SMALL BUSINESS INNOVATION RESEARCH (SBIR) & TECHNOLOGY TRANSFER (STTR) OVERVIEW

University of Colorado Colorado Springs, September 2020

HANOVER RESEARCH

PRESENTER

Tom Kuhn

- Started career as program officer at private foundation sponsoring university research
- 20+ years leading grantwriting for research and programs at community colleges, universities, and complex nonprofits
- Extensive experience supporting initiatives in higher education, agriculture and agribusiness, public broadcasting, health IT, health sciences research, STEM research and education, small business innovation research, and commercialization
- ***Strong focus on innovative research and pathway from R&D to commercialization***
- $200+ million funding secured from government agencies and foundations

AGENDA

1. Overview of SBIR/STTR program
2. Federal agencies funding SBIR/STTR
3. Alignment & approach: key pre-proposal steps
4. Evaluation criteria
5. Characteristics of competitive proposals
6. Q&A

1. OVERVIEW OF SBIR/STTR PROGRAMS & FUNDING AGENCIES

SBIR/STTR

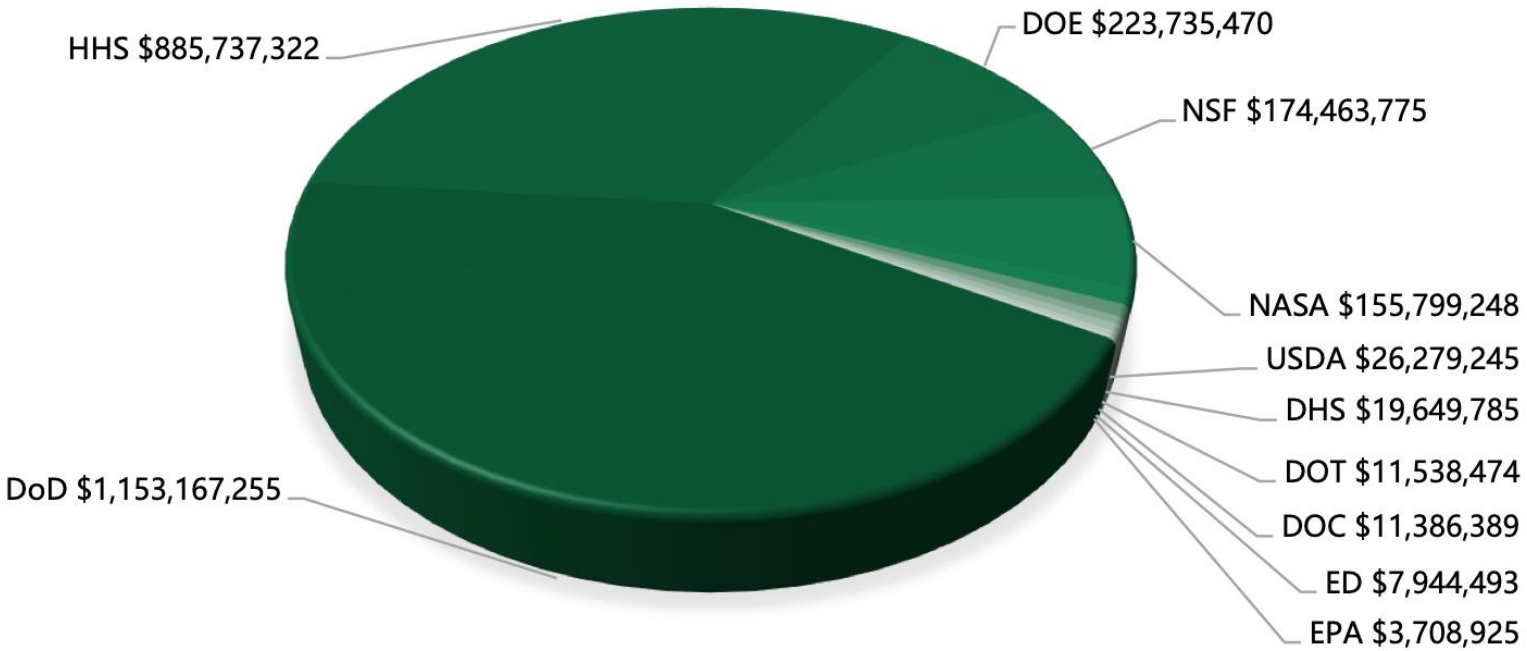
"Support scientific excellence and technological innovation through the investment of federal research funds in critical American priorities to build a strong national economy… one small business at a time"

