

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

- ❑ The webinar will begin shortly.
- ❑ This webinar will be view and listen only.
 - ***All questions must be emailed to DOTSBIR@dot.gov and will be responded to following the webinar.***
- ❑ To listen, please call in using the telephone number and passcode that was emailed to you when you registered.
- ❑ **Please mute your phone.**

Pre-Offer Webinar

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

Solicitation No. 6913G619QSBIR1

February 27, 2019



Today's Agenda

- ❑ Ground Rules and Logistics
- ❑ SBIR Overview
- ❑ Eligibility & Requirements
- ❑ Offer Preparation
- ❑ Solicitation Appendices
- ❑ Evaluation Factors & Award Information
- ❑ DOT/OIG Fraud Awareness
- ❑ SBIR FY 2019 Topics
- ❑ Important Dates and Reminders

Presenters

Melissa Wong
SBIR Program Manager

Tammy Ann Taylor
Contracting Officer

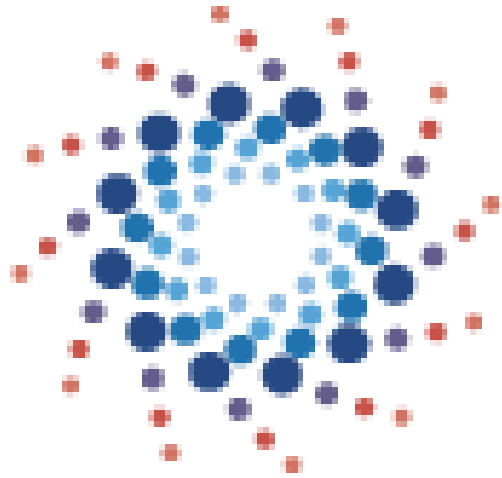


Ground Rules and Logistics

- ❑ This webinar is being recorded and will be posted to the DOT SBIR website.
- ❑ No verbal or written questions regarding the solicitation topics during the pre-offer webinar.
- ❑ 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.

Ground Rules and Logistics (cont'd)

- ❑ All questions pertaining to the FY 2019 U.S. DOT SBIR solicitation research topics must be submitted to the U.S. DOT SBIR Program Office via email at dotsbir@dot.gov.
- ❑ Administrative and Technical questions will be accepted through **April 3, 2019 at 5:00 PM ET**.
- ❑ Cost Appendix questions will be accepted through **April 15, 2019 at 5:00 PM ET**.
- ❑ Answers to all questions will be posted in the “Solicitations” section of the U.S. DOT SBIR Program website: <http://www.volpe.dot.gov/work-with-us/small-business-innovation-research/solicitations>.



SBIR

America's Seed Fund™

POWERED BY DOT

SBIR Overview

SBIR Overview

- 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

SBIR Reauthorization

- ❑ The **National Defense Reauthorization Act for Fiscal Year 2019**, P.L. 115-232, was signed into law August 13, 2018.
- ❑ Agencies must expend not less than **3.2% of their extramural budgets** for research and research and development on small business concerns in the SBIR Program.



How SBIR Supports the Mission of DOT

- The mission of the DOT is to ensure a fast, safe, efficient, accessible and convenient transportation system that meets vital national interests and enhances the quality of life of the American people
- SBIR addresses high priority research gaps within DOT's R&D Program
- SBIR topics are developed to align with Secretary's strategic priorities, specific modal priorities, and SBA goals

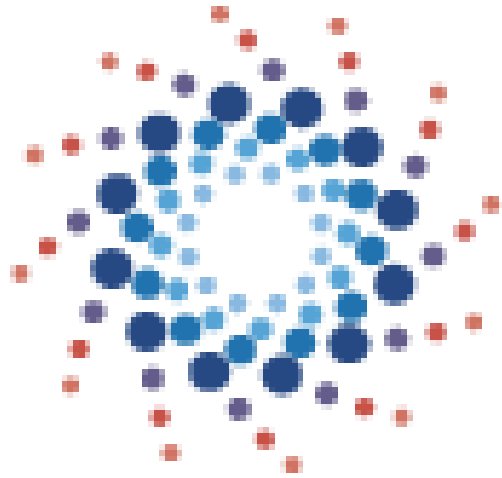


Snapshot of Phase I Participation in DOT's SBIR Program by Agency

DOT Operating Administration	2015	2016	2017	2018	2019
Federal Aviation Administration					
Federal Highway Administration/ ITS Joint Program Office	X	X	X	X	X
Federal Railroad Administration	X		X	X	X
Federal Transit Administration	X	X	X	X	X
Federal Motor Carrier Safety Administration					X
National Highway Traffic Safety Administration	X		X	X	X
Office of the Secretary			X		
Pipeline and Hazardous Materials Safety Administration				X	X

