

SOUTH CAROLINA SBIR PHASE-0 PROGRAM

Program Solicitation

SC EPSCoR/IDeA Solicitation Number: 10-103

Effective April 27, 2010

Program Information

The South Carolina EPSCoR/IDeA Program announces the continuation of the **South Carolina Small Business Innovation Research (SBIR) Phase-0** program to provide small businesses with seed investments to foster competitive research and development (R&D) proposal submissions. The SBIR Phase-0 program provides seed grants (up to \$6,000 per proposal) to small businesses seeking Small Business Innovation Research and Small Business Technology Transfer (STTR) support.

The SC EPSCoR/IDeA Program identifies and develops the science and technology resources at the state's colleges and universities to stimulate sustainable infrastructure improvements. By serving as a catalyst for industry-university partnerships, SC EPSCoR/IDeA helps ensure that intellectual capital and emerging technologies are brought together in ways that promote economic growth and an improved quality of life. The SC EPSCoR/IDeA Program offers the SBIR Phase-0 initiative to increase:

- (1) the participation and competitiveness of the state's small businesses in SBIR and STTR competitions;
- (2) the amount of research dollars invested in South Carolina's private sector; and
- (3) the involvement of academia in private sector research ventures.

Federal SBIR & STTR Programs

The SBIR and STTR programs are two highly competitive three-phase award systems that provide small businesses with opportunities to propose innovative ideas that meet specific federal R&D needs. The SBIR program supports small businesses by funding research at the critical startup and development stages and encouraging commercialization of the technology, product, or service. The STTR program supports small businesses in partnership with nonprofit research institutions to move ideas from the research laboratory to the marketplace. Both SBIR and STTR funds provide small businesses with a unique source of funding to explore and develop novel concepts with no impairment of debt structure, no equity participation, and most intellectual property rights generated through funded projects are retained by the small business.

Eleven (11) federal agencies provide SBIR and STTR awards to small businesses in a wide range of topic areas. Participating agencies include:

- Department of Agriculture (USDA)
- Department of Commerce (DOC)
- Department of Defense (DoD)
- Department of Education (ED)
- Department of Energy (DOE)
- Department of Homeland Security (DHS)
- Department of Transportation (DOT)
- Environmental Protection Agency (EPA)
- National Aeronautics and Space Administration (NASA)
- National Institutes of Health (NIH)
- National Science Foundation (NSF)

Further information about the SBIR and STTR programs is available at the U.S. Small Business Administration website: <http://www.sba.gov/aboutsba/sbaprograms/sbir/sbirstir/index.html>.

South Carolina SBIR Phase-0 Program

The SC EPSCoR/IDeA Program provides SBIR Phase-0 seed investments to small businesses that combine vision and creativity in addressing opportunities in the federal government.

Small businesses seeking SBIR/STTR funds are expected to request and utilize SBIR Phase-0 financial resources to:

- Acquire and analyze preliminary data;
- Obtain scientific and technical consultant support;
- Obtain proposal reviews for scientific merit; and
- Domestic travel (contiguous U.S. only) for specific SBIR/STTR research-related conferences and workshops and/or to meet with program and contractual officers at targeted federal agencies.

See the Budget section in this solicitation for specific instructions.

Eligibility

Eligibility for SBIR Phase-0 funds is limited to South Carolina-based small businesses that are American-owned, for-profit, with fewer than 500 employees. If the proposing entity is more than 50% owned by another entity or entities, the majority owner(s) will be considered the proposing entity and is subject to the basic qualifications and consideration rules as outlined here.

In requesting SBIR Phase-0 support, the small business must identify a specific SBIR/STTR solicitation to which they will apply.

Small businesses are limited to receiving a maximum of \$20,000 of EPSCoR/IDeA Phase-0 funds within 12 months of notice of award.

The SC EPSCoR/IDeA Program welcomes proposals from all qualified scientists, engineers and educators and encourages women, minorities and persons with disabilities to compete fully in its programs. In accordance with federal statutes and regulations, no person on grounds of race, color, age, sex, national origin or disability shall be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving financial assistance from the SC EPSCoR/IDeA Program, although some programs may have special requirements that limit eligibility.

Please note that projects requesting support for the development of a white paper or of a pre-proposal to a federal solicitation will not be supported under this solicitation.

