

# AFWERX/AFRL

## SBIR Special Topics

# Common Mistakes/FAQs

Notional/Example - For reference only

# CAGE Code/DUNS Number Help (1/3)

This is where most people get stuck

In order to process awards for SBIR, we will need your CAGE Code and DUNS Number.

For an overview of the registration requirements for SBIR - please see here: <https://www.sbir.gov/tutorials/registration-requirements/tutorial-1>

You can check to see the current status of your CAGE and DUNS Number here: <https://cage.dla.mil/search>

To register for a DUNS Number: <https://iupdate.dnb.com/iUpdate/companylookup.htm>

To register for a CAGE Code: <https://www.sam.gov/portal/SAM/>

\*Once you submit your Entity Registration for processing, SAM will send your entity information to the DLA for CAGE Code assignment. Once the DLA assigns the CAGE Code, SAM will receive and apply the code to the Entity Registration.\*

.....

Please note that if you are struggling with either of these systems - they have help-desks here:

[https://fedgov.dnb.com/webform/pages/contact\\_info.jsp](https://fedgov.dnb.com/webform/pages/contact_info.jsp)

Dun & Bradstreet

For customers located within the US, Puerto Rico and US Virgin Islands:

[SAMHelp@dnb.com](mailto:SAMHelp@dnb.com)

1-866-705-5711

SAM Assistance - Federal Service Desk

US Phone: 1-866-606-8220

[www.sam.gov](http://www.sam.gov)

CAGE

Commercial And Government Entity Program

1.877.352.2255

Customer Service

Call these phone numbers - they will help you

# CAGE Code/DUNS Number Help (2/3)

**Register Entity**

**Determine Purpose of Registration**

Registration Overview

**Purpose of Registration**

- Determine Purpose
- Confirm Purpose

Core Data

Representations and Certifications

Points of Contact

Small Business Certification

Submit Certification

BACK TO USER DASHBOARD

**Page Description**

The system will guide you through the entity registration process based on the answers you provide below.

What type of entity are you? \*

**Do you wish to bid on contracts?**

Do you want to be eligible for grants and other federal assistance? \*

Do you want to perform Intragovernmental Transactions (IGT)?

CANCEL PREVIOUS NEXT

SAM | System for Award Management 1.01

Service Desk  
URL: <http://www.FSD.gov>  
(Sam - 8pm Eastern Time)  
US Calls: 866-606-8220

Accessibility Privacy Policy Disclaimers

GSA USA.gov

When registering in SAM - please be sure to select 'Yes' to the questions 'Do you wish to bid on contracts?' - if you select 'No' you will be ineligible for award.  
Video of this: <https://www.youtube.com/watch?>

# CAGE Code/DUNS Number Help (3/3)



## SBIR PHASE I PROPOSAL

### 1 Cover Sheet

#### Basic Information

#### Certification

#### Business Information

#### Proposal Information

#### Contact Information

### 2 Technical Volume

### 3 Cost Volume

### 4 CCR

### 5 Submit

Save Proposal

Last saved on 7/31/2017 8:59 AM ET

## Proposal Information

Proposal Number: F171-001-0003

Component: AIR FORCE

Topic Number: AF171-001

Proposal Title: Variable Pressure/Flow Control Firefighting Nozzle

Make this proposal title the name of your product.

## Firm Information

Please make sure the firm information is correct below. You can update your firm information by clicking the button below:

Edit Firm Information

Firm Name Monsters Inc  
Address 123 Scary Lane Blvd.,  
Ghost Town, Maine, 22038  
Website <http://monsteruniversity@monsters.edu>  
DUNS 328947298  
CAGE 09328  
SBA SBC ID 374982349

Make sure this information is **all** filled out. If it is not fully filled out (i.e. there is no CAGE code), then you will be ineligible for award.

1. Does your firm allow for the release of its contact information to Economic Development Organizations?  Yes  No

Next

### Warning

This is the DOD Submission System for unclassified use only. Do not discuss, enter, transfer, process, or transmit classified/sensitive national security information.

### Browser Requirements

This site is best viewed in all modern secure browsers (Firefox, Safari, Chrome and IE10+). JavaScript must be enabled to use this website.

[Privacy Policy](#)



# Majority Owned VC

This topic has confused a number of VC-backed companies. Essentially, if you check this box, you will be ineligible for award. However, many VC's themselves are actually small businesses (with fewer than 500 employees and majority US-owned) - so be sure to consider that in your calculations.