www.sbir.gov

OVERVIEW

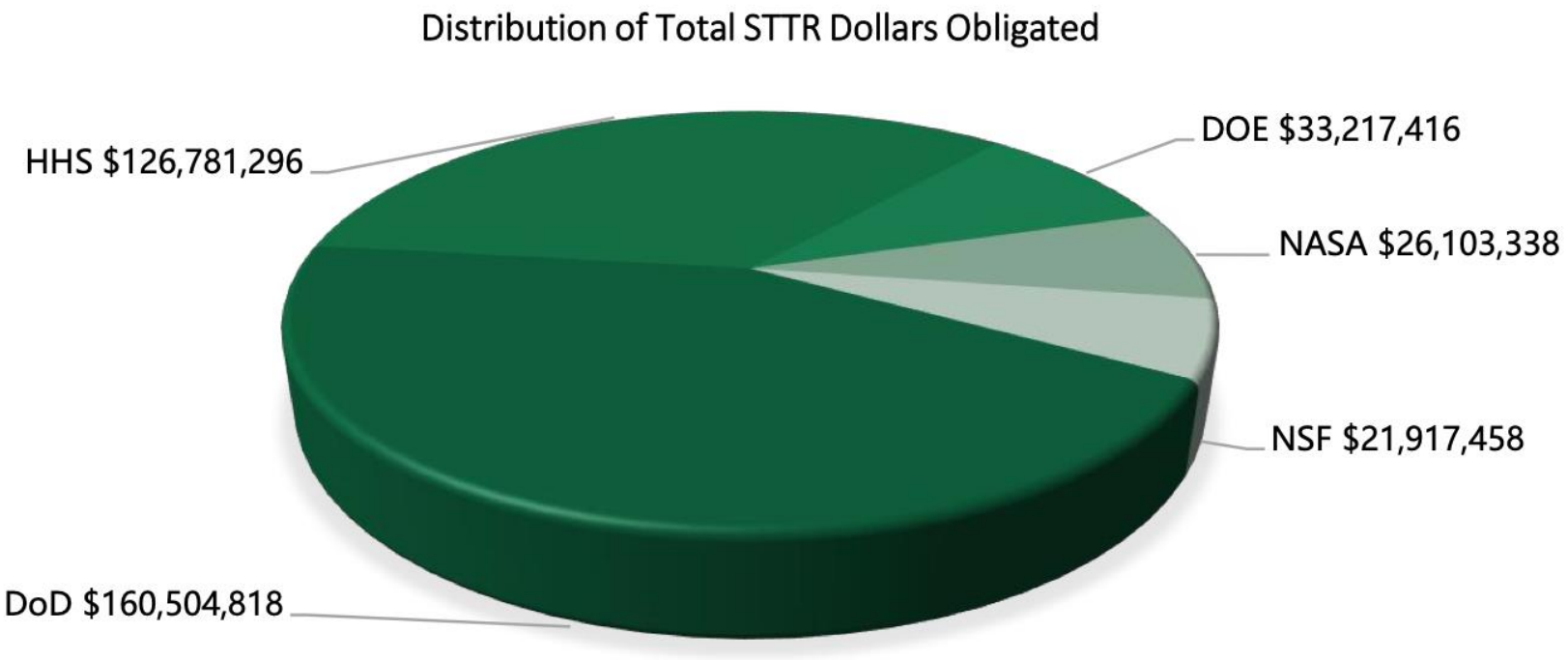
- Only agency-wide funding mechanism
- Largest source of federal grant funding for small business
- $43+ billion funded; ~160,000 awards (since 1970s)
- ~$2.5 billion annual set aside
- Supports R&D and financing of cutting-edge technologies
  - ***SBIR*** *= 3.2% of annual budget for agencies with $100+ million annual budget*
  - ***STTR*** *= 0.45% of annual budget for agencies with annual budgets >$1 billion*
- *Non-dilutive early-stage investment(s)*
- *Focus on scientific/technical innovation & commercialization*
- *www.sbir.gov*