Proposal Guidelines

The SC EPSCoR/IDeA Program requires that all proposals:

- adhere to program objectives as described in this solicitation;
- provide background and rationale for the projects proposed;
- provide a summary of results from prior SBIR Phase-0 support, documenting progress toward competitiveness and explaining rationale for continued funding;
- describe the plan to obtain subsequent non-EPSCoR/IDeA support from federal, state, and/or private sector sources;
- specify the value that the SC EPSCoR/IDeA support adds to the proposed project's feasibility;
- present a management plan which includes Principal Investigator (PI) and project member roles and responsibilities, as well as appropriate biographical sketches; and
- provide a budget and explanation of expected costs sufficient and reasonable for completion of the proposed tasks.

Proposals submitted in response to this solicitation must be prepared using the following guidelines and specific forms listed. Proposals must be prepared as a Microsoft Word document with 1" margins and a font size no smaller than 11pt. All proposals must include authorized organizational representative signature on both the Cover Sheet and Budget Page.

The Principal Investigator identified on the Cover Sheet and included in the proposal will be held accountable for all scientific and programmatic responsibilities, including required reporting (see Award and Reporting Requirements). The Authorized Organizational Representative identified on the Cover Sheet will be held responsible for all fiscal obligations.

All SBIR Phase-0 proposals must be assembled in the following sequence:

- Cover Sheet for proposal to the SC EPSCoR/IDeA Program (Appendix A). The targeted opportunity must be identified.
 - The specific SBIR/STTR subtopic and Phase-I/II proposal deadline must be identified on the Cover Sheet. For open solicitations, the applicant should list a proposed submission date for their application.
 - The Requested Starting Date listed on the SBIR Phase-0 Cover Sheet must not exceed thirty (30) days after the resulting federal Proposal Submission Deadline.
 - The proposal resulting from the SBIR Phase-0 award must be submitted within twelve (12) months of the SBIR Phase-0 Requested Starting Date.
- Project Description must include discussion of proposal requirements as stated above under Proposal Guidelines. Also include the following:
 - Results from prior support. List any previous submissions for SC EPSCoR/IDeA SBIR Phase-0 or SBIR/STTR programs, including award dates and total award amounts for all successful proposals;
 - Description of business, including:
 - Current R&D activities;
 - Current and previous commercial technologies;
 - Intellectual property held by the business or its principal investigators; and
 - Management structure and plan for administering SBIR Phase-0 and other awards;
 - Description of the proposed research innovation and its applicability to the targeted SBIR/STTR solicitation
 - Include scientific explanation of the specific project and how the proposed technology will satisfy the related requirements;
 - If seeking an SBIR/STTR Phase-I, provide description of the planned feasibility study to be undertaken during the Phase-I award;
 - Description of current and future competing and/or complementary technologies;
 - Description of the technology's planned commercialization and possible economic development, including generation of tax revenue and increased employment; and
- Budget Page for the project (Appendix B); total direct costs not to exceed \$6,000. See Budget section below for specific instructions.
- Budget Explanation of estimated costs. Include support requested or available from other sources, including institutional, local, and federal agencies (maximum one page). The Budget Explanation should also describe how the requested funds will contribute to a more competitive federal grant proposal.
- Biographical Sketches of PI and other senior personnel involved in project, including academic collaborators (maximum two pages per individual; NSF or NIH format).
- Current and Pending Support of PI and other senior personnel involved in project, including title of project, sponsoring agency, period of support, amount, and percent effort for each investigator (Appendix C).

Total proposal length, excluding Biographical Sketches, may not exceed ten (10) pages. The Cover Sheet and Budget Page must be completed using the forms provided online (Appendix A and B).

Budget

The total budget requested may not exceed \$6,000 per proposal. All SBIR Phase-0 awards will be cost-reimbursable. Only those costs listed as allowable pursuant to Federal Acquisition Regulation (FAR), Part 31, may be requested. For more information on FAR, please see: <http://www.arnet.gov/far>.

Awardees should ensure that costs claimed under SC EPSCoR/IDeA grants are allowable and reasonable. Awardees are responsible for ensuring that costs of all sub-awards under SC EPSCoR/IDeA awards are subject to those cost principles and procedures appropriate to the sub-award type and organization involved.