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### Certification

2. Are you a small business as described in section 3.15 of the solicitation, with no more than 500 employees including affiliates?  Yes  No
3. Does your business concern meet the ownership and control requirements in 13 CFR 121.702?  Yes  No
4. Is 50% or more of your firm owned or managed by a corporate entity?  Yes  No
5. At a minimum, will two-thirds of the research and/or analytical work in Phase I be carried out by your small business as described in section 4.2 of the solicitation?  Yes  No
6. Is primary employment of the principal investigator with your firm as described in section 4.2 of the solicitation?  Yes  No
7. Has your firm been convicted of a fraud-related crime involving SBIR and/or STTR funds or found civilly liable for a fraud-related violation involving Federal funds?  Yes  No
8. Has your firm's Principal Investigator (PI) or Corporate Official (CO), or owner been convicted of a fraud-related crime involving SBIR and/or STTR funds or found civilly liable for a fraud-related violation involving Federal funds?  Yes  No
9. Has your firm met the performance benchmarks in section 3.1 of the solicitation and listed by the  Yes  No
10. Is your firm registered in the SBA's venture capital database as a majority-owned by venture capital operating companies, hedge funds or private equity firms?  Yes  No
11. Is your firm more than 50% owned by a single Venture Capital Owned Company (VCO), hedge fund, or private equity firm?  Yes  No
12. Is your firm more than 50% owned by multiple business concerns that are VCOs, hedge funds, or private equity firms?  Yes  No

NOTE: IAW Section 4.2 of the solicitation, firms that do not meet all eligibility requirements will not receive award. IAW Small businesses that are owned in majority part by multiple venture capital operating companies (VCOs), hedge funds, or private equity funds are ineligible to submit applications or receive awards for opportunities in this solicitation. In addition, SBA has posted a [Guide to SBIR/STTR Program Eligibility](#) to help small businesses understand program eligibility requirements, determine if they will be eligible at the time of award, and accurately complete necessary certifications.

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The exception to this is if the VC is itself more than 50% directly owned and controlled by one or more individuals who are citizens or permanent resident aliens of the United States. In such a case, that VC is allowed to have majority ownership and control of the awardee. In that case, the VC and the awardee, and all other affiliates, must have a total of 500 employees or less. More Info: <https://www.sbir.gov/faq/vc-participation>

If you select 'Yes' to any of these questions, then you will likely be ineligible for award for the special topics.



# Answering the Certification Questions

## SBIR PHASE I PROPOSAL

- 1 Cover Sheet
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  - 5 Submit
- Save Proposal

Last saved on 7/20/2017 11:32 am ET

### Certification

2. Are you a small business as described in section 3.15 of the solicitation, with no more than 500 employees including affiliates?  Yes  No
3. Does your business concern meet the ownership and control requirements in 13 CFR 121.702?  Yes  No
4. Is 50% or more of your firm owned or managed by a corporate entity?  Yes  No
5. At a minimum, will two-thirds of the research and/or analytical work in Phase I be carried out by your small business as described in section 4.2 of the solicitation?  Yes  No
6. Is primary employment of the principal investigator with your firm as described in section 4.2 of the solicitation?  Yes  No
7. Has your firm been convicted of a fraud-related crime involving SBIR and/or STTR funds or found civilly liable for a fraud-related violation involving Federal funds?  Yes  No
8. Has your firm's Principal Investigator (PI) or Corporate Official (CO), or owner been convicted of a fraud-related crime involving SBIR and/or STTR funds or found civilly liable for a fraud-related violation involving Federal funds?  Yes  No
9. Has your firm met the performance benchmarks in section 3.1 of the solicitation and listed by the SBA on their website as eligible to participate?  Yes  No
10. Is your firm registered in the SBA's venture capital database as majority-owned by venture capital operating companies, hedge funds, or private equity firms?  Yes  No
11. Is your firm more than 50% owned by a single Venture Capital Owned Company (VCOC), hedge fund, or private equity firm?  Yes  No
12. Is your firm more than 50% owned by multiple business concerns that are VCOCs, hedge funds, or private equity firms?  Yes  No

NOTE: IAW Section 4.2 of the solicitation, firms that do not meet all eligibility requirements will not receive award. IAW Small businesses that are owned in majority part by multiple venture capital operating companies (VCOCs), hedge funds, or private equity funds are ineligible to submit applications or receive awards for opportunities in this solicitation. In addition, SBA has posted a [Guide to SBIR/STTR Program Eligibility](#) to help small businesses understand program eligibility requirements, determine if they will be eligible at the time of award, and accurately complete necessary certifications.

