

August 31, 2012

SBIR Alerting Service

The SBIR Alerting Service is a free service that provides bi-weekly notification of SBIR and STTR solicitation announcements, news and information, and Internet resources relevant to the SBIR/STTR programs. This service is provided by the [Economic Development Office](#) of [Pacific Northwest National Laboratory](#) (PNNL).

Back issues of the SBIR Alert are available at www.pnnl.gov/edo/opportunities/sbir.stm. Subscription instructions appear at the end of this newsletter.

In this issue:

- [USDA FY-2013 SBIR Solicitation Deadline Extended](#)
- [DoD SBIR 2012.3 and STTR 2012.B Solicitations Open](#)
- [NSF FY-2013 SBIR and STTR Program Solicitations Released](#)
- [SBIR Proposal Writing Tip: Fraud, Waste and Abuse](#)
- [Conferences and Workshops](#)
- [Open Solicitations](#)

>> SBIR/STTR NEWS AND INFORMATION

USDA FY-2013 SBIR Solicitation Deadline Extended

Applications in response to the US Department of Agriculture (USDA) National Institute of Food and Agriculture (NIFA) FY-2013 SBIR Phase I solicitation originally had been due September 6, 2012, however, a notice has been added to the solicitation indicating that the deadline has been extended to September 13, 2012.

The modified solicitation also indicates that section 3.3.3 (R&R Other Project Information) has been modified to include the addition of the following:

Field 9. Bibliography & Cited References - (PDF Format is Required)

Provide a complete list of all references cited in the application. For each reference, provide the complete name for each author, the year of the publication, full title of the article, name of the journal or book published, volume, and the page numbers. The references should be listed in alphabetical order using the last name of the first author.

The solicitation is available from the USDA SBIR web site at www.nifa.usda.gov/funding/rfas/sbir_rfa.html. If you have questions regarding the solicitation, contact Mr. Elden Hawkes at sbir@nifa.usda.gov, or (202) 401-4002.

DoD SBIR 2012.3 and STTR 2012.B Solicitations Open

The Department of Defense (DoD) began accepting proposals in response to their SBIR 2012.3 and STTR 2012.B Solicitations on August 27, 2012. Both solicitations close on September 26, 2012.

The web sites for both solicitations (available on the DoD SBIR/STTR website www.acq.osd.mil/osbp/sbir/index.shtml) include notices that 'Important updates have been made to the solicitation instructions. Please see the Solicitation Modifications page for details.'

One of the updates includes the following notice regarding contacting DoD:

The DoD SBIR/STTR Help Desk is prepared to address general questions about this solicitation, the proposal preparation and electronic submission process and other

program-related areas. The Help Desk may be contacted from 8:00 a.m. to 5:00 p.m. ET Monday through Friday at:

Phone: 1-866-SBIRHLP (1-866-724-7457)

E-mail: www.dodsbir.net/helpdesk

The solicitation websites also indicate that:

"For reasons of competitive fairness, direct communication between proposers and topic authors is not allowed during the Open period when DoD is accepting proposals for each solicitation. However, proposers may still submit written questions about solicitation topics through the [SBIR Interactive Topic Information System \(SITIS\)](#). In SITIS the questioner and respondent are anonymous and all questions and answers are posted electronically for general viewing until the solicitation closes. All proposers are advised to monitor SITIS during the Open solicitation period for questions and answers and other significant information relevant to their SBIR/STTR topics of interest."

NSF FY-2013 SBIR and STTR Program Solicitations Released

The National Science Foundation (NSF) posted their FY-2013 STTR solicitation on their SBIR/STTR website (<http://www.nsf.gov/eng/iip/sbir/>) on August 6, 2012. NSF will accept proposals from November 20 to December 20, 2012, however, a letter of intent (LOI) must be submitted in order to submit a full proposal. NSF will accept LOIs between October 20, 2012 - November 20, 2012.

The STTR research topic for this solicitation is *Enhancing the Bioeconomy using emerging Biological Technologies (EBBT)*. Proposals must use a biologically-based approach, such as synthetic biology, systems biology, metabolic engineering, proteomics, bioinformatics, and computational biology, to address business opportunities in key industry sectors including biomedical, biomanufacturing, and sustainable agriculture.

A webinar will be held on September 13 to answer questions about the solicitation. There is no advance registration for this webinar. See the NSF SBIR/STTR website for instructions on how to join the webinar.