Administering the DOT's SBIR Program

- ❑ Secretary of Transportation chose the Volpe Center to direct the Department's SBIR Program in November 1982
- ❑ SBIR Program Office
 - Directs all activities required under the SBIR law
 - Executes the policy established by the Small Business Administration
 - Coordinates with eight DOT Operating Administrations
 - Solicits, awards and administers contracts



SBIR
America's Seed Fund™
POWERED BY DOT

Eligibility & Requirements

Section I of Solicitation

Eligibility & Requirements

- ❑ See 13 CFR § 121.702 for SBA's definition for the term "small business concern".
- ❑ The U.S. DOT elects at this time - not to use the authority that would allow 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 considered for award.
- ❑ The primary employment of the principal investigator must be with the small business firm at the time of contract award and during the conduct of the proposed research. Primary employment means that more than one-half of the principal investigator's time is spent working for the small business.

Eligibility & Requirements (cont'd)

- ❑ Who Qualifies as a “small business concern” (SBC).
 - Organized as for-profit U.S. business
 - 500 or fewer employees including affiliates
 - Work must be done in the U.S. (with few exceptions)
 - Greater than 50% U.S.-owned by individuals and independently operated (with few exceptions)



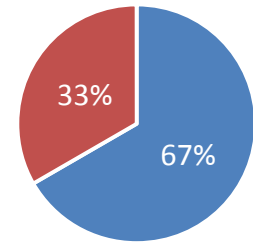
Eligibility & Requirements (cont'd)

- ❑ For Phase I, a minimum of **two-thirds** of the research or analytical effort, measured in total contract dollars using simple math (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 on costs incurred for personnel, must be performed by the awardee.
- ❑ Additionally, for Phase I and Phase II and IIB, the R/R&D work must be performed in the United States (with few exceptions).

Eligibility & Requirements (cont'd)

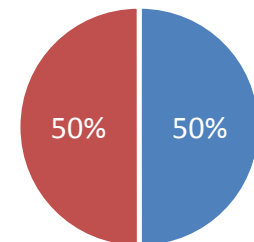
- ❑ For Phase I, a minimum of **two-thirds** of the research or analytical effort, measured in total contract dollars using simple math (67%), must be performed by the awardee.
- ❑ For Phase II, a minimum of **one-half** of the research or analytical effort, measured in ***total contract dollars*** on costs incurred for personnel, must be performed by the awardee.

Minimum Requirement Phase I



■ Awardee ■ Subcontracts

Minimum Requirement Phase II



■ Awardee ■ Subcontracts

Performance Benchmarks

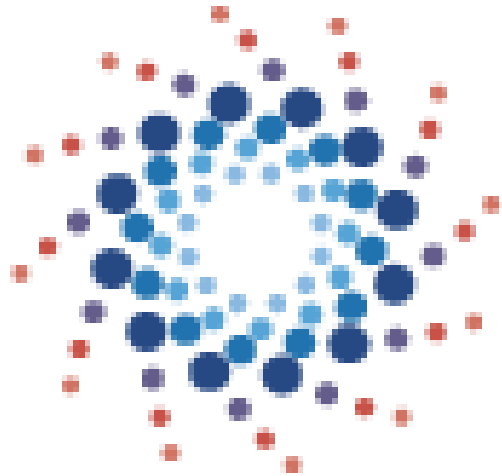
Phase I to Phase II Transition Rate

For all U.S. DOT SBIR Program Phase I applicants that have received 20 or more SBIR Phase I awards over the last 5 Government fiscal years, excluding the most recently completed fiscal year, the ratio of Phase II awards received to Phase I awards received must be at least 0.25.

Commercialization Benchmark

The Commercialization Rate is not a requirement for this Solicitation.

For more information on these performance benchmarks, visit <http://www.sbir.gov/performance-benchmarks>.



