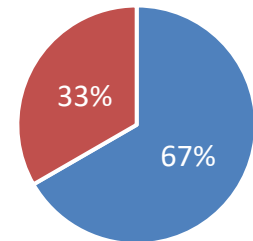
- ❑ Who qualifies as a “small business concern” (SBC) for an SBIR Phase I & II? [SBIR STTR Eligibility Guide](#)
  - Organized as for-profit U.S. business.
  - 500 or fewer employees including affiliates.
  - Greater than 50% U.S. owned by individuals and independently operated (with few exceptions).
- ❑ See 13 CFR § 121.702 for SBA’s definition for the term “small business concern.”



# Eligibility and Requirements (cont.)

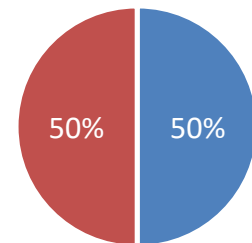
- ❑ For Phase I, a minimum of **two-thirds** of the research or analytical effort, measured in total contract dollars (67%), must be performed by the awardee.
- ❑ For Phase II, a minimum of **one-half** of the research or analytical effort, measured in total contract dollars (50%), must be performed by the awardee.

Minimum Requirement Phase I



■ Awardee ■ Subcontracts

Minimum Requirement Phase II

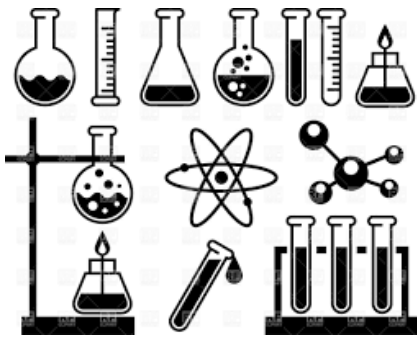


■ Awardee ■ Subcontracts



# Eligibility and Requirements (cont.)

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- ❑ More than one-half of the principal investigator's employment time is spent working for the small business. This precludes full-time employment with another organization.



- ❑ The R/R&D work must be performed in the United States (with few exceptions and only if written approval in advance) for Phase I, II, and IIB.



## Eligibility and Requirements (cont.)

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- ❑ U.S. DOT elects at this time not to use the authority that would allow firms that are majority-owned by multiple venture capital operating companies (VCOCs), hedge funds, or private equity firms to participate in the SBIR Program. Offers submitted by these parties will not be evaluated or considered for award.

**This does NOT include allowable VCOCs per 13 CFR 121.702(a)(1)(i) that are majority-owned by a single VCOC, hedge fund, or private equity firm that is itself a small business concern.**





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# **Offer Preparation**

Section II of Solicitation



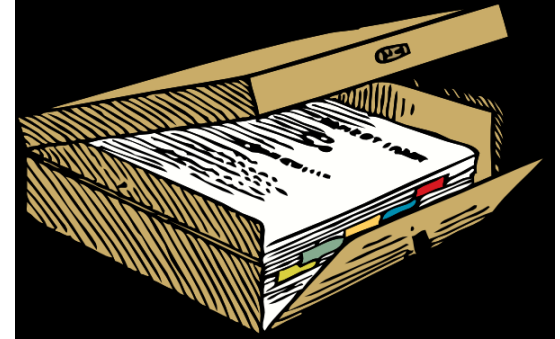
# Offer Layout – Initial Offer

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See Section II(B)(2) for detailed instructions!

Submit four files:

1. Technical (PDF)
2. Appendices A and B (one PDF)
3. Contract Pricing Worksheet (Appendix C) (Excel)
4. Contract Pricing Worksheet Supporting Documentation (PDF)



## ***\*Additional Requirement***

- Foreign Disclosure Form (Online Microsoft Form)

# Phase I Offer Submission Process DO's and DON'T's

## DO...

- ❑ Read the Solicitation and follow **all** the instructions for submission.
- ❑ Review the research topic Q&A from the pre-solicitation forum.
- ❑ Check to ensure completed appendices are included.
- ❑ Double check all cost figures and calculations; align to supporting documentation.
- ❑ Sign and date Appendix A.
- ❑ Submit your Disclosure Form.