SBIR SPENDING 2017



$2,673,410,381 (~75% obligated by DoD and NIH)

STTR SPENDING 2017

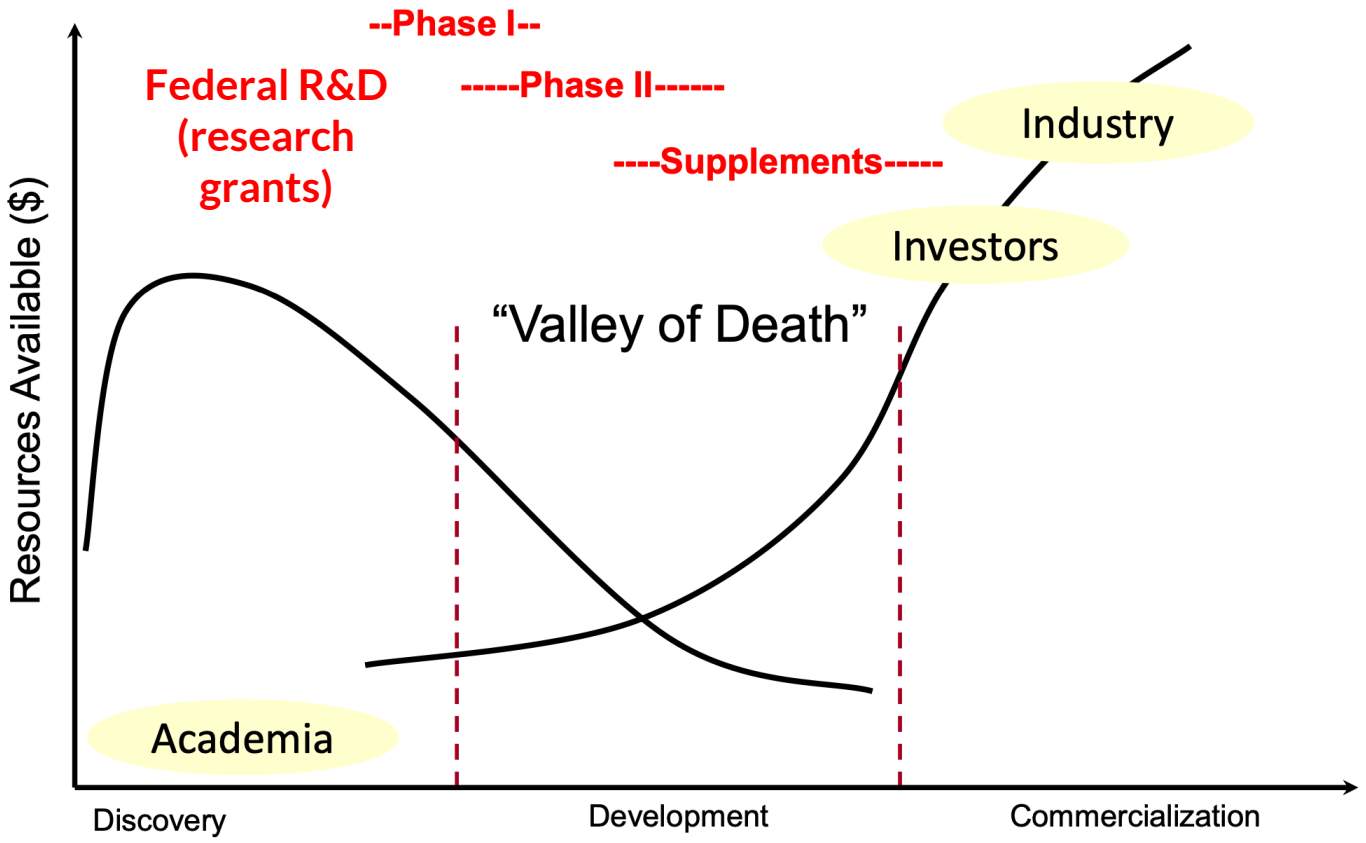


$368,524,326 (~78% obligated by DoD and NIH)