The NSF also posted their FY-2013 SBIR Phase I solicitation on August 30, 2012. NSF will accept proposals from November 3 to December 3, 2012. As indicated in the solicitation, which is available at <http://www.nsf.gov/pubs/2012/nsf12605/nsf12605.htm>, NSF has formulated broad solicitation topics for SBIR that conform to the high-technology investment sector's interests. The four broad topics are:

- Biological and Chemical Technologies (BC)
- Education Applications (EA)
- Electronics, Information and Communication Technologies (EI)
- Nanotechnology, Advanced Materials, and Manufacturing (NM)

For detailed description of the four topics reference section V. Proposal Preparation and Submission Instructions, A.10. Research Topic.

SBIR Proposal Writing Tip: Fraud, Waste and Abuse

The following proposal writing tip was provided by Gail & Jim Greenwood. Past SBIR proposal writing articles written by the Greenwoods are available on the Greenwood Consulting Group, Inc. (GCGI) web site at www.g-jgreenwood.com.

SBIR Proposal Writing Basics: Don't Be an Easy Target for a Fraud, Waste and Abuse Witch Hunt

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We have previously alerted you to the emphasis in the SBIR/STTR reauthorization on agencies detecting and eliminating "fraud, waste and abuse" (FW&A) by SBIR/STTR companies. We want to alert you to an area on which we think the agencies will be focusing during their FW&A investigations (described by some as witch hunts) so you can

take appropriate action to avoid becoming a victim.

The area of focus, we think, is your SBIR/STTR cost proposal and accounting system. Why would the agencies focus here? Simple: first, it is an area where many small SBIR/STTR companies don't put much effort when it comes to their proposal—unfortunately, they focus 99% of their attention on the technical proposal and just throw together an unjustified and ill-conceived cost proposal. Second, there are thousands of rules in Federal government procurement, so even larger, experienced firms do not know all of them (or changes therein). Third, the reauthorization require the agencies to report annually how much money they recovered through their FW&A efforts—it is easy for them to put a dollar value on errors in your budget or accounting system.

Now in the good ol' days (like last year), we wouldn't worry too much about Phase 1 project cost proposals and budgets, since they are relatively small dollar amounts and the agencies have tended to give you that "grace period" to get your accounting system and indirect/F&A rate projection up to snuff. But we are becoming concerned that Phase 1s may become a target for FW&A investigations, for several reasons. First, Phase 1 proposers/recipients tend to put less time and effort into the cost proposal and accounting than their Phase 2 counterparts, so Phase 1 companies become easy targets for this witch hunt. Second, we noted the following statement in the NIH notice of Phase 1 award received recently by a client: "the grantee may only charge actual F&A costs to the project, not to exceed the amount awarded (40% of total direct cost or less..." Therefore, even if you go with the NIH indirect/F&A rate of 40% of all direct costs that the agency allows if you don't have an approved rate, NIH wants you to only bill an indirect/F&A rate that you can justify. This means you can no longer just assume your actual costs equal or exceed the 40% rate, but must estimate and update the actual rate throughout the Phase 1 project.

So if you agree that FW&A is something you need to pay attention to, and if you agree that your cost proposal and accounting system can be a target for a FW&A investigation, then you need to take several actions.

1. You need to estimate your indirect/F&A rate before you submit your Phase 1 proposal. This is important both to prepare for the FW&A investigation and reduce the likelihood that you lose money in Phase 1 resulting from underestimating these costs.
2. By the time you receive a Phase 1 award, you need to have an adequate accounting system. That doesn't just mean that it is out of the shoe box and on to your computer—it also means it is capable of tracking labor hours (i.e., includes time sheets), and segregating indirect from direct costs and allowable from unallowable costs
3. You need to track your actual costs (direct and indirect/F&A) throughout your project so you can make adjustments if your actual costs are different than the ones you estimated in your SBIR/STTR cost proposal.
4. You need to be charging, as part of your indirect/F&A rate, the time and cost you must incur to do all of this budgeting, estimating, and tracking of costs. If the Feds are going to raise the bar of FW&A scrutiny, then they should be prepared to pay the costs you incur.
5. Make sure you charge indirect/F&A in your proposal. With all the attention of FW&A, you may decide the safe thing to do is to just not charge anything but the direct costs on the project. While that is safe, it is not smart: you will incur indirect/F&A costs, and if you don't charge for them you will lose money and could jeopardize your company's viability.