Note that limitations have been placed on specific allowable costs:

- Total salaries, wages and fringe benefits requested for all project personnel (*Items A+B+C on budget page*) may not exceed \$1,200 of the total SBIR Phase-0 budget requested.
- Total salaries plus consultant fees may not exceed \$3,000 or 50% of the total SBIR Phase-0 budget requested.

Cost-share is encouraged, but not required. Any matching contributions from the small business, collaborating academic institution or other sources should be listed in the budget and described in the budget explanation. Indirect costs are not allowed under this solicitation; however, they may be used to show a non-federal cost-share commitment.

Small businesses awarded SBIR Phase-0 funding will enter into a contractual agreement with the SC EPSCoR/IDeA Program/SC Research Authority to administer the release of funds. Key elements and restrictions of the award agreement are:

- The small business will be reimbursed for only those costs deemed appropriate per the solicitation;
- All SBIR Phase-0 award funds will be granted to the small business upon receipt of invoice detailing costs incurred;
- Failure to submit a federal proposal by the stated deadline will result in forfeiture of any available future funds remaining from the SBIR Phase-0 award as well as recovery of any previously expended funds by SC EPSCoR/IDeA;
- Any unused funds under SBIR Phase-0 awards will be returned to the SBIR Phase-0 funding pool and will be available for awards in subsequent periods.

Proprietary and Privileged Information

Submission of a complete proposal, including a signed Cover Sheet and Budget Page, signifies the applicant's agreement to release the company's SBIR Phase-0 proposal for external review. Oversight for the review is provided by the State Committee of the SC EPSCoR/IDeA Program, which claims no responsibility or liability for unauthorized access or use of any proprietary information or intellectual property that may be contained within the proposal.

Patentable ideas, trade secrets, privileged or confidential commercial or financial information, disclosure of which may harm the proposer, should be included in proposals only when such information is necessary to convey an understanding of the proposed project. Such information must be clearly marked in the proposal and be appropriately labeled with a disclaimer such as:

"The following is (proprietary or confidential) information that (name of proposing organization) requests not be released to persons outside the government, except for purposes of review and evaluation."

Such information also may be included as a separate statement. If this method is used, the statement must be submitted electronically as a single copy document separate from the submitted SBIR Phase-0 proposal.

The box for "Proprietary & Privileged Information" must be checked on the Cover Sheet when the proposal contains such information. While SC EPSCoR/IDeA personnel will make every effort to prevent unauthorized access to SBIR Phase-0 proposals, the program and its staff are not responsible or in any way liable for the misuse of such material by those individuals or organizations to whom they may release your proposal for evaluation purposes.

Submission Instructions

This is an open solicitation and proposals will be accepted while funds remain available for support. The date of submission of the SBIR Phase-0 proposal must not exceed thirty (30) days after the submission of the resulting proposal. Award periods of performance may vary, but should not exceed twelve (12) months.

All applicants must provide a signed Cover Sheet and Budget Page within three (3) days of submitting an electronic copy of their proposal. The signed Cover Sheet and Budget Page must both be received before the proposal can be entered into the review process.

Complete proposals must be submitted via e-mail to lee.snelgrove@scra.org or mail to the SC EPSCoR/IDeA Program office:

SC EPSCoR/IDeA Program
1000 Catawba Street
Columbia, South Carolina 29201

Proposal Selection

Requests for SBIR Phase-0 funding must describe how the award will be used to stimulate the development of a competitive federal SBIR or STTR proposal.

All proposals that meet the eligibility requirements and guidelines will be evaluated based upon the extent to which they meet specific criteria, including:

- Significance and technical merit of the proposed innovation;
- Potential for the described technology and commercialization in light of competing and/or complementary technologies; and
- Reasonableness of budget request and explanation.

Proposals will undergo external peer-review and reviews will be provided to the PIs, excluding the identity of the reviewer.

Award and Reporting Requirements

Principal Investigators will receive notice of SBIR Phase-0 award/declination via e-mail.

Any and all documentation requested by the SC EPSCoR/IDeA Program, such as a signed Cover Sheet, signed Budget Page, and executed contractual agreement, must be returned within sixty (60) days of the request or the award will be forfeited.

Award recipients are required to provide the SC EPSCoR/IDeA state office with project data for evaluation and reporting purposes. Accordingly, the PI must submit a comprehensive SBIR Phase-0 Progress Report and final invoice for reimbursement no later than sixty (60) days after the expiration of their award. Further instructions for the preparation and submission of progress reports will be sent to the PI within 30 days after the expiration of the award.