PROGRAM GOALS

- Stimulate technological innovation with commercial potential
- Advance U.S. patents and technology development, leadership, and competitiveness
- Leverage small business to meet federal R&D needs
- Encourage participation by socio-economically disadvantaged firms (e.g., minority- and female-owned companies)
- Fund cooperative R&D between small businesses and research institutions (i.e., STTR vs. SBIR)
- Bridge the funding gap (i.e., "valley of death") between fundamental research and commercial marketplace
  - *Supports scientific innovation & reduce risk to commercialization*
  - Several agencies (e.g., NSF and NIH) leverage substantial training and mentoring to support company success

SBIR LOGIC


--Phase I--
Federal R&D (research grants)
-----Phase II------
----Supplements-----
Industry
Investors
"Valley of Death"
Academia
Resources Available ($)
Discovery
Development
Commercialization

UNIQUE FUNDING OPPORTUNITY

Support scientists and engineers working to develop and grow a small business and advance technology transfer of federally-supported R&D

- *Unique funding to move innovative R&D results to market*
  - Non-dilutive
  - No control
  - Retain intellectual property (IP)
  - Not a loan, nothing to pay back
- *Emphasis on innovation* is important in both programs – implies novel approach to pressing problems or needs identified by an agency
- Must clearly identify the *innovation and commercial potential*
- Approach should be unproven and involve an element of technical risk and quantifiable commercial opportunity

SBIR VS. STTR

Small Business Innovation Research (SBIR)

- Support scientific excellence through technological innovation
- Funding to study technological innovation and incentive to profit
- Four priorities:
  1. Stimulate technological innovation
  2. *Meet federal R&D needs*
  3. *Foster innovation and entrepreneurship*
  4. Increase private sector commercialization of innovations derived from federal R&D

Small Business Technology Transfer (STTR)

- Expansion of public/private sector partnerships
- Small business required to formally collaborate with a research institution in phases I and II
- Three priorities:
  1. Stimulate technological innovation
  2. *Foster technology transfer through cooperative R&D between small businesses and research institutions*
  3. Increase private sector commercialization of innovations derived from federal R&D

THREE-PHASE PROGRAMS

***Phase I:* Establish technical merit (proof-of-concept) and commercial potential**

- Determine quality of performance of the small business awardee organization prior to providing further federal support ~$150,000 total costs over 6-8 months

***Phase II:* Continue R&D efforts towards market-ready product or service**

- Funding is based on the results achieved in Phase I and the scientific and technical merit and commercial potential of the project proposed in Phase II ~$1,000,000 total costs up to 2 years

***Phase III:* Pursue commercialization objectives resulting from phase I/II R&D**

- Federal agencies generally do not fund Phase III
  - May involve supplemental non-SBIR funded R&D or production contracts for products or services intended for use by the U.S. Government
  - NIH and DoD have specialized programs and authority to exceed the hard caps

ELIGIBILITY REQUIREMENTS

- Applicant organized as for-profit U.S. business
- Small business = 500 or fewer employees, including affiliates
- Greater than 50% U.S.-owned
- Independently operated (with some exceptions)
- Work must be done in the U.S. (with few exceptions)
  - *Eligible foreign subcontractors must perform authorized work in the U.S.*
- No more than 50% owned by venture capital firm (with some exceptions)

SBA ELIGIBILITY GUIDE

SBA's *Guide to SBIR/STIR Program Eligibility* helps applicants:

- Understand the programs' eligibility requirements
- Determine if they will be eligible at the time of award
- Accurately complete the necessary certification
- *https://www.sbir.gov/sites/default/files/elig_size_compliance_guide.pdf*

