

# SBIR/STTR Programs Introduction

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# Presentation Overview

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- What is SBIR and STTR?
- Who is eligible?
- Subcontracting – is it allowable?
- The search for solicitations?
- What are some sample projects?
- What assistance is available to NC firms?
- Contact Information

# Brief History of SBIR and STTR

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## SBIR

- Federal Agencies with R&D Budgets in Excess of \$100 Million
- 2.5% Set Aside of Extramural Research Budget
- Currently = \$2 Billion
- \$14 Billion Awarded via 50,000 awards since Inception

## STTR

- Largest 5 agencies participate
- .3% set aside
- Currently = \$100 million

# Three Phase Program

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## Phase I

- Evaluate viability and feasibility of an idea
- Up to \$100K for 6 month period (*STTR 12 months*)
- Win Rates: approx. 1-8 (*varies widely*)

## Phase II

- Expand results and Further pursue development
- Up to \$750K for up to 24 months
- Win Rates: approx. 1-3 (*varies widely*)

## Phase III

- Commercialization

*Tip: STTR Win rates are often better!*

# Participating Federal Agencies

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- Department of Agriculture *(SBIR Only)*
- Department of Commerce *(SBIR Only)*
- Department of Defense
- Department of Education *(SBIR Only)*
- Department of Energy
- Department of Health and Human Services
- Department of Homeland Security *(SBIR Only)*
- Department of Transportation *(SBIR Only)*
- Environmental Protection Agency *(SBIR Only)*
- NASA
- National Science Foundation

*Tip: Don't Judge an Agency by its name!*

# Is Your Firm Eligible?

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- Organized for-profit U.S. business
- At least 51% U.S. owned and independently operated
- Business is located in U.S.
- P.I.'s primary employment is with small business during the project (*either business or university in STTR*)
- 500 or fewer employees

# Important Facts to Remember

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- Eligibility determined at time of award
- PI is not required to have a Ph.D
- PI is required to have expertise to oversee project scientifically and technically
- Applications may be submitted to different agencies for similar work
- Awards may not be accepted from different agencies for the same project

# SBIR/STTR Critical Differences

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## Research Partner

- STTR: R&D **must be a joint effort** between small business and non-profit research institution

## Principal Investigator

- STTR: Primary employment not stipulated [PI can be from research institution or from small business concern]

# Subcontracting

## Two Scenarios

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### **Scenario #1** - SBIR Project:

Small Business can outsource out up to 30% of the work in the Phase 1 and up to 50% of the Phase 2 to any business or research institution

### **Scenario #2** - STTR Project:

At least 30% MUST be outsourced to a non-profit research institution. Another 30% of the work to any business or research institution. Same for P1 and P2.

*Subcontracting can help shore up your project by adding important team members and equipment*

# The program seems like a fit: Now what?

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- The Solicitation Search

# Solicitations

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- **Step #1:** Search Engine
  - [www.zyn.com](http://www.zyn.com)
  - Will help you narrow the playing field
- **Step #2:** Agency websites
  - Solicitation listings can be viewed and downloaded
  - See [www.ncsbir.org](http://www.ncsbir.org) for list of sites
- **Step #3:** Communicate with the Agency
  - Each solicitation provides a specific point of contact
  - Call this person to discuss the fit

# Sample Solicitation

## USDA

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### ■ Air, Water and Soil Topic

—(1) Air Resources - Development of innovative, energy-efficient, cost-effective products, processes, or services that optimize: reduced soil erosion by wind; monitoring air quality; abatement of air pollution stemming from agricultural and forestry enterprises (pollution from animal waste management systems is addressed in Topic Area 8.11); wind utilization for agricultural purposes.

# Sample Solicitation

sbtdc

## Department of Defense - Army

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- **“Innovative Approaches to Increased Power and Efficiency in Components for X-Band Radar for Ground-based Midcourse Defense (GMD)”**
  - OBJECTIVE: Material and circuit development leading to increased power and efficiency, and/or decreased losses in X-Band Radar high power components based on advanced GaAs, wide band-gap (WBG), or other materials offering performance enhancements exceeding current technology.

# Sample Solicitation

sbtdc

## Dept. of Health & Human Services (NIH)

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- **“Innovative Technologies for Enhancing Function For Individuals With Disabilities”**
  - Assistive technology research should be science based, developed in collaboration with consumers, industry, and academia, and result in high- quality products, services or training media that have been evaluated for utilization, efficacy, and functional impact on target audiences. Researchers should pursue the research with the safety, good health, and welfare of the potential user of their technology in mind

# Solicitation Calendar

<b>Agency / Program</b>	<b>Open</b>	<b>Close</b>
<b>ED - SBIR</b>	March 10, 2005	May 9, 2005
<b>DOT - SBIR</b>	February 28, 2005	May 16, 2005
<b>NSF – SBIR/STTR</b>	February 15, 2005	June 8, 2005
<b>DOD - STTR</b>	February 1, 2005	April 15, 2005
<b>NIH – SBIR/STTR</b>	January 14, 2005	April 1, August 1, December 1, 2005
<b>EPA</b>	March 24, 2005	May 25, 2005
<b>DOD - SBIR</b>	May 2, 2005	July 15, 2005
<b>USDA - SBIR</b>	June 6, 2006	August 31, 2005

***Dates are different for each of the 11 agencies!***

# SBTDC Assistance:

## Counseling

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- Help determine if your company is eligible
- Answer general questions during proposal process
- Put you in contact with key individuals, universities and agencies
- Review proposals from a business perspective and make recommendations

# SBTDC Assistance: Information Resources

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- **Website:** [www.ncsbir.org](http://www.ncsbir.org)
  - Program handbook
  - Proposal deadline calendar
  - Newsletter archives
  - Proposal Tips
  - Sample Proposals
  - Proposal tips
  - Success Stories
  - Agency Presentations
  
- **Monthly Online SBIR Newsletter**
  - Email me to sign up

# Proposal Seminars Phase I & Phase II

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**June 6, Afternoon – Phase I**  
**June 7, Morning – Phase II**  
**RTP, NC**



**Presented by the Greenwood Consulting Group**

*Received a complimentary proposal review from the Greenwood's  
good for a year following the event*

# Final Comments

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- Significant amount of funds reserved for small, innovative firms
- Funds high risk projects
- Firm retains IP – no dilution
- Provides valuable credibility
- Offers a simplified route to obtaining federal R&D funds

# Questions ?

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