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We are forced to reject tens of companies each round because they fill this out wrong. Don't be one of them.

Make sure you fill this out truthfully. The checked boxes here are the only

# Cost Volume Example (1/3)



## STTR PHASE I PROPOSAL

- 1 Cover Sheet
- Basic Information
- Certification
- Business Information
- Proposal Information
- Contact Information
- 2 Technical Volume
- 3 Cost Volume**
- 4 CCR
- 5 Submit

Save Proposal

Last saved on 7/31/2017 10:12 am ET

### Firm Information

Monsters Inc  
123 Scary Lane Blvd.  
Ghost Town, Maine 22038

Proposal #: F17A-001-0005

Proposal Title: Fast Response Heat Flux Sensors and Efficient Data Reduction Methodology for Hypersonic Wind Tunnels

Cage Code: 09328

DUNS: 328947298

Topic Number: AF17A-T001

Firms should indicate the following terms, as appropriate, in their proposal, following the terms in section 5.4(d) of this solicitation.

Please click [here](#) for further explanation regarding [Cost Breakdown](#).

**THIS IS ONLY AN EXAMPLE. THIS MAY NOT REFLECT YOUR BUSINESS STRUCTURE. THE DOLLARS AND RATES USED IN THE EXAMPLE ARE RANDOM AND DO NOT REFLECT ANY SORT OF INDUSTRY STANDARD. THIS IS INTENDED FOR GUIDANCE PURPOSES ONLY**

While these costs are used for determining if your price is fair and reasonable, for the special topics we will issue Fixed Price Contracts and thus you will not be strictly held to these.

**Total Cost \$49,755** (total cost is the sum of the base cost and any option costs)

Base

### Cost Volume Rates

Please enter rates in the form of percentages, not decimals. An example of a percentage would be 84 or 23.3 whereas a decimal would be 0.84 or 0.233.

Fringe Benefit Cost Rate **0%**  %

Labor Cost Overhead Rate **0%**  %

Material Cost Overhead Rate **0%**  %

Remember that the total amount on this page needs to match the amount you entered on the proposal information page.

Included in G&A (General & Administrative)

Included in G&A

Included in G&A

More info Here:  
<https://www.acq.osd.mil/osbp/sbir/docs/costvolumeterms.pdf>

# Cost Volume Example (2/3)

Other Direct Costs Overhead Rate **0%**  % Included in G&A

Fee or Profit Rate **7.0**  % 7% is the max of other SBIR efforts - so it will not raise any eyebrows

G&A Rate **59.5%**  % Instead of breaking it out, we will roll all of the G&A expenses into one pool (59.5%)

Apply G&A Rate to Direct Labor Costs?  Yes  No

Apply G&A Rate to Direct Material Costs?  Yes  No

Apply G&A Rate to Other Direct Costs?  Yes  No

[Update Cost Volume Tables](#)

Category and/or Individual	Rate/Hour	Estimated Hours	Total Cost
<b>Direct Labor Costs</b>			
<a href="#">+ Add direct labor cost</a>			
Subtotal Direct Labor (DL)	<b>\$75</b>	<b>400</b>	<b>\$30,000</b>
Fringe Benefits, if not included in Overhead, (rate 0%) x DL			\$0.00
Labor Overhead (rate 0%) x (DL + Fringe)			\$0.00
<b>Total Direct Labor (TDL)</b>			<b>\$30,000</b>

Once again, these are just for determining your price is reasonable and you will not be held to this in a Firm Fixed Price Contract.

For this we will assume 400 engineering hours for this effort at \$75/hour.



# Cost Volume Example (3/3)

We are just conducting a feasibility assessment, thus we may not need direct material costs.

If you have sub-contractors, this is where you can put them. For SBIRs, a max of 33% of the work can be performed by consultants or subcontractors.

Do NOT just put a flat rate for \$50K, that is an easy way to become ineligible.

Direct Material Costs	
<a href="#">+ Add direct material cost</a>	
Subtotal Direct Material Costs (DM)	\$0
Material Overhead (rate 0%) x DM	\$0
Total Direct Material Costs (TDM)	\$0
Other Direct Costs	
<a href="#">+ Add other direct cost</a>	
Subtotal Other Direct Costs (ODC)	\$0
Direct Cost Overhead (rate 0%) x ODC	\$0
Total Other Direct Costs (TODC)	\$0
G&A (rate 0%) x Base	\$16,500
Total Cost	\$46,500
Fee or Profit (rate 0%)	\$3,250
<b>Total Estimated Cost</b>	<b>\$49,755</b>