PI REQUIREMENTS

PI and team are essential components for competitive application

SBIR

- Not required to have a terminal degree
- Required to have appropriate expertise to oversee project scientifically and technically
- Must be "primarily employed" by the small business at time of award
  - *Requirements vary by agency: all agree no other full-time employment during award period*

STTR

- Same as SBIR for NSF
- Other agencies more flexible – PI can be primarily employed by either small business or non-profit

WORK EFFORT

Application and subcontractor

- ***SBIR***: Small business must perform at least 66% (2/3^{rds}) of the R&D work in phase I and at least 50% in phase II
  - Up to 33% can be subcontracted in phase I
  - Up to 50% can be subcontracted in phase II
- ***STTR***: Small business must perform at least 40% of the work with the collaborating research institution performing no less than 30%
  - Up to 60% can be subcontracted in phases I and II

Principal Investigator (PI)

- PI must be "primarily employed" by the small business during award period
- Review agency solicitations to ensure compliance!

MULTIPLE APPLICATIONS

Applications may be submitted to different agencies for similar and/or iterative R&D work

- Awards may not be made or accepted from different agencies for duplicative projects
- Businesses can apply for an receive multiple SBIR/STTR awards
  - *Work must be technically distinct*

VS. VENTURE CAPITAL

- Typical angel or VC wants to understand risk and reward
  - Low risk (= *minimal technological hurdles*)
  - Clear path to market
  - Strong return on investment (ROI)
- SBIR/STTR wants to understand technological barrier(s) and approach to *overcome barrier(s) and support commercialization*
  - Path to market has technical barrier (significant hurdles = higher risk)
  - Seeks to understand innovative scientific/technical research that will help to overcome barriers and commercialization plan
  - Small business identifies measures to know that barrier has been overcome; agency monitors progress and subsequent investments
  - *Success with SBIR/STTR improves positioning for investors and customers*

2. SBIR/STTR FUNDING AGENCIES

SBIR FUNDING AGENCIES

Federal agencies with extramural R&D budgets that exceed $100 million are required to allocate 3.2 percent (FY17) of their R&D budget to SBIR

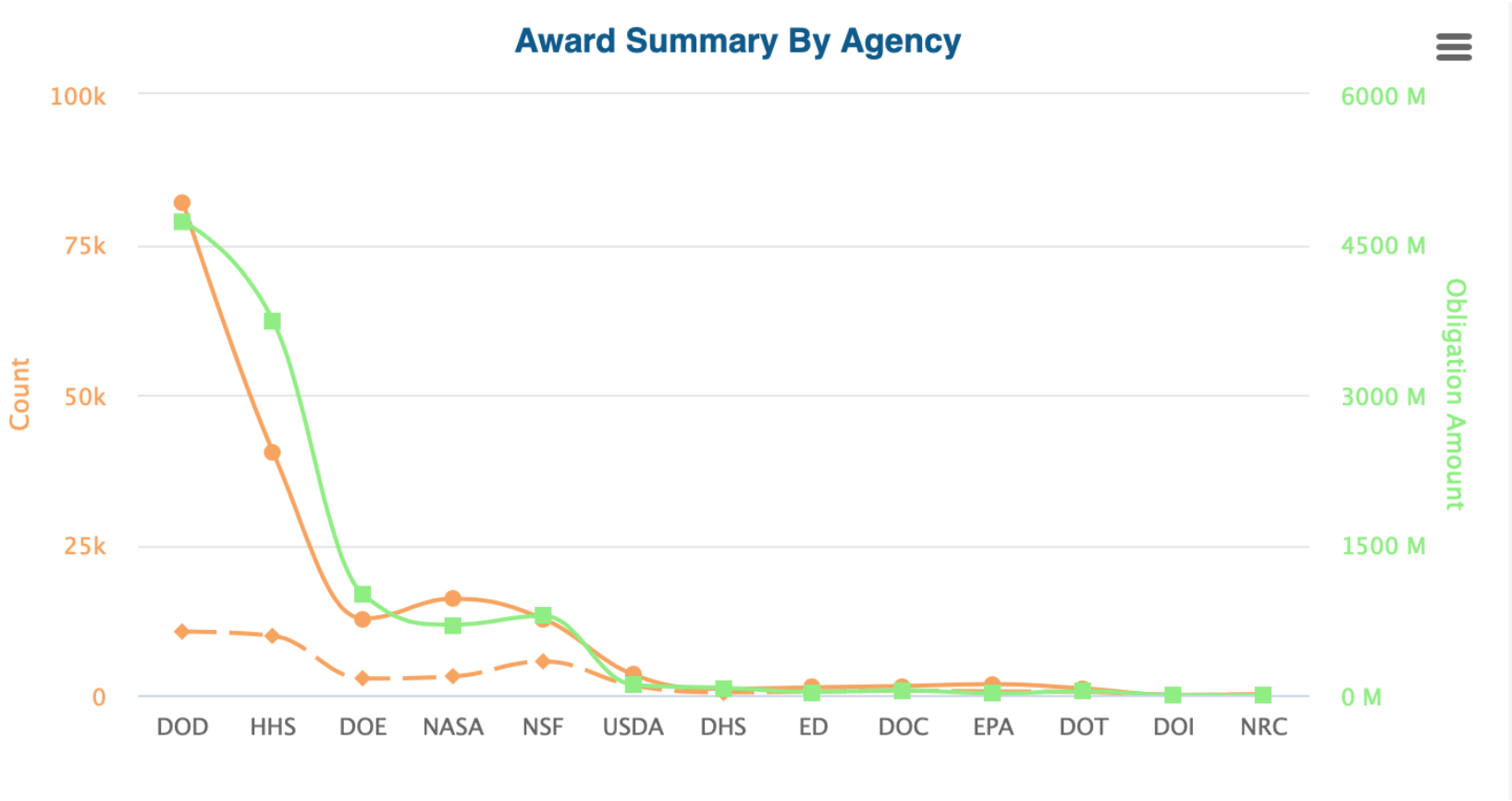
- Each agency has a unique mission and should be viewed as distinct customer
- *Eleven (11) federal agencies participate in the SBIR program:*