## DO NOT ...

- ❑ Send offers via email.
- ❑ Submit duplicate offers.
- ❑ Ask the Program Office for guidance on whether or not your company should submit an offer.
- ❑ Create arbitrary overhead, indirect, or profit/fee rates.
- ❑ Wait until the deadline to submit your offer.



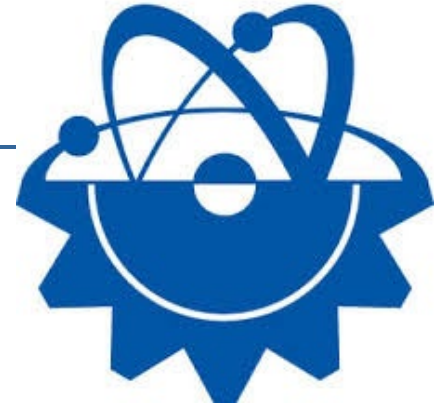
# Technical Section

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See Section II(B)(6) for detailed instructions!

Ensure that:

- ❑ Layout guidance and section organization instructions are followed.
- ❑ The offer aligns with the scope of the research topic.
- ❑ Qualifications for key personnel in addition to the PI are provided.
- ❑ A detailed and well-organized work plan is provided.



# Required Registrations

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- ❑ Register in System for Award Management (SAM) <https://www.sam.gov/portal/SAM/>. SAM is where businesses are assigned a Unique Entity Identification (UEI) Number
  - **Start this early** - registration in SAM needs to be completed prior to proposal submission and can take time.
  
- ❑ Register for a Small Business Administration Small Business Concern ID Number (SBA SBC ID) <https://app.www.sbir.gov/company-registration/overview>
  - **Review** - Make sure the information is accurate and has been updated in the past 6 months.



# Required Appendices

*Available on U.S. DOT SBIR website*

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## Download Format:

- ❑ Signature Page (Appendix A) – PDF
  - ❑ Project Summary (Appendix B) – PDF
  - ❑ Contract Pricing Worksheet (Appendix C) – MS Excel
- } 1 combined PDF



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## Upload Format:

- ❑ Contract Pricing Worksheet (Appendix C) – MS Excel
- ❑ All other offer documents shall be submitted in Adobe pdf format





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# **Solicitation Appendices**

Section VII of Solicitation




# Appendix C - Pricing Information

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- ❑ Carefully read the SBIR Phase I Pricing Instructions within Appendix C (Contract Pricing Worksheet).
- ❑ Provide supporting information for all costs proposed so that the Government may award your contract promptly.
- ❑ Any cost that is not supported may cause the offer amount to be reduced.







# Appendix C - Price Information

Schedule	Appendix C - Element	Guidance
<b>A</b> 	Indirect Costs	Provide DCAA Indirect Rate Agreements to support indirect rates proposed. If not available, provide detailed cost elements of indirect rates to support rate(s) proposed.
<b>B</b> 	Direct Labor	Provide supporting documentation such as payroll data, online comparisons, Dept. of Labor reference information, etc.
<b>C - E</b> 	Materials/Equipment/ Special Test Equipment/Special Tooling	Provide quotes, internet pricing sheets, or other backup to support proposed unit pricing.



# Appendix C - Price Information (cont.)

Schedule	Appendix C - Element	Guidance
<b>F &amp; G</b> 	Subcontracts & Consultants	Offeror must provide complete cost details for subcontract amount, e.g., quote from proposed subcontractor; include a letter of commitment for any proposed consultant.
<b>H</b> 	Travel	Travel is allowable, however unusual for Phase I projects. If proposed, clearly define travel details and proposed costs.
<b>I</b> 	Other Direct Costs (ODC)	Provide internet quote or alternate backup to support ODCs proposed.
<b>J</b> 	Narrative	Provide a detailed explanation for all costs proposed, which will allow your offer to be analyzed quicker and your contract to be awarded sooner.



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# **Evaluation Factors, Award Information, and Submission of Offers**

Sections III, IV, and V of Solicitation

# Evaluation Criteria for Phase I

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## 1. Technical Merit and Feasibility

Demonstration of understanding of the problem and solution alignment with the topic description; innovative approach; scientific feasibility.

## 2. Experience, Qualifications, and Facilities

Description of technical personnel, equipment and facilities, and partnerships/subcontracts (when applicable).

