FOSTER
Ambassador Training

October 29, 2020

UNH
Innovation

WELCOME & AGENDA

I. Introductions

II. FOSTER Overview

III. BBC: How to ID an SBIR/STTR Candidate?

IV. Q&A

V. Next Steps and Housekeeping

UNH Innovation

Congratulations on FAST Win

- SBA FAST (Small Business Administration Federal And State Technology) Partnership Program

- *Objective*: increase SBIR (Small Business Innovation Research) and STTR (Small Business Technology Transfer) grants in NH

- FOSTER (**FO**cused **S**BIR/STTR **T**eaching, **E**quity and **R**esults)

- 1 year program with potential for 2 add'l years

Note: SME = Small & Medium Enterprise. SBA defines <500 employees

UNH Innovation

FOSTER Objectives
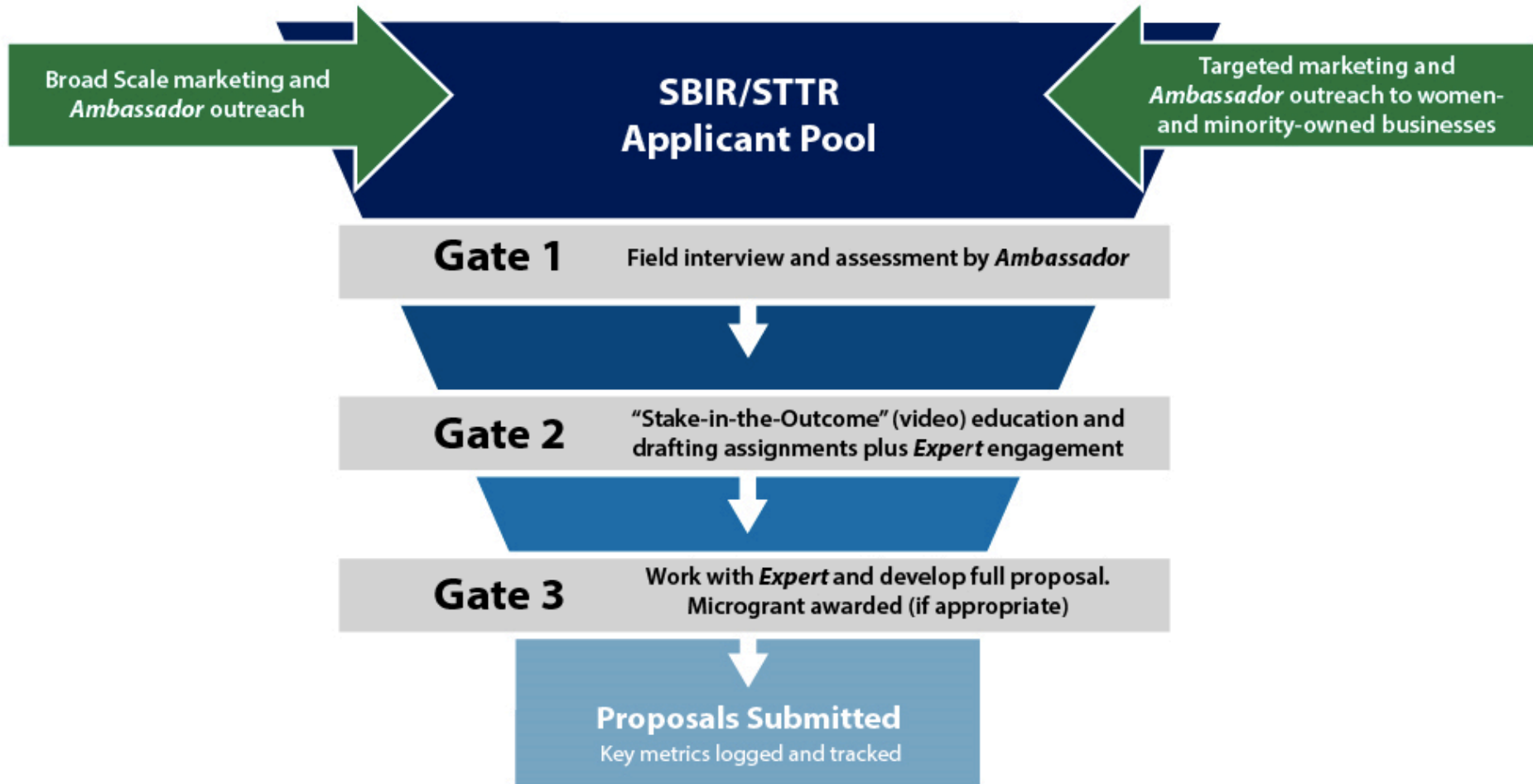
I.   Promote growth of the NH technology SME's