The PI is responsible for providing the following:

- Progress reports, including an abstract summary of the supported activity, summary of expenditures, project plans for the future, and project achievements (grants, publications, presentations, etc.) **For a period of time after the expiration of the award, SC EPSCoR/IDeA will continue to contact the PI for outcome-related data such as grants, publications, etc.**

- One copy of the submission confirmation page from the proposal resulting from the SBIR Phase-0 award. If an award is made, awardees should provide one copy of the award document(s) from the opportunity to which they submitted;
- Evidence of other outcomes of the project, including but not limited to: publications; presentations; patents; industry-university collaborations; and other partnerships.

Failure to provide any requested materials for award or evaluation purposes will constitute DEFAULT under this program. In such cases, the SC EPSCoR/IDeA Program reserves the right to recover all previously expended funds issued under the related SBIR Phase-0 award and the right to refuse any future SBIR Phase-0 proposals for consideration of funding.

Contact Information

General inquiries regarding this program should be made to:

Lee Snelgrove
Program Coordinator
lee.snelgrove@scra.org

1000 Catawba Street
Columbia, SC 29201
Tel: 803.733.9060
Fax: 803.376.1721
www.scepscoridae.org



South Carolina Experimental Program to Stimulate Competitive Research and Institutional Development Awards

COVER SHEET FOR PROPOSAL

SC EPSCoR/IDeA SOLICITATION NAME AND NUMBER				DATE SUBMITTED	
IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER AGENCY? <input type="checkbox"/> YES <input type="checkbox"/> NO IF YES, LIST NAME(S):					
NAME OF AWARDEE INSTITUTION (INSTITUTION OF PI)			ADDRESS OF AWARDEE ORGANIZATION, INCLUDING 9 DIGIT ZIP CODE		
NAME OF COLLABORATING ORGANIZATION			ADDRESS OF PERFORMING ORGANIZATION, IF DIFFERENT, INCLUDING 9 DIGIT ZIP CODE		
IS AWARDEE ORGANIZATION (Check All That Apply) <input type="checkbox"/> FOR-PROFIT ORGANIZATION <input type="checkbox"/> SMALL BUSINESS <input type="checkbox"/> MINORITY BUSINESS <input type="checkbox"/> WOMAN-OWNED BUSINESS EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN)					
TITLE OF PROPOSED PROJECT					
REQUESTED AMOUNT \$		PROPOSED DURATION (1-12 MONTHS) Months		REQUESTED STARTING DATE	
TARGETED AGENCY OR ORGANIZATION (IF APPLICABLE)		SUBTOPIC (IF APPLICABLE)		FEDERAL PROPOSAL SUBMISSION DEADLINE	
CHECK APPROPRIATE BOX(ES) IF THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW <input type="checkbox"/> PROPRIETARY & PRIVILEGED INFORMATION <input type="checkbox"/> VERTEBRATE ANIMALS <input type="checkbox"/> HUMAN SUBJECTS <input type="checkbox"/> HAZARDOUS MATERIALS INCLUDING REGULATED BIOLOGICAL MATERIALS AND/OR RADIOACTIVE AND/OR OTHER REGULATED CHEMICALS/MATERIALS <input type="checkbox"/> INTERNATIONAL COOPERATIVE ACTIVITIES: COUNTRY/COUNTRIES INVOLVED _____					
NAME	HIGHEST DEGREE	YEAR OF DEGREE	TELEPHONE NUMBER	EMAIL ADDRESS	
PI					
Co-PI					
Co-PI					
Co-PI					
PI DEPARTMENT			PI MAILING ADDRESS		
PI FAX NUMBER					

CERTIFICATION PAGE

Certification for Principal Investigators and Co-Principal Investigators

I certify to the best of my knowledge that:

- (1) The statements herein (excluding scientific hypotheses and scientific opinions) are true and complete; and
- (2) The text and graphics herein as well as any accompanying publications or other documents, unless otherwise indicated, are the original work of the signatories or individuals working under their supervision. I agree to accept responsibility for the scientific conduct of the project and to provide the required project reports if an award is made as a result of this proposal. I understand that the willful provision of false information or concealing a material fact in this proposal or any other communication submitted is a criminal offense (U.S.Code, Title 18, Section 1001).