## 3. Effectiveness of Proposed Work Plan

Clarity of technical plan and timeline.

## 4. Commercial Potential

Market understanding and awareness of regulatory, compliance, or legal issues.

## 5. Offer Quality

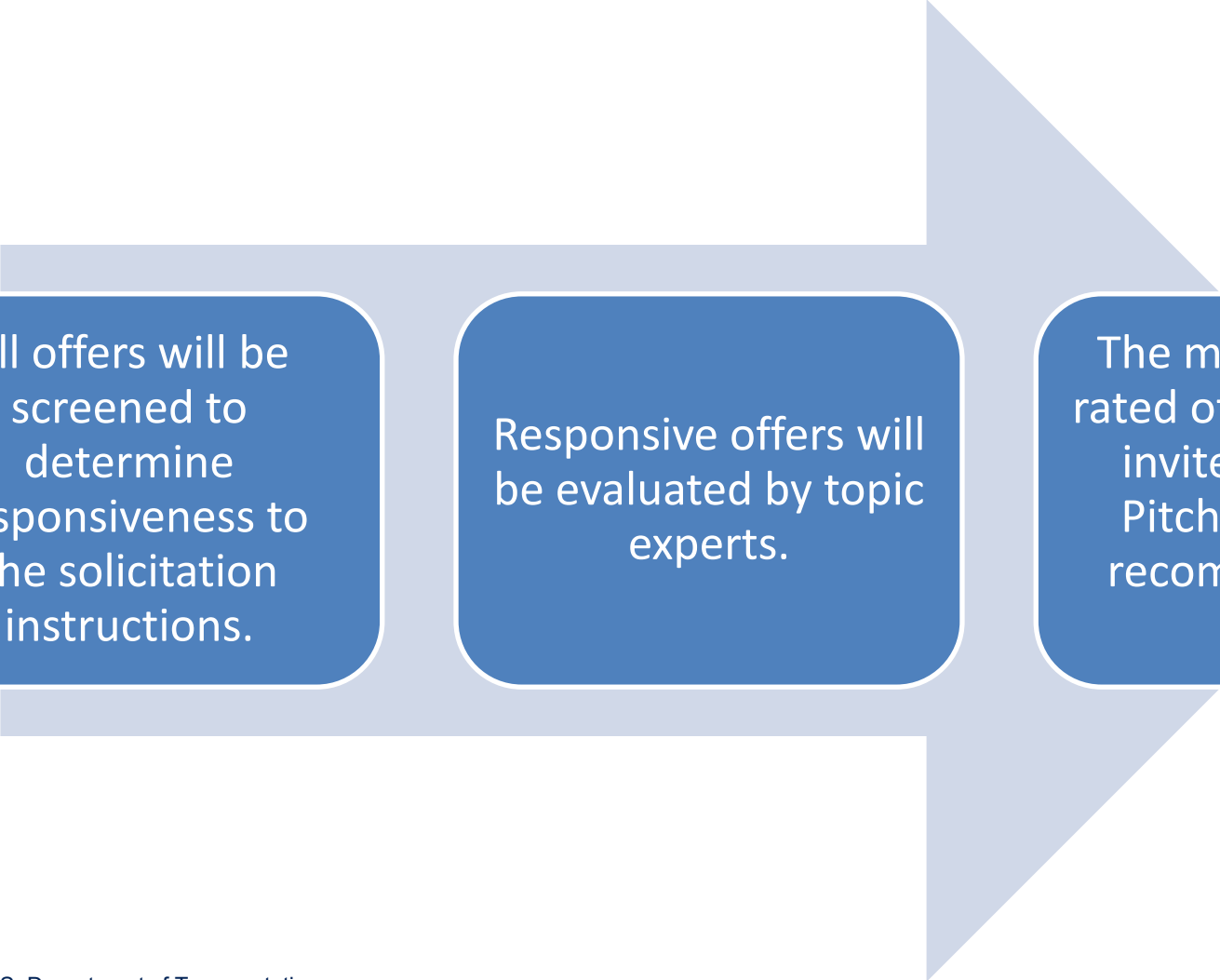
Quality of narrative and supporting evidence.