SBIR
America's Seed Fund™
POWERED BY DOT

Offer Preparation

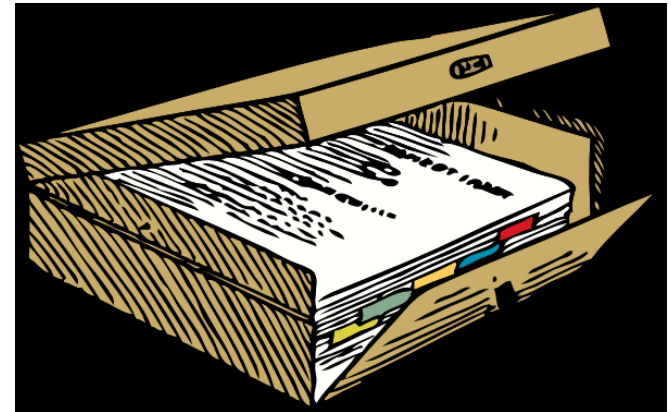
Section II of Solicitation

Offer Layout

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

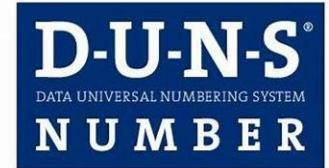
Submit three files:

1. Technical (PDF)
2. Cost (Appendix C) (Excel or PDF)
3. Appendices A and B (PDF)



Required Registrations

- ❑ Register for a DUNS Number
<https://iupdate.dnb.com/iUpdate/companylookup.htm>



- ❑ Register in System for Award Management (SAM)
<https://www.sam.gov/portal/SAM/>



- ❑ Register for a Small Business Administration Small Business Concern ID Number (SBA SBC ID)
<https://www.sbir.gov/registration>



Phase I Offer Submission Process DO's

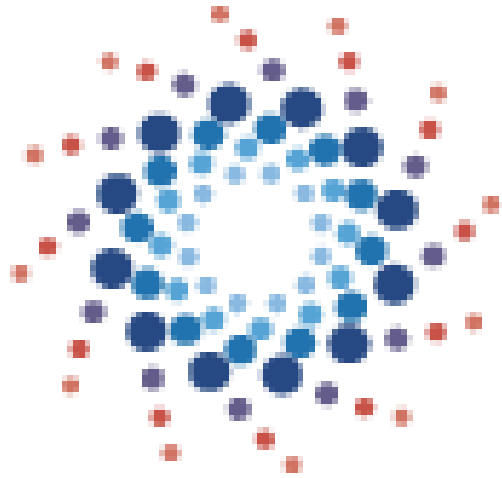
- ❑ Read the Solicitation and follow all the instructions for submission
- ❑ Follow layout guidance and section organization instructions.
- ❑ Ensure your offer aligns with the scope of the research topic
- ❑ Obtain a DUNS number prior to offer submission
- ❑ Register in System for Award Management (SAM)
- ❑ Provide a detailed and well-organized work plan
- ❑ Follow the procedures for requesting clarifications/questions on research topics
- ❑ Provide qualifications for key personnel in addition to PI
- ❑ Check to ensure completed appendices are included
- ❑ Double check all cost figures and calculations; align to supporting documentation
- ❑ Sign Appendix A

Phase I Offer Submission Process DON'Ts

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





SBIR

America's Seed Fund™

POWERED BY DOT

Solicitation Appendices

Required Appendices

Available on U.S. DOT SBIR website

- ❑ Signature Page (Appendix A) – MS Word
- ❑ Project Summary (Appendix B) – MS Word
- ❑ Contract Pricing Worksheet (Appendix C) – Excel

Appendix C - Cost Information

- ❑ **Carefully read the SBIR Phase I Cost Proposal Instructions for Appendix C (Cost Proposal)**
- ❑ 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 - Cost Information

❑ Schedule A - 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.

❑ Schedule C - Material Costs

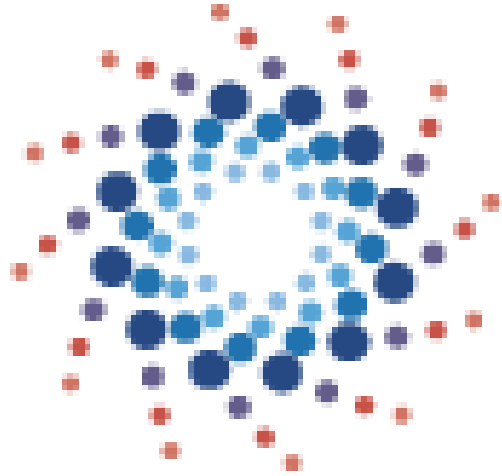
Provide internet quote or other backup to support unit price.