    a.   Increase # SBIR/STTR applications

    b.   Increase Win Rate

II.   Increase participation women- and minority-owned SME

III.   (Pilot) Mentor Program

IV.   Win follow-on Award(s)

Program Highlights

- Stage Gate/Stake-in-the-Outcome Process: FOSTER FAST Funnel

- Heavy Marketing & Outreach

  - *Ambassadors/Experts*

  - *Collaboration: UNHI/SBDC/Extension/BEA*

  - *Specialized Partners: CWE/WF/SCORE – Others?*

- Assistance/Services

  - *Training & Education (videos)*

  - *Advice*

  - *Grant writing = Microgrant program*

  - *Mentoring*

FOSTER FAST Funnel

FOSTER FAST Funnel

Broad Scale marketing and *Ambassador* outreach

SBIR/STTR Applicant Pool

Targeted marketing and *Ambassador* outreach to women- and minority-owned businesses

Gate 1 — Field interview and assessment by *Ambassador*

Gate 2 — "Stake-in-the-Outcome" (video) education and drafting assignments plus *Expert* engagement

Gate 3 — Work with *Expert* and develop full proposal. Microgrant awarded (if appropriate)

Proposals Submitted
Key metrics logged and tracked

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SBIR/STTR Funding

Assessing Companies for SBIR/STTR Participation

October 29, 2020

Presenter:

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Managing Partner
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bbcetc.com / @BBC_etc

DEVELOPING THE BUSINESS OF TECHNOLOGY

About BBCetc

BBCetc works with technology-based entrepreneurs and companies on strategies to advance R&D efforts to commercialization. We are nationally recognized for our success in helping clients win federal funding through the SBIR/STTR programs and use it tactically to propel growth. Services include training courses and one-on-one counseling in:

- SBIR/STTR and Other Research Grant Assistance
- SBIR/STTR and Commercialization Training
- Grants/Contracts Management
- Programs for Entrepreneurial Support Organizations

www.bbcetc.com / 734-930-9741 / @BBC_etc
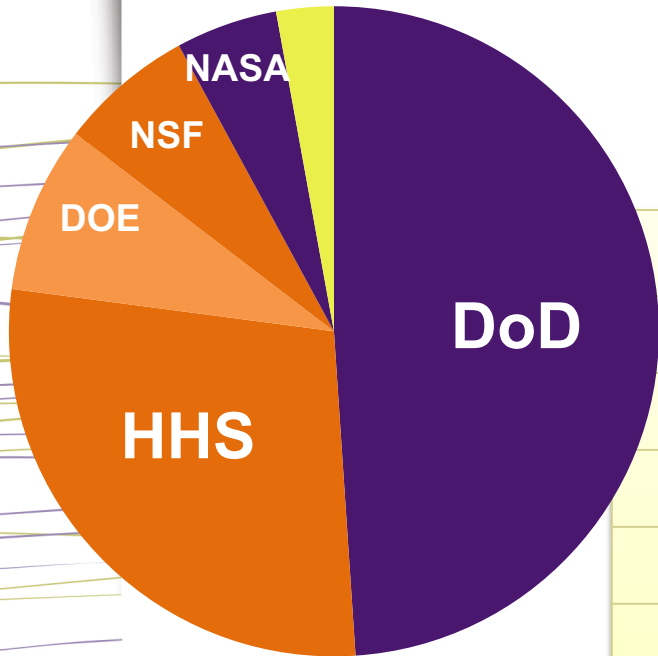
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Why SBIR/STTR?

What is the SBIR/STTR Program?

A ~$3.6 Billion+ Federal Funding Program

- **SBIR**: Small Business Innovation Research

- **STTR**: Small Business Technology Transfer

  - Support **small business** to:

    - Stimulate **technological innovation** to

    - Develop **products** with **commercial merit**

    - Create jobs

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11 Participating Federal Agencies

TOTAL: ~$3.7 B FY 2019

SBIR and STTR	SBIR Only
DOD - $1.8 B	USDA - $30 M
HHS - $1.15 B	DHS - $17 M
DOE - $308 M	DOC-NOAA - $9.5M
NSF - $212 M	ED - $8.4 M
NASA - $183 M	DoT – 5.2 M
	DOC-NIST - $3.9 M
	EPA - $3.6 M