Name (Typed)	Signature	Date
PI		
Co-PI		
Co-PI		
Co-PI		

Certification for Authorized Organizational/Institutional Representative

By signing and submitting this proposal, the individual applicant or the authorized official of the applicant firm or company certifies that:

- (1) The statements made herein are true and complete to the best of their knowledge;
- (2) It agrees to accept the award terms and conditions and should these terms not be met, to negotiate a fair and reasonable plan to reimburse the South Carolina EPSCoR/IDeA Program/South Carolina Research Authority for expenditures incurred under the award;
- (3) The organization or its principals are not presently disbarred, suspended, proposed for disbarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal or State department or agency;
- (4) The organization is not delinquent on any Federal or State debt;
- (5) The organization operates as a drug-free workplace;
- (6) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: Title VI of the Civil Rights Act of 1964 (P.L. 88-352, Title IX of the Education Amendments of 1972, as amended (20 U.S.C. § 1681-1683, and 1685-1686), Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), the Age Discrimination Act of 1975, as amended (42 U.S.C. § 6101-6107);
- (7) No funds will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of a Member of Congress in connection with the awarding of any Federal contract, grant, loan or cooperative agreement;
- (8) Submission of a complete proposal, including a signed Cover Sheet and Budget Page, signifies the applicant's agreement to release the proposal for external review; and
- (9) Failure to submit a proposal to the targeted agency or organization as listed on page 1 of the Cover Sheet will constitute DEFAULT under the related program. Further, SC EPSCoR/IDeA reserves the right to recover all previously expended funds issued under the related award and the right to refuse any future proposals for SC EPSCoR/IDeA funding.

Name (Typed)	Signature	Date
Telephone Number	Fax Number	Email Address

1000 Catawba Street
 Columbia, SC 29201
 Tel: 803.733.9060
 Fax: 803.376.1721
 www.scepscoridae.org



South Carolina Experimental Program to Stimulate Competitive Research and Institutional Development Awards

BUDGET PAGE

INSTITUTION						
PRINCIPAL INVESTIGATOR						
A. SENIOR PERSONNEL: PI/PD, Co-PI's. Faculty and other Senior Associates(List each separately with title)	EPSCoR/IDeA FUNDED PERS. MOS.			FUNDS REQUESTED FROM EPSCoR/IDeA	NON-FEDERAL MATCHING FUNDS	TOTAL
	CL	AC	SU			
1.						
2.						
3.						
4.						
5.						
6. () OTHERS (LIST INDIVIDUALLY)						
7. () TOTAL SENIOR PERSONNEL (1-6)						
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)						
1. () POST DOCTORAL ASSOCIATES						
2. () OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)						
3. () GRADUATE STUDENTS						
4. () UNDERGRADUATE STUDENTS						
5. () SECRETARY CLERICAL						
6. () OTHER						
TOTAL SALARIES AND WAGES (A+B)						
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)						
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C)						
D. PERMANENT EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$1,000)						
TOTAL PERMANENT EQUIPMENT						
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)						
2. FOREIGN						
TOTAL TRAVEL						
F. PARTICIPANT SUPPORT COSTS						
TOTAL PARTICIPANT COSTS						
G. OTHER DIRECT COSTS						
1. MATERIALS AND SUPPLIES						
2. PUBLICATION COSTS/DOCUMENTATION/DISSEMINATION						
3. CONSULTANT SERVICES						
4. COMPUTER (ADP) SERVICES						
5. SUBCONTRACTS						
6. OTHER						
TOTAL OTHER DIRECT COSTS						
H. TOTAL DIRECT COSTS (A THROUGH G)						
I. INDIRECT COSTS (SPECIFY)						
TOTAL INDIRECT COSTS						
J. TOTAL DIRECT AND INDIRECT COSTS (H+I)						
K. AMOUNT OF ANY REQUIRED COST-SHARING FROM NON-FEDERAL SOURCES						
L. TOTAL COST OF PROJECT (J + K)						
PRINCIPAL INVESTIGATOR - TYPED NAME AND SIGNATURE				DATE		
AUTHORIZED ORGANIZATIONAL/INSTITUTIONAL REPRESENTATIVE - TYPED NAME AND SIGNATURE				DATE		