❑ Schedule F – Subcontracts and Consultants

Participant must provide complete cost details for subcontract amount and include a letter of commitment from subcontractor.

❑ Schedule I - Narrative Explanation

Provide a detailed explanation for all costs proposed which will allow your offer to be analyzed quicker and your contract to be awarded sooner!



SBIR

America's Seed Fund™

POWERED BY DOT

Evaluation Factors & Award Information

Section III of Solicitation

Evaluation Factors for Phase I

1. **Scientific/Technical Merit and Feasibility**
2. **Effectiveness of the Proposed Work Plan**
3. **Experience, Qualifications, and Facilities**
4. **Commercial Potential and Feasibility**



Evaluation Process for Phase I

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

Responsive offers will be evaluated by topic experts who will determine if it has Scientific/Technical Merit and Feasibility

Offers that are rated acceptable on Scientific/Technical Merit and Feasibility will be evaluated in the other three factors.

An offer found to be unacceptable on Scientific/Technical Merit and Feasibility will not be considered for award

Award Information



- ❑ All Phase I awards will be Firm-Fixed-Price contracts or bilateral small purchase orders.
- ❑ The period of performance for a Phase I award shall be 6 months.
- ❑ Funding levels for each topic are determined by the agency sponsoring the research. Offers that exceed the Phase I Estimated Award Amount listed in Section VIII of the solicitation will not be considered for award.
- ❑ 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 upon submission of invoices, in accordance with instructions in the award document.



FRAUD AWARENESS

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

The DOT-OIG conducts criminal, civil and administrative investigations of allegations of fraud, waste and abuse.

DOT-OIG Special Agents are criminal investigators authorized to independently investigate allegations involving a person or entity that has engaged in fraudulent or other criminal activity relating to the programs and operations of the U.S. DOT



FRAUD AWARENESS DOT/OIG Investigations

Areas of investigative focus include:

False Statements/False Claims:

Any Statement/Claim for reimbursement containing False, Fictitious, Fraudulent representations (invoices, statements of work, technical representations, material overcharging).

Bribery

Offering a government official something of value in exchange for an official act

Product Substitution

Misrepresentation of the quality/quantity/qualifications of the products produced/furnished