Orange: Grant
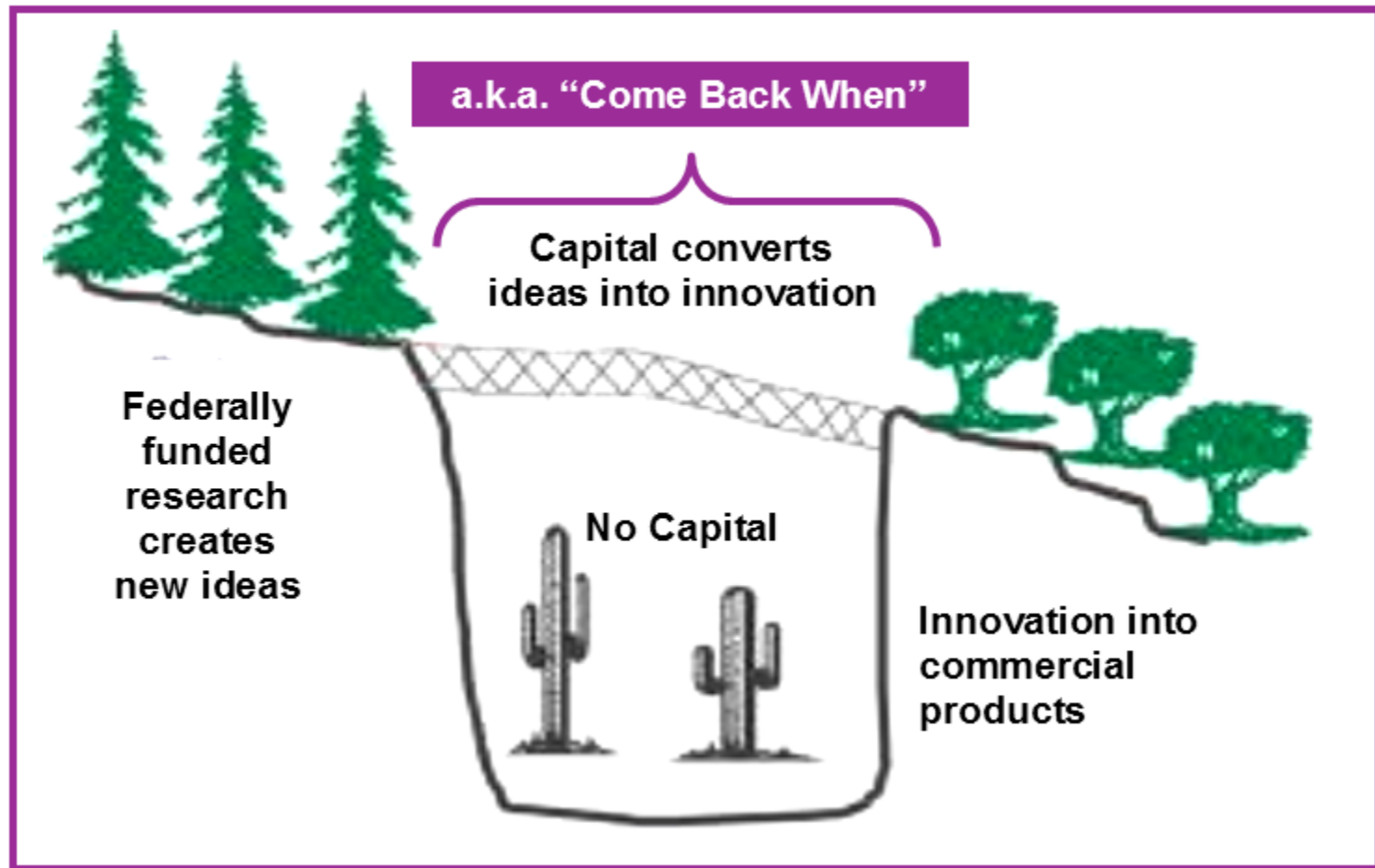
Purple: Contract

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Where does SBIR/STTR Fit?
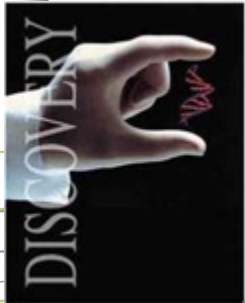
Component of a Funding Strategy

- Debt

- Equity

- Non-Dilutive

WHAT IS YOUR STRATEGY?

