WELCOME & AGENDA

I. Introductions

II. FOSTER Overview

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

IV. Q&A

V. Next Steps and Housekeeping
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 (FOcused SBIR/STTR Teaching, Equity and Results)
- 1 year program with potential for 2 add’l years

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

**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
SBIR/STTR Funding

Assessing Companies for SBIR/STTR Participation

October 29, 2020

Presenter:
Becky Aistrup
Managing Partner
becky@bbcetc.com
bbcetc.com / @BBC_etc
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
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
11 Participating Federal Agencies

TOTAL: ~$3.7 B FY 2019

<table>
<thead>
<tr>
<th>SBIR and STTR</th>
<th>SBIR Only</th>
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<tbody>
<tr>
<td>DOD - $1.8 B</td>
<td>USDA - $30 M</td>
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<tr>
<td>HHS - $1.15 B</td>
<td>DHS - $17 M</td>
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<tr>
<td>DOE - $308 M</td>
<td>DOC-NOAA - $9.5M</td>
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<tr>
<td>NSF - $212 M</td>
<td>ED - $8.4 M</td>
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<tr>
<td>NASA - $183 M</td>
<td>DoT – 5.2 M</td>
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<td></td>
<td>DOC-NIST - $3.9 M</td>
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<td>EPA - $3.6 M</td>
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Orange: Grant
Purple: Contract
Where does SBIR/STTR Fit?

Component of a Funding Strategy

- Debt
- Equity
- Non-Dilutive

What is your strategy?
Goal of SBIR/STTR Programs

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
## SBIR vs. STTR

<table>
<thead>
<tr>
<th>SBIR</th>
<th>STTR</th>
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<tbody>
<tr>
<td><strong>Applicant</strong> is ALWAYS the Small Business Concern (SBC)</td>
<td></td>
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<tr>
<td>Allows outsourcing*</td>
<td>Requires outsourcing*</td>
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<tr>
<td></td>
<td>• 1° subcontractor must be a non-profit research institution</td>
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<tr>
<td><strong>Maximum outsourcing limits</strong></td>
<td>Minimum participation requirements</td>
</tr>
<tr>
<td>• ≤ 33% of Phase I</td>
<td>• ≥ 40% by SBC</td>
</tr>
<tr>
<td>• ≤ 50% of Phase II</td>
<td>• ≥ 30% by SBC 1° subcontractor</td>
</tr>
<tr>
<td><strong>PI must be employed by SBC</strong></td>
<td>PI may be employed by SBC or 1° Subcontractor</td>
</tr>
<tr>
<td>• &gt; 50% of full time equivalent</td>
<td>• &gt; 50% of full time equivalent</td>
</tr>
<tr>
<td></td>
<td>• ≥ 10 % effort on project</td>
</tr>
<tr>
<td><strong>Company MUST have</strong></td>
<td></td>
</tr>
<tr>
<td>“company controlled R&amp;D facilities suitable to do work proposed”</td>
<td></td>
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</tbody>
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*outourcing 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
Company Eligibility Questions to ask

All answers must be YES to receive SBIR/STTR funding

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

www.bbcetc.com
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”) *

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 BBCelo 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?
Questions
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