# Evaluation Process for Phase I

## Initial Evaluation

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All offers will be screened to determine responsiveness to the solicitation instructions.

Responsive offers will be evaluated by topic experts.

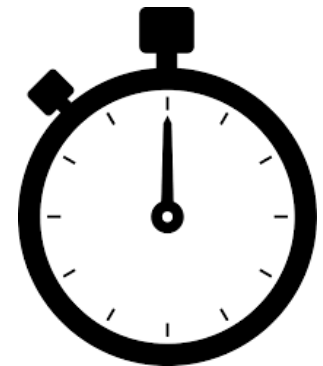
The most favorably rated offerors may be invited to attend Pitch Day and/or recommended for award.



# Pitch Day Information

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- ❑ Pitch Day will be a virtual event on or around **May 5-9, 2025**.
- ❑ If invited, the session will be 45-minutes, including:
  - 15 minutes (timed) to present pitch decks.
  - 15 minutes (timed) for evaluators to ask questions.



# Pitch Day: Evaluation Criteria & Requirements

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- ❑ Same evaluation factors as initial offer.
- ❑ **See Solicitation Section II(B)(7) for detailed instructions.**
- ❑ Invitation only and separate from the initial submission.
- ❑ Invited offerors must submit a pitch deck in MS PowerPoint or PDF.
- ❑ There is neither a set format for the slides nor required content.
- ❑ Slides will only be accepted from offerors invited to Pitch Day by the Government.



# Award Information

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- ❑ All Phase I awards will be Firm-Fixed-Price bilateral purchase orders.
- ❑ The period of performance for a Phase I award shall be no longer than 6 months.
- ❑ Under Phase I SBIR awards, three reports will be required, consisting of two interim narrative reports and a comprehensive final report.
- ❑ Payments for Phase I efforts will be made in three equal installments for report deliverables upon submission of an acceptable report and invoice, in accordance with instructions in the award document.

# Submitting an Offer

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Offers must be received no later than **3:00 p.m. ET on Friday, March 7, 2025**, through U.S. DOT's automated system:

[https://usg.valideval.com/teams/usdot\\_2025/signup](https://usg.valideval.com/teams/usdot_2025/signup)

- ❑ Offers received after that time will be automatically rejected; no exceptions will be permitted.
- ❑ Requires answering several questions and is a multi-step process.
- ❑ Allow ample time to complete the process.
- ❑ Offers will not be considered received until the process is complete.
- ❑ Submit offers as early as possible.
- ❑ Appendices can only be uploaded in correct format.





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# **U.S. DOT SBIR FY 2025 Topics**

Section VIII of Solicitation

# FY 2025 Topics

U.S. DOT Operating Administration	Topic Number & Title	Est. Award Amount Phase I
Federal Highway Administration (FHWA)	25-FH1: Open Standards-based 3D-Model Viewer for Highway Construction	\$200,000
	25-FH2: Modular Construction of Protected Intersection and Turbo Roundabout	\$200,000
	25-FH3: Concrete Shrinkage Measurement Device	\$200,000
Federal Motor Carrier Safety Administration (FMCSA)	25-FM1: Lidar-Based Tire Inspection	\$200,000
	25-FM2: Weight Equalization Smart Automatic Tire Inflation System for Commercial Motor Vehicles	\$200,000



## FY 2025 Topics (cont.)

U.S. DOT Operating Administration	Topic Number & Title	Est. Award Amount Phase I
Federal Railroad Administration (FRA)	25-FR1: Non-Destructive Longitudinal Rail Stress Measurement Device	\$200,000
	25-FR2: Development of Next Gen End of Train Device Technology	\$200,000
	25-FR3: Railroad Ground Hazard Mitigation Technology	\$200,000
	25-FR4: Human Factors Fatigue Assessment System (HFFAS)	\$200,000

## FY 2025 Topics (cont.)

U.S. DOT Operating Administration	Topic Number & Title	Est. Award Amount Phase I
Federal Transit Administration (FTA)	25-FT1: Exploring AI-based Predictive Maintenance for Public Transit Fleets (Buses)	\$200,000
National Highway Traffic Safety Administration (NHTSA)	25-NH1: Automated Police Crash Report Data Collection and Management Software	\$200,000

# Topic Funding Considerations

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- ❑ Offers that exceed the Phase I Estimated Award Amount stated in the Solicitation will not be considered for award.
- ❑ The Phase II funding level noted is an estimate only and is subject to the availability of funds and/or the technical requirements to accelerate the development of a commercial product/innovation. Any changes to the Phase II estimated funding level listed will be communicated to small business Phase I awardees when instructions on the Phase II process are sent, approximately 1 month prior to the end of the Phase I project.