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Goal of SBIR/STTR Programs

a.k.a. "Come Back When"

Capital converts ideas into innovation

Federally funded research creates new ideas
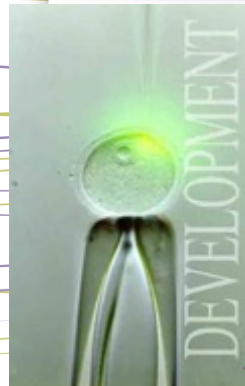
No Capital

Innovation into commercial products

SBIR/STTR: 3-Phase Competitive Program

PHASE I **Feasibility Study**

- Award Guideline: $150K … varies by Agency … can rise to $252,131K
- Duration: 6 months (SBIR)/12 months (STTR)

PHASE II **Full Research, R&D to Prototype**

- Award Guideline: $1M (SBIR)/$1M (STTR) … varies by Agency … can rise to $1.68M, or more with waiver
- Duration: 2 years

PHASE III **Commercialization**

- Subsequent investment to achieve commercialization, or sale
- Use of non-SBIR/STTR Funds

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SBIR vs. STTR

SBIR	STTR
Applicant is ALWAYS the Small Business Concern (SBC)	
Allows outsourcing*	Requires outsourcing* • 1° subcontractor must be a non-profit research institution
Maximum outsourcing limits • ≤ 33% of Phase I • ≤ 50% of Phase II	Minimum participation requirements • ≥ 40% by SBC • ≥ 30% by SBC 1° subcontractor
PI must be employed by SBC • > 50% of full time equivalent	PI may be employed by SBC or 1° Subcontractor • > 50% of full time equivalent • ≥ 10 % effort on project
Company MUST have "company controlled R&D facilities suitable to do work proposed"	

*outsourcing includes work done by subcontractors and consultants

Assessing Company "Fit" for SBIR

Is the company a fit? Consider….

SBIR Review Criteria

➢ Environment
■ Significance
■ Innovation
■ Investigators
■ Approach

+

Prerequisites

➢ Eligibility
■ Agency Interest
■ Proper registrations

➢ Area of focus for Ambassadors. Rest be aware

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Company Eligibility Questions to ask

All answers must be YES to receive SBIR/STTR funding

- Does the company plan to conduct <u>technology-driven R&D</u> that will be developed into <u>products</u>?
- Are they an <u>existing</u> <u>for-profit</u> small <u>business</u> (<500 employees)?
  - Based in and doing all project work in <u>U.S.</u>?
  - With <u>employees</u> qualified to conduct a <u>minimum</u> of either 2/3 of the <u>research work</u> for SBIR, or a minimum of 40% of the research work for STTR?
  - With employees who are <u>citizens</u> or <u>permanent residents</u>?
  - With <u>company-controlled research facilities</u>?
- Are they owned 51%+ by individuals?*

*If NO, there are also more complicated questions about ownership and control of the company that you'll need to address to determine eligibility.

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Program "Fit" Questions to ask

Are these issues an obstacle for your client company?

- The company CANNOT be "virtual"—are they able to obtain company-controlled research facilities?

- Are they willing to comply with detailed proposal, agency registration and reporting requirements?

- Can they articulate the specific end product from their R&D and how it will be commercialized?

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More Program "Fit" Questions to ask

Are these issues an obstacle for your client company?

- Is the money "worth" the effort for the company ($150k-$225k Phase I, $1m-$1.5m Phase II)….

- ….knowing that they will wait 9-12 months to learn if they are funded….

- …and that the average funding success rate is ~12-15% for Phase I and ~40% for Phase II?

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How Companies are Competitive in SBIR/STTR

- Understand the philosophy of the Agency
- Understand the review process
- Understand the psychology of the reviewers
- Develop and follow a strategic plan
- Develop a credible Commercialization Plan
- Follow the rules

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www.sbir.gov

More SBIR info
www.bbcetc.com

Open Solicitations

Agency	Solicitation		Release	Open	Close
DOE					

TYPICAL PHAS

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DO					
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SBIR/STTR FAQ

What are the Small Business Innovation Research (SBIR)/Small Business Technology Transfer (STTR) Programs?	⊕
What is the background of the SBIR/STTR Program?	⊕
Which federal agencies participate?	⊕
What are the benefits of the program to entrepreneurs and small companies?	⊕
How does SBIR/STTR compare to venture capital funding?	⊕

SBIR/STTR Assessment Form

Before you submit your Assessment Form, we strongly suggest that you watch our free webinar "ABC's of SBIR/STTR ." Once the form is received, one of our consultants will schedule a call with you to answer your questions, determine your current status and discuss how we can best help you. There is no charge for this call. *The info provided in the webinar together with your Assessment Form make for a more productive and useful call.*

Name *

First	Last

Preferred Email *

Phone *

Company/organization name (if not formed put "none") *

What is your title within the company? (i.e., President, Founder, CEO, CSO, etc.) *