An obvious question is how you gain the knowledge and expertise to do all of this. You may want to retain a professional who knows government accounting to set up your accounts, estimate your indirect/F&A rate, and otherwise give you important guidance. Be sure you find someone who knows government accounting (it is a specialization, and not

all bookkeepers and accountants have it), and preferably use someone who has experience working with the agency (ies) to which you are submitting proposals and receiving awards. You also may want to get some training related to the cost proposal and government accounting—it is certainly valuable if you want to estimate and track your own indirect/F&A rate, but it also is important if you retain a professional because you still need to understand the concepts and terminology so you can manage this important part of your SBIR/STTR project. Check out the "conferences & workshops" portion of this issue of the Alerting Service for upcoming training.

Gail and Jim Greenwood may be reached at the following address:

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>> CONFERENCES AND WORKSHOPS

National

2012 National SBIR Beyond Phase II Conference & Technology Showcase – Indianapolis, IN, September 10-13, 2012. This event showcases the SBIR Program's Phase II awardees' technologies and provides a forum for commercialization opportunities, and will bring together current SBIR Phase II companies, key technology and acquisition personnel from government and industry to enable the transition of SBIR-funded research and development into products for military, government and private sector commercial markets. For more information, email conference@esncc.com.

2012 National SBIR and STTR Conference – Portland, Oregon, November 13-15, 2012. The Micro-enterprise Inventors Program of Oregon (MIPO) and the Oregon Small Business Development Center Network (OSBDC) will host the SBIR/STTR 2012 National Conference. The theme "Crack the Code" is designed to promote discovery of the key issues to successful grant applications – creating connections, fostering new opportunities, showcasing diversity, and exploring innovative possibilities for both new and experienced SBIR recipients. Registration and conference information is available at <http://oregonsbir.com/index.html>.

Regional

** SBIR/STTR Phase I Proposal Preparation and Cost Proposal/Government Accounting Workshop* -- State College, Pennsylvania, September 5-6, 2012. Day 1 of this workshop will help small businesses and entrepreneurs understand SBIR/STTR Phase I funding opportunities and proposal requirements (and post-reauthorization changes). It is designed for newcomers to SBIR/STTR as well as those who are more experienced with the process but want to sharpen proposal preparation skills and learn how to develop a more competitive proposal. Day 2 will address Phase 2, including discuss the basics of Phase 2 and how this phase differs from Phase 1; a simple but effective way to prepare the Phase 2 proposal, and emphasize the all-important commercialization portion of the proposal. For more information or to register for this comprehensive and information-packed event, contact xl182@psu.edu .

SBIR Phase I Writing Workshop and One-on-One Sessions -- Scottsdale, AZ, September 6-7, 2012. This workshop will provide critical information to small businesses competing for SBIR/STTR grants and contracts. On Friday, September 7th entrepreneurs can meet one-on-one with volunteer coaches; learn from SBIR/STTR past recipients, and tap into successful commercialization strategies through experts in the field. For more information and to register, visit asuventurecatalyst.org/p/class/VC-SBIRSTTR_Phase_I_W-1912Aug.

Basics of SBIR/STTR Webinar -- Online, September 7, 2012. This event will offer a history of the programs; Overview of participating agencies, emphasizing NIH, NSF, DoD; Eligibility requirements (size, ownership, nature of project, etc.), and will be presented by

Jim Greenwood, Greenwood Consulting Group, Inc. For more information and to register, visit <http://nbdc.unomaha.edu/venture/events.cfm>, or contact Marisol Uribe Rodriguez, SBIR/STTR Technology Commercialization Consultant at (402) 554-6270, or murodriguez@unomaha.edu.

Developing a Phase I Proposal Webinar -- Online, September 10, 2012. This event will address how to develop a proposal strategy and draft a proposal; how to avoid common mistakes; view examples of reviewers comments on actual proposals, and will be presented by Jim Greenwood, Greenwood Consulting Group, Inc. For more information and to register, visit <http://nbdc.unomaha.edu/venture/events.cfm>, or contact Marisol Uribe Rodriguez, SBIR/STTR Technology Commercialization Consultant at (402) 554-6270, or murodriguez@unomaha.edu.