***FRAUD AWARENESS
DOT/OIG Investigations***

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

DOT-OIG Hotline 1-800-424-9071

Email: hotline@oig.dot.gov

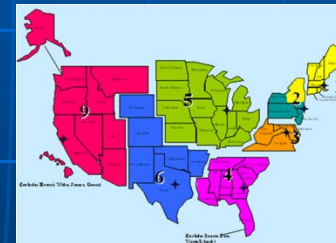
New England Regional Office

Volpe Center

55 Broadway, Cambridge, MA 02142

Special Agent-in-Charge Todd A. Damiani

(617) 494-2701



Cambridge, MA
(617) 494-2701

New York, NY
(212) 337-1250

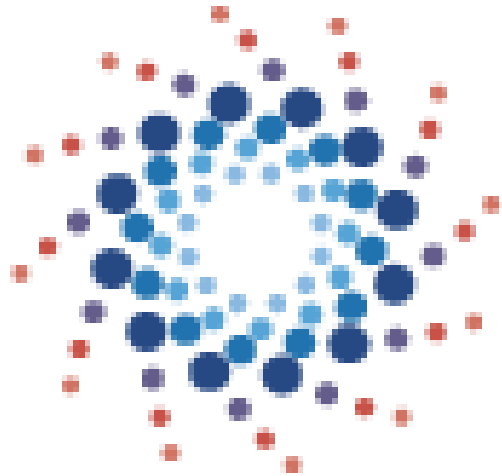
Washington, DC
(202) 260-8580

Atlanta, GA
(404) 562-3850

Chicago, IL
(312) 353-0106

Ft. Worth, TX
(817) 978-3236

San Francisco, CA
(415) 744-3090



SBIR
America's Seed Fund™
POWERED BY DOT

U.S. DOT SBIR FY 2019 Topics

Section VIII of Solicitation

FY 2019 Topics

Topic Number & Title	Estimated Award Amount	
	Phase I	Phase II
19-FH1: Vehicle Communication via Induction Paint	\$150,000	\$500,000
19-FH2: Innovative, Low-Cost Methods for Concrete Bridge Deck Assessment	\$150,000	\$1,000,000
19-FM1: Secure Motor Carrier Safety Data Information Exchange Using Blockchain	\$150,000	\$1,000,000
19-FT1: Cost Allocation Technology for Non-Emergency Medical Transportation	\$150,000	\$750,000
19-PH1: Inline Inspection (ILI) Tool for Detecting Coating Defects/Disbondment of Coating		
<i>Update, 3/5/19: The Government has cancelled this topic. Please refer to Amendment 0001.</i>		
19-NH1 Automated Driving Systems (ADS) Test Data Interface	\$150,000	\$500,000

FY 2019 Topics

Topic Number & Title	Estimated Award Amount	
	Phase I	Phase II
19-FR1: Portable Stiffness/Elastic Modulus Measurement System	\$150,000	\$300,000
19-FR2: Wireless Pore Water Pressure Sensor	\$150,000	\$300,000
19-FR3: Automated Detection of Broken Spike Fasteners in Wood Tie Railroad Track	\$150,000	\$300,000
19-FR4: In-Vehicle Highway Rail Grade Crossing Alert System	\$150,000	\$500,000
19-FR5: Improved Condition Monitoring of Traction Motors	\$150,000	\$500,000
19-FR6: Automated, Drone-Based Grade Crossing Inspection	\$150,000	\$300,000

Topic Funding Considerations

Offers that exceed the Phase I Estimated Award Amount will not be considered for award.

The Phase II funding level noted is an estimate only, is subject to the availability of funds and/or the technical requirements to accelerate the development of a commercial product and/or innovation. Any changes to the Phase II estimated funding level listed will be communicated to the small business when instructions on the Phase II process are sent approximately 1 month prior to the end of the Phase I project.

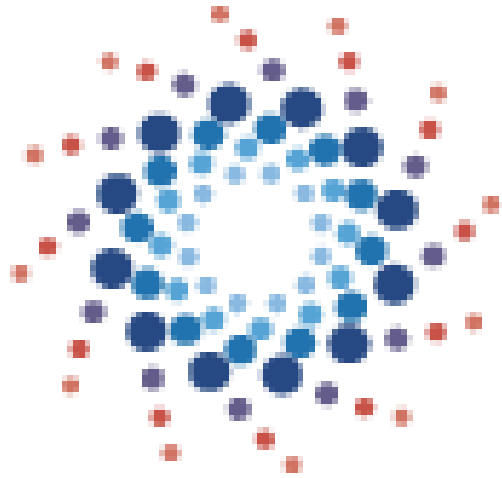
Suggest a Topic

Have an idea for a future DOT SBIR topic?

Visit

<http://www.volpe.dot.gov/work-with-us/small-business-innovation-research/suggest-topic> and submit an idea for future consideration.





SBIR
America's Seed Fund™
POWERED BY DOT

Important Dates and Reminders

FY 2019 Solicitation Schedule

Milestone	Date
FY 2019 Solicitation Opened	February 19, 2019
Administrative and Technical Questions due	April 3, 2019 @ 5:00 PM ET
Appendix C Cost Questions due	April 15, 2019 @ 5:00 PM ET
FY 2019 Solicitation Closes*	April 22, 2019 @ 5:00 PM ET
Recommendations for Award	No later than July 22, 2019 (90 days from solicitation close)
Awards Processed	No later than October 22, 2019 (180 days from solicitation close)

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

Reminders...

- ❑ Review the proposal 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
 - Include supporting documentation for prices proposed.

- ❑ Allow sufficient time to submit a proposal. The submittal process may take several minutes to complete due to a multi-step process.

- ❑ Double check documents submitted are the correct version.

- ❑ Check FAQs on DOT's SBIR website before submitting questions.

- ❑ Submit questions that pertain to the solicitation versus whether an idea is good or bad.

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

**Please submit all questions to
DOTSBIR@dot.gov.**