STTR FUNDING AGENCIES

Federal agencies with extramural research and development (R&D) budgets that exceed $1 billion are required to reserve 0.45% (FY17) of the extramural research budget for STTR awards to small businesses

- Each agency has a unique mission and should be viewed as distinct customer
- *Five (5) agencies participate in the STTR program (aka the "big 5"):*

AWARD STATISTICS



Source: https://www.sbir.gov/analytics-dashboard

NATIONAL SCIENCE FOUNDATION

- Annual budget of ~$8.1 billion; NSF funds ~27% of all federally-supported basic research
  - SBIR/STTR annual budget ~$200 million = *roughly 400 awards per year*
  - ***Phase I***: up to $225,000 develop proof-of-concept (6-12 months)
  - ***Phase II***: up to $750,000 (up to 2 years)
- Resides in Division of Industrial Innovation and Partnerships (IIP)
  - Mission: "Enhance economic competitiveness by catalyzing the *transformation of discovery into societal benefits*"
- Solicitations extremely broad
  - Invests in all areas of science and engineering
  - Applicants identify problem and propose technical solution ***and*** business strategy
  - Requirement to use "Project Pitch" system (see *https://nsfgov.secure.force.com/sbir*)
- *Focus on early-stage, high-risk technology at the pre-seed level*
  - R&D that overcomes significant technical hurdles
  - Program Directors have deep technical and business expertise
  - Success portfolio