SBIR/STTR Funding for Life Sciences Workshop -- Madison WI, September 11, 2012. A workshop for leaders and researchers in life sciences firms along with faculty members, graduate students and post docs interested in exploring SBIR/STTR funding opportunities. We will cover essential information for crafting a competitive SBIR/STTR proposal. By attending, you will be able to determine if this source of funding is right for your work. You will gain instruction on the ins and outs of preparing a proposal to the National Institutes of Health (NIH), including both technical and commercialization plans, and navigating the often complicated submission process. We will also cover Department of Defense (DOD) and the National Science Foundation (NSF) programs as they too fund projects in life sciences. For more information, and to register, visit wensbir-sttrtraining.eventbrite.com.

* *SBIR/STTR Phase I Proposal Preparation and Cost Proposal/Government Accounting Workshop* -- Albuquerque and Santa Fe, New Mexico, September 12-13, 2012. Day 1 of this workshop, held in Albuquerque, will help small businesses and entrepreneurs understand SBIR/STTR Phase I funding opportunities and proposal requirements (and post-reauthorization changes). It is designed for newcomers to SBIR/STTR as well as those who are more experienced with the process but want to sharpen proposal preparation skills and learn how to develop a more competitive proposal. Day 2, held in Santa Fe, will address Phase 2, including discuss the basics of Phase 2 and how this phase differs from Phase 1; a simple but effective way to prepare the Phase 2 proposal, and emphasize the all-important commercialization portion of the proposal. For more information or to register for this comprehensive and information-packed event, contact clow@lanl.gov.

SBIR/STTR Overview Workshop -- Oak Ridge, TN, September 18, 2012. This workshop will provide a thorough introduction to the SBIR and STTR Programs; it will cover the types of homework and strategy required to produce highly competitive proposals for the various agencies with a specific focus on the distinction between grant and contract agencies; and it will address how changes in the SBIR/STTR law (with the recent six-year renewal) will likely impact the various programs beginning in 2013. For more information or to register, visit www.cis.tennessee.edu, or contact Bill Wiley at (865) 974-8464 or bill.wiley@tennessee.edu.

Tips For Successful Proposal Preparation Webinar -- Online, September 18, 2012. This event will address: How to build a customer relationship with agencies; The proposal preparation process; Bid/no bid decisions; Developing win themes, and will be presented by Jenny Servo, Dawnbreaker Commercialization. For more information and to register, visit <http://nbdc.unomaha.edu/venture/events.cfm>, or contact Marisol Uribe Rodriguez, SBIR/STTR Technology Commercialization Consultant at (402) 554-6270, or murodriguez@unomaha.edu.

DCAA Compliant Seminar -- Denver, CO, September 18, 2012. This event, designed to help SBIR contractors, will address Government Cost Accounting/DCAA Audits; Indirect Rates-Budget Seminar; Incurred Cost Proposal; and more. Visit www.gov-con.com or call 303-800-9115 for more information.

SBIR/STTR Overview Workshop -- Nashville, TN, September 19, 2012. This workshop

will provide a thorough introduction to the SBIR and STTR Programs; it will cover the types of homework and strategy required to produce highly competitive proposals for the various agencies with a specific focus on the distinction between grant and contract agencies; and it will address how changes in the SBIR/STTR law (with the recent six-year renewal) will likely impact the various programs beginning in 2013. For more information or to register, visit www.cis.tennessee.edu, or contact Bill Wiley at (865) 974-8464 or bill.wiley@tennessee.edu.

Preparing a Commercialization Plan Webinar -- Online, September 26, 2012. This event will address: Step-by-step instructions for developing a strong commercialization strategy, and an Understanding the importance of commercialization from Phase 1. It will be presented by Lisa Kurek, BBC Entrepreneurial Training and Consulting. For more information and to register, visit <http://nbdc.unomaha.edu/venture/events.cfm>, or contact Marisol Uribe Rodriguez, SBIR/STTR Technology Commercialization Consultant at (402) 554-6270, or murodriguez@unomaha.edu.

Cost Proposal Webinar -- Online, September 27, 2012. This event will address: What is its importance to the overall proposal; How to distinguish direct from indirect costs; Why a fee/profit should always be requested; How to develop an indirect rate, and will be presented by Jim Greenwood, Greenwood Consulting Group, Inc. For more information and to register, visit <http://nbdc.unomaha.edu/venture/events.cfm>, or contact Marisol Uribe Rodriguez, SBIR/STTR Technology Commercialization Consultant at (402) 554-6270, or murodriguez@unomaha.edu.