Is your Company *

Women Owned
Veteran Owned
African American Owned
American Indians owned
Owned by Alaska Natives, Hispanics or Asians and Pacific Islanders
Project Principal Investigator is a member of one of these groups
None of the above

In what year was the company formed? (if not formed put "none") *

SPECIAL PROGRAMS
- Michigan Assistance Program
- SHARPhub
- SBIR Accelerate CT
- BioGenerator

SBIR/STTR
- Solicitation Dates
- Registration Requirements
- Helpful Links
- SBIR/STTR FAQ

Join Our Mailing List

SBIR/STTR ASSESSMENT FORM

Please fill out the following to help us understand how we can best help you with your SBIR/STTR plans.

Name *

[ ] [ ]
First   Last

Email *

[ ]

Phone *

[ ]

Company/organization name (if not formed put "none") *

[ ]

What is your title within the company? (if not formed put "none") *

[ ]

In what year was the company formed? (if not formed put "none") *

[ ]

If formed, is your company an S-Corp, C-Corp, LLC or Other

○ S-Corp

○ C-corp

○ LLC

○ Other

If "other", please explain:

[ ]

Address *

[ ]
Street Address

[ ]
Address Line 2

[ ] [ ]
City   State

[ ]
ZIP Code

Were you referred to BBCetc by another organization? If so, please provide the organization's name: *

[ ]

ELIGIBILITY REQUIREMENTS

Does your company fulfill the following SBIR/STTR eligibility requirements?

Does your company have less than 500 employees? *

○ Yes

○ No

Is the majority of the company (>51%) owned by individuals? *

○ Yes

○ No

If yes, are they US Citizens/Permanent Residents?

○ Yes

○ No

Does the company have any institutional, corporate and/or non-US owners? *

○ Yes

○ No

Do you have company-controlled R&D space? *

○ Yes

○ No

If no, have you identified space that you will move into at the time of award?

○ Yes

○ No

If yes, please describe the company facilities and identify their location:

[ ]

Have you identified a Principal Investigator (PI) who will be 51% employed by the company at the time of award? *

○ Yes

○ No

○ We plan to do an STTR and have identified a PI at a collaborating institution

Briefly describe the background and qualifications of the PI: *

[ ]

TELL US ABOUT YOUR SBIR/STTR PROJECT

Please answer the following questions that relate to your SBIR/STTR project and related technology/product.

Which Federal Agency(ies) do you plan to apply to? *

- ☐ National Institutes of Health (NIH)
- ☐ National Science Foundation
- ☐ Dept. of Defense (DoD)
- ☐ Dept. of Energy (DoE)
- ☐ U.S. Dept of Agriculture (USDA)
- ☐ Another Agency
- ☐ Don't know yet

If you answered "another agency" above, to which agency do you plan to apply?

Briefly describe the product to be developed: *

Briefly describe the "technological innovation" to be implemented in the product? *

Who is the intended customer for your product? *

Briefly describe your commercialization strategy? *

PREVIOUS SBIR EXPERIENCE

Have you ever applied for SBIR/STTR before? *
- ○ Yes
- ○ No

Have you received any SBIR/STTR awards? *
- ○ Yes
- ○ No

Briefly describe any previous/current SBIR/STTR awards: *

How would you describe your proposal-writing experience? *
- ○ No previous proposal-writing experience
- ○ I've helped people write proposals
- ○ I've written proposals before but not SBIR/STTRs
- ○ I've written unsuccessful SBIR/STTRs
- ○ I've written successful SBIR/STTRs

Have you attended any SBIR/STTR training? If so, please describe briefly. *

Have you identified an Agency and solicitation? What is the submission deadline? *

Is there anything else you would like to add?

What do we need from you?

- ID Technology companies for the program
  - Review current SME's
  - Test as part of normal engagement
- Participate in monthly Ambassador update calls (1 hour)
- Reach out to network for participation in training and speaker series/webinar events
  - 1st speaker event will be in late November
  - 1st SME training = December 9th (BBC to provide)
- ID opportunities where FOSTER can present (outreach)

Housekeeping

- FOSTER Contact Data
  - Marc Eichenberger, marc.Eichenberger@unh.edu, m.978-290-2273
  - Heather Gordon, Heather.Gordon@unh.edu, w. 603-862-1009
  - BBC: www.bbcetc.com; info@bbcetc.com; 730-930-9741

- 2nd Ambassador Training – Friday, Nov 20 at noon

- Full-day training for companies, Dec 9

- More materials coming: web page, tools, video, other

Thank You