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# **Important Dates and Reminders**

Page i of Solicitation

# FY 2025 Solicitation Schedule

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Milestone	Date
FY 2025 Solicitation Opened	February 5, 2025
Administrative and Cost Questions Due	February 27, 2025, 3:00 p.m. (ET)
<b>FY 2025 Solicitation Closes*</b>	<b>March 7, 2025, 3:00 p.m. (ET)</b>
Pitch Day (invitation only)	May 5-9, 2025
Recommendations for Award	Within 90 Days of Solicitation Close
Awards Processed	June/July 2025

**\* Please allow sufficient time to submit your offer. The submittal process may take several minutes to complete due to its multi-step process. Applicants are encouraged to submit their offers as early as possible.**



# Important Reminders

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- ❑ Review the U.S. DOT FY 2025 Phase I Pre-Solicitation Q&A - <https://usdot.uservoice.com/forums/964763-u-s-dot-fy-2025-phase-i-pre-solicitation-q-a>.
- ❑ Review the offer before submission to ensure:
  - Documents requiring signatures are signed and dated.
  - The research and analytical effort and the PI's employment status meet eligibility requirements.
  - Supporting documentation for prices proposed is included.
- ❑ Allow sufficient time to submit an offer; the submittal process may take several minutes to complete due to a multi-step process.
- ❑ Double check that documents submitted are the correct/final versions.
- ❑ Complete the registration for SAM and SBA SBC ID prior to the submission of your proposal.
- ❑ Check the FAQs on DOT's SBIR website before submitting questions: <https://www.volpe.dot.gov/work-with-us/small-business-innovation-research/faqs>.







# ***SBIR Fraud, Waste, and Abuse Overview***

*Department of Transportation, Office of Inspector General*



## ***Fraud Defined***

- Fraud is described as any false representation about a **material fact or any intentional deception** designed to deprive the United States unlawfully of something of value or to secure from the United States a benefit, privilege, allowance, or consideration to which an individual or business is not entitled.”
- OIG does **not** prosecute innocent mistakes. Although the statute requires knowledge that the claim was false, the term “knowledge” includes “deliberate ignorance” or “reckless disregard for the truth.”
- Fraud can be committed by government contractors and subcontractors, as well as by agency personnel.



## *Where Does Fraud Occur?*

- Within the SBIR program, there are several points during the process where fraud can occur. They include, but are not limited to:
  - During the application process;
  - Within the proposal itself;
  - Award period of performance; and
  - Close-out



## ***Four Main Types of Fraud***

It is important to note that the presence of one or more indicators does not prove fraud, nor are the indicators shown all-inclusive for each of the schemes described.

- Misrepresentations or factual omissions
- Misrepresentation of expended funds
- Misuse of award funds
- Duplication of funds



## *Knowing the Rules*

### Which SBIR rules should you be particularly familiar with?

- **Duplicate or overlapping proposals may not be submitted to multiple agencies without full disclosure to all agencies.**
- Company must meet the Small Business Administration's requirements for a small businesses, including being majority American-owned and have **500 employees or less.**
- The PI's **primary employment** must be with the company during the contract period. **The PI may not be employed full-time elsewhere.**
- **Research and development must be performed in the United States.**



U.S. Department of Transportation  
**Office of Inspector General**

# Fraud & Safety **Hotline**

<https://www.oig.dot.gov/hotline>

[hotline@oig.dot.gov](mailto:hotline@oig.dot.gov)

(800) 424-9071

Visit the DOT  
SBIR website to  
view our Annual  
Fraud, Waste,  
and Abuse  
Training

*DOT Inspector General, 1200 New Jersey Ave SE, West Bldg. 7th Floor, Washington, DC 20590*



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**Thank you**  
**for your attendance at**  
**this pre-offer webinar.**