* *SBIR/STTR Phase I Proposal Preparation Workshop* -- Gainesville, Florida, October 12, 2012. This workshop will help small businesses and entrepreneurs understand SBIR/STTR Phase I funding opportunities and proposal requirements (and post-reauthorization changes). It is designed for newcomers to SBIR/STTR as well as those who are more experienced with the process but want to sharpen proposal preparation skills and learn how to develop a more competitive proposal. For more information or to register, contact ksfl@ufl.edu.

SBIR/STTR Grant Proposal Course -- Cal Poly Pomona, CA, October 18, 2012. This event will provide an overview of the SBIR and STTR funding process and helps individuals prepare to write a comprehensive grant proposal. It will also help individuals understand the SBIR/STTR Phase II grant proposal process and will give participants key tools to use in preparing their proposal. For more information, visit www.ceu.csupomona.edu/courses/dynamic_content/courses/default.aspx?courseid=3170

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* *SBIR/STTR Phase I Proposal Preparation Workshop* -- Tampa, Florida, October 23, 2012. This workshop will help small businesses and entrepreneurs understand SBIR/STTR Phase I funding opportunities and proposal requirements (and post-reauthorization changes). It is designed for newcomers to SBIR/STTR as well as those who are more experienced with the process but want to sharpen proposal preparation skills and learn how to develop a more competitive proposal. For more information or to register, contact taswartz@usf.edu.

2012 National Government Contractors Expo -- Las Vegas, NV, October 23-24, 2012. This Expo will cover Government Marketing, Government Opportunities, Subcontractor Opportunities, Commercialization Strategies, Cost Proposal Preparation, GAS Disclosures, Contract Close Outs, Exhibit Hall Networking, SBIR and more. For more information, visit www.govcon-nationalexpo.com, or contact 303-800-9115 ext 3 or info@gov-con.com.

SBIR/STTR Proposal Bootcamp -- Omaha Nebraska, October 31-November 1, 2012. This event will offer insider tips and winning proposal strategies from experts. Includes a personal review of your proposal. Day one focuses on DoD, DoE, USDA and NSF. Day two focuses on NIH. For more information and to register, visit <http://nbdc.unomaha.edu/venture/events.cfm>, or contact Marisol Uribe Rodriguez, SBIR/STTR Technology Commercialization Consultant at (402) 554-6270, or

murodriguez@unomaha.edu.

* *SBIR/STTR Phase I Proposal Preparation Workshop* -- Orlando, Florida, November 8, 2012. This workshop will help small businesses and entrepreneurs understand SBIR/STTR Phase I funding opportunities and proposal requirements (and post-reauthorization changes). It is designed for newcomers to SBIR/STTR as well as those who are more experienced with the process but want to sharpen proposal preparation skills and learn how to develop a more competitive proposal. For more information or to register, contact jack@ucf.edu.

Technology Roadmapping Workshop -- Scottsdale, AZ, November 8, 2012. The SBIR Technology Roadmapping program is helps early stage ventures improve their ability to write and win SBIR/STTR proposals. Technology Roadmapping methods can help entrepreneurs to better articulate their technology, product and marketplace positions and strengthen proposal work plans and the venture's commercialization plans. This is accomplished through the same high quality group education, one-on-one coaching and connecting services offered by ASU Venture Catalyst through its SBIR/STTR Workshop. For more information and to register, visit asuventurecatalyst.org/p/class/VC-Technology_Roadmap-1912Aug.

SBIR/STTR Phase II Proposal Preparation -- Portland, Oregon, November 13-15, 2012. This event will take place as part of the National SBIR Conference, and will offer insights and advice on preparing your Phase 2 SBIR/STTR proposal. For more information, visit www.sbir.gov/events/portland-oregon-will-host-2012-national-small-business-innovation-research-sbir-and-small-bus.

Annual New Jersey SBIR/STTR Conference -- Newark/Brunswick area, November 28-30, 2012. This event will likely include a Phase 1 proposal preparation workshop on the 28th, a SBIR/STTR cost proposal/government accounting workshop on the 29th, and a Phase 2 proposal prep workshop on the 30th. For more information and online registration visit www.njsbdc.com/sbir beginning 9/15. For additional information, contact RandyGHarmon@aol.com.

