

# HTR's SBIR/STTR Assistance

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## The SBIR/STTR Program

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# Agenda

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## ➤ **SBIR/STTR Program overview**

- SBIR – Small Business Innovative Research
- STTR – Small Business Technology Transfer

## ➤ **Regional Resources – HTR Assistance**

# SBIR/STTR - overview

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## **SBIR: 2.5% of all Federal R&D**

- Set-aside for Small Business (SmB)
- Projects with potential for commercialization

## **STTR: 0.3% of all Federal R&D**

- Set-aside for cooperative R&D between SmB and U.S. Research Institutions
- Projects with potential for commercialization

**Total - >\$2.2BN...**

# SBIR/STTR - requirements

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## SBIR Requirements – Small Business

- For-profit U.S. business
- 500 or fewer employees
- +51% - owned by individuals
- PI's\* primary employment with SmB\*\*  
**during** project
- Outsource – PH-I<33%, PH-II<50%

\* **PI** – Primary Investigator (Researcher)

\*\* **SmB** – Small Business

# SBIR/STTR - requirements

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## STTR Requirements

- >30% of work by Research Institute
- >40% of work by SmB
- IP agreement – rights with SmB
- Funding awarded to SmB

# SBIR/STTR - requirements

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## STTR – The Research Institute

- Located in the US
- Meets **one** of the above:
  - Nonprofit college or university
  - Domestic nonprofit research organization
  - Federally funded R&D center (FFRDC)

# SBIR/STTR – PI - Primary Investigator

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## Education:

- Ph.D. not mandatory – expert in the field

## SBIR:

- >50% employed by SmB during project

## STTR:

- Employment with research institution and/or SmB (>40% of work by SmB)

# Phases of Funding

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## **Phase I - Feasibility Study**

- \$100K over 6-9 months (SBIR), or 12 months (STTR)

## **Phase II - Complete R&D – Commercial Prototype**

- \$750K (up \$1MM) and 2-year Award
- Commercialization assistance— DOE, NIH, etc.
- Open to PH-I winners only

## **Phase III - Commercialization**

- Use of non-SBIR/STTR Funds
- “Sole-Source” Status

## **Gap Funding**

- Fast Track – Combined Ph-I & Ph-II proposal
- Extensions & continuations

# Agency Funding Topics – don't follow the name

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	Info Processing	Electronics	Materials	Mechanical Performance	Energy	Environ & Natural Resource	Life Sciences
DOD	●	●	●	●	●	●	●
DOE	●	●	●	●	●	●	●
NASA	●	●	●	●	●	●	●
NIH	●	●	●	●	●	●	●
NSF	●	●	●	●	●	●	●
DOT	●	●	●	●	●	●	●
EPA		●	●	●	●	●	●
ED	●	●	●	●	●	●	●
USDA	●	●	●	●	●	●	●
DOC	●	●	●	●	●	●	●
DHS	●	●	●	●		●	●

# >\$2BN in Grants & Contracts

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## Contracting Agencies

- ⇒ Highly focused topics
- ⇒ Procurement mechanism for DOD and NASA
- ⇒ More fiscal requirements
- ⇒ “Sole Source” potential



**DOD**  
**NASA**  
**EPA**  
**ED\***

**HHS/NIH\***  
**DOC**  
**DOT**  
**DHS**

## Granting Agencies

- ⇒ Investigator initiated
- ⇒ Less-specified topics
- ⇒ Assistance mechanism
- ⇒ More flexibility
- ⇒ Commercialization!!!



**HHS/NIH\***  
**NSF**  
**ED\***

**DOE**  
**USDA**

\* Awards Grants and Contracts

# Writing A Winning SBIR/STTR proposal

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***You can do it!***

***HTR can Help...***



# HTR – Finger Lakes by the numbers

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## Finger Lakes numbers-

- ~40 awards to ~15 firms
- SBIR mega-winners

## National rates

- PH-I: ~15% among those that comply with rules
- PH-II: ~33%-40%
- STTR rates usually higher than SBIR (+5%)

# HTR - SBIR/STTR Assistance

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## Goals

- More and Better grant proposals
- More Companies applying

## Initiatives

- Program Education
  - SBIR 101 – ~May
  - SBIR 202 – ~November
- Proposal Review and enhancement
- Grant Writers and resource identification

**New Program - HTR-MEP NIH Ph-II support**



# HTR - SBIR/STTR Assistance

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## Solicitation identification

- Let us know what you are looking for
  - [rami.katz@htr.org](mailto:rami.katz@htr.org), (585) 214-0596
  - Schedule a meeting
  - Send a company summary
- Will notify when we see a relevant solicitation

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## Research and Commercialization partners

- Strategic Partners
  - Customers
  - Manufacturers, Channel Partners
  - Government users – see also ***PTAC***
- Research Partners
  - Enhance your team
  - Access to equipment
- Letters of Support
  - Scientific validation

# HTR - SBIR/STTR Assistance

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## Phase 0 – Grant Writing support

- Four page executive summary
- Competitive basis
- \$2,500 grant – 1+ award per month
  - Potential for \$5,000 grant – special occasions only
  - Submit by the end of the Month
  - Award on 16<sup>th</sup> of the next month
- Reimbursement for grant preparation expenses
- Must submit SBIR proposal

# SBIR/STTR –resources

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## Where Can I find the grants

- [www.sbirworld.com](http://www.sbirworld.com)
- <http://zyn.com/sbir/>
- [www.grants.gov](http://www.grants.gov)

## SBIR/STTR program overview

- Program information - <http://www.sba.gov/sbir/>
- How to integrate SBIR into your business strategy:  
<http://www.sba.gov/gopher/Innovation-And-Research/SBIR-Pro-Prep/>

## Getting Started

- Grant proposal registration -  
[http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp)
- NIH – Grant Application guide:  
<http://grants.nih.gov/grants/funding/sbir.htm>

# SBIR/STTR –resources cont.

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## Proposal samples (5-6 years old)

- [http://www.sbir.dsu.edu/sbhti/home/proposal\\_preparation/sample\\_proposals/samples.htm](http://www.sbir.dsu.edu/sbhti/home/proposal_preparation/sample_proposals/samples.htm)
- **Search award winners -**  
<http://www.sba.gov/sbir/indextechnet.html>
- **Agency web-sites**
- **List serves**

# Questions?

Contact:

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