NSF COMMERCIALIZATION PATHWAY

Research Activity

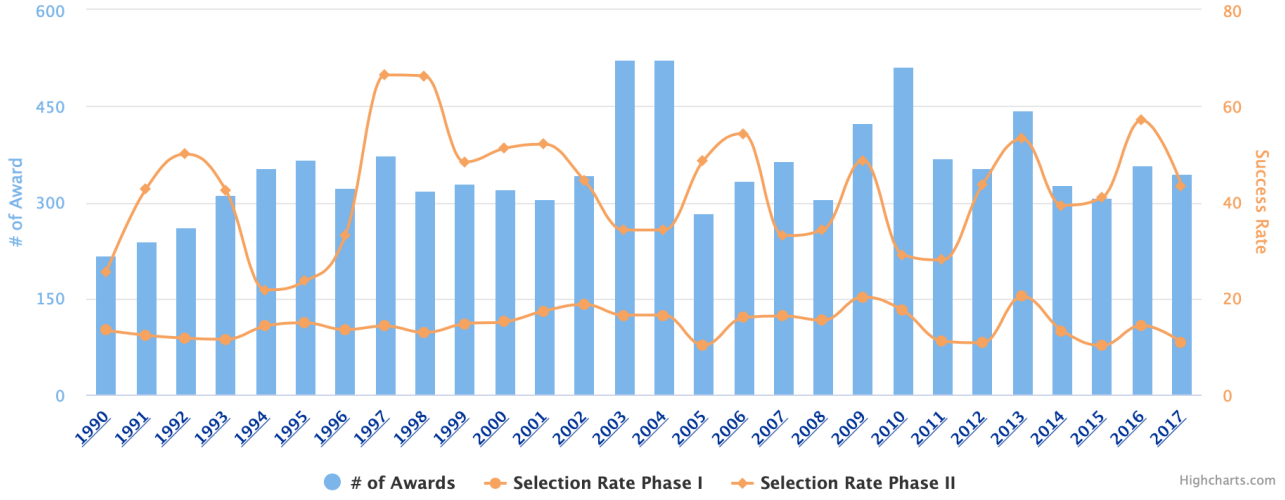
NSF Funding Programs

NSF SBIR PITCH

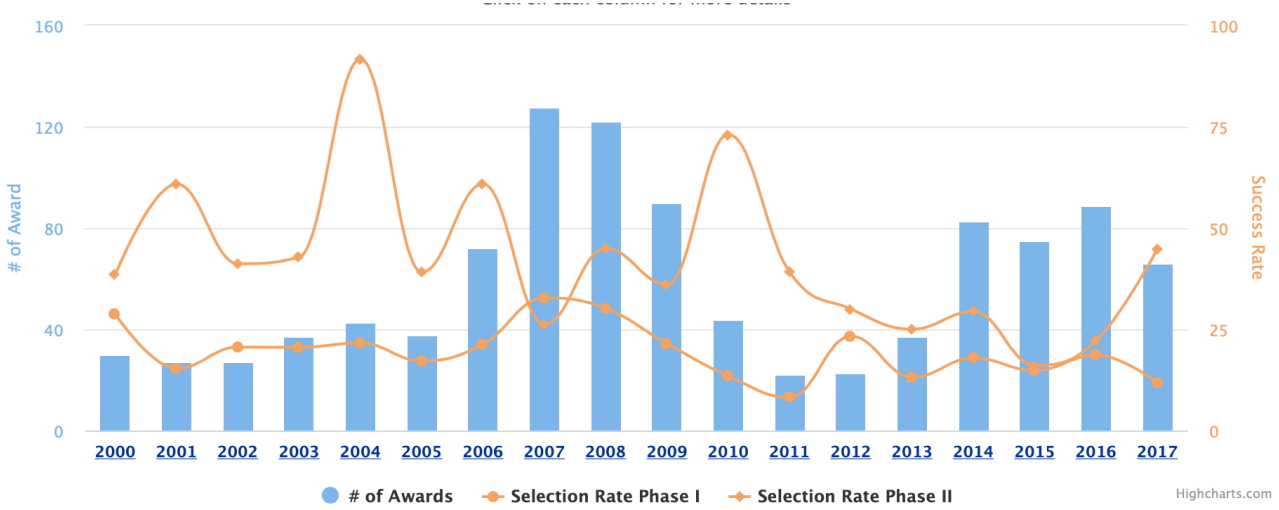
- Typically, two solicitations per year (March & June)
- ***Pitch required for all interested applicants***
- Objectives, technical innovation and associated technical risks
- Submit online at *https://nsfgov.secure.force.com/sbir/*
    1. Technology innovation (up to 500 words)
    2. Technical Objectives and Challenges (up to 500 words)
    3. Market Opportunity (up to 250 words)
    4. Company and Team (up to 250 words)
- Three–week response time
- Receive additional guidance and feedback from NSF staff
- Two NSF merit criteria (intellectual merit and broader impacts)