Strategic Alliances Workshop -- Scottsdale, AZ, December 11, 2012. The Strategic Alliances Workshop is targeted for SBIR/STTR proposal writers and award winners seeking to build a successful SBIR/STTR alliance. Attendees will hear from, ASU Venture Catalyst entrepreneurial coach, Sharon Ballard, and a group of guest speakers and panelists, including prime contractors, who will discuss an overview of strategic alliances, legal best practices and suggestions, an investors view of strategic alliances, how to build a successful alliance, as well as university and corporate perspectives of strategic alliances. For more information and to register, visit asuventurecatalyst.org/p/class/VC-Strategic_Alliance-1912Aug.

* *Other possible upcoming SBIR training opportunities include:*

SBIR/STTR workshops -- Santa Fe/Albuquerque, New Mexico area, Spring 2013 (tentative)

SBIR/STTR workshops -- Gainesville & Orlando, Florida, Spring 2013 (tentative)

* **Greenwood Consulting Group, Inc.** will provide training at these workshops. Any attendee of one of these workshops is entitled to a free critique of his or her draft SBIR or STTR proposal. If you have questions, contact Gail or Jim Greenwood at (239) 395-9446 (voice & fax) or gail-jim@g-jgreenwood.com, or visit their web site at www.g-jgreenwood.com.

If you are sponsoring or are aware of SBIR workshops in your area and would like to post an announcement feel free to contact us.

>> SOLICITATIONS CURRENTLY OPEN

SBIR

DOE FY 2013 SBIR/STTR Phase I Funding Opportunity Announcement Release 1
Letter of Intent Due September 4, 2012; Applications Due October 16, 2012

science.energy.gov/sbir/funding-opportunities/

USDA FY-2013 SBIR Solicitation

Due September 6, 2012

www.nifa.usda.gov/funding/rfas/sbir_rfa.html

DoD 2012.3 SBIR Solicitation

Due September 26, 2012

acq.osd.mil/osbp/sbir/index.shtml

PHS 2013-1 SBIR Contract Solicitation

Due November 13, 2012

<http://grants.nih.gov/grants/forms.htm#contracts>

PHS 2012-2 SBIR/STTR Omnibus Solicitation of the NIH, CDC, FDA and ACF

Due December 5, 2012;

AIDS and AIDS-related due September 7, 2012, and January 7, 2013

grants.nih.gov/grants/funding/sbir.htm

STTR

DoD 2012.B STTR Solicitation

Due September 26, 2012

acq.osd.mil/osbp/sbir/index.shtml

PHS 2012-2 SBIR/STTR Omnibus Solicitation of the NIH, CDC, FDA and ACF

Due December 5, 2012;

AIDS and AIDS-related due September 7, 2012, and January 7, 2013

grants.nih.gov/grants/funding/sbir.htm

Coming Soon

NASA 2012 SBIR/STTR Solicitation

Expected September 17, 2012

sbir.nasa.gov

DOT FY13.1 SBIR Solicitation

Expected December 10, 2012

www.volpe.dot.gov/sbir

NSF FY-2013 Phase I SBIR Solicitation

LOI due and Solicitation expected to open November 3, 2012 (on the web now)

www.nsf.gov/eng/iip/sbir/

NSF FY-2013 Phase I STTR Solicitation

LOI due and Solicitation expected to open November 20, 2012 (on the web now)

www.nsf.gov/eng/iip/sbir/

>> SBIR/STTR ADDITIONAL RESOURCES

For a listing of and links to participating federal agencies, state/regional SBIR and small business resources, consulting services and more, view the *SBIR/STTR Resources on the Web* file on at visit www.pnnl.gov/edo/opportunities/sbir.stm.

>> SUBSCRIPTION INSTRUCTIONS

To SUBSCRIBE to the SBIR-Alert mailing list, send an email to lyris@lyris.pnl.gov with the following in the subject line or body of your message (your name is optional):

subscribe sbir-alert first_name last_name

example: subscribe sbir-alert joe smith

To UNSUBSCRIBE, send an email to lyris@lyris.pnl.gov with the words "unsubscribe sbir-alert" in the subject line of your message