NSF SBIR/STTR SUCCESS RATES

SBIR



STTR



Source: https://www.sbir.gov/awards/annual-reports?program=SBIR&abbr%5B%5D=NSF&view_by=Year

DEPARTMENT OF HEALTH AND HUMAN SERVICES

- Largest granting institution participating in SBIR/STTR
  - *$1.06 billion awarded = 1,575 awards to 1,187 firms in 2018*
  - ***Phase I***: hard cap of $225,000 over 6-8 months
  - ***Phase II***: $1.5 million over 2 years (various waivers to go above caps and other restrictions)
  - ***Phase IIB***: additional $1 million a year for up to 3 years on a specific project
- Mission is broad and focused on *application of knowledge to enhance health, lengthen life, and reduce illness and disability*
- Each IC has its own SBIR/STTR point of contact (*https://sbir.nih.gov/engage/ic-contacts*)
- Variable budgets (ranked = NCI, NIAID, NHLBI, NIGMS)
- Multiple FOA types:
  - Omnibus solicitations (investigator-initiated proposals)
  - Targeted FOAs for specific research areas
  - Fast Track and direct to phase II
  - Annual SBIR phase I contract solicitation
- Technical assistance programs (Niche for phase I and CAP for phase II)

DEPARTMENT OF DEFENSE

- Highly complex organization uses variety of funding mechanisms to advance its mission
- 13 participating components for SBIR; 6 for STTR
- 50% of all SBIR/STTR funding
- *$1.32 billion = 2,250 awards to 1,012 firms in 2018*
  - ***Phase I (grow):*** $150,000 over 6 months
  - ***Phase II (succeed):*** $1 million over 2 years
  - ***Phase III (deliver):*** not DoD-funded, contracts and investments
- New Defense Innovation Strategy
  - *https://www.acq.osd.mil/osbp/sbir/docs/DoDSBIRStrategicPlanFinal.pdf*
- Different schedules and deadlines (pre-release announcements)

Focus on enhancing "innovation capability" to support military mission

DEPARTMENT OF AGRICULTURE

- Mission: provide leadership on *food, agriculture, natural resources, rural development, nutrition, and related issues*
- Funds SBIR initiatives aligned with various strategic plans (e.g., NIFA)
  - Multiple topics : biofuels and biobased products; food, science, and nutrition; plant production and protection (biology and engineering); small and mid-size farms; forests and related resources; aquaculture; rural and community development; animal production and protection; air, water, and soils
  - Two cross-cutting priorities: (1) agriculturally-related manufacturing technology and (2) energy efficiency and alternative and renewable energy
- $28 million = *114 award to 107 firms in 2018*
  - ***Phase 1***: Up to $100k over 8 months
  - ***Phase 2***: Up to $600k over 2 years
- *Encourages university and government scientist involvement*
- Call or email National Program Leader (NPL) associated with each topic area identified in the solicitation (*https://nifa.usda.gov/leadership*)

DEPARTMENT OF EDUCATION

- Institute of Education Sciences (IES) prioritizes *development and testing of education technology intended to improve teaching, learning, and school administration* through two tracts:
  1. Improve learning outcomes
  2. Early intervention and special education
- $8.3 million in 2018 = *21 awards for 21 firms*
- Recent trend: R&D of commercially viable education technology products and games for students, teachers, or administrators in regular or special education as well as R&D evaluation of those interventions
  - ***Phase I***: Up to $200k over 8 months
  - ***Phase II***: $900k over 2 years
  - ***Phase III***: Not IES funded
- Awards ~10 Phase I awards and 5 Phase II awards per year
- *https://www2.ed.gov/programs/sbir/index.html*

3. ALIGNMENT & APPROACH: KEY PRE-PROPOSAL TASKS

DETERMINE ALIGNMENT

Work to identify alignment with agency priorities

- Each agency has its own priorities for SBIR/STTR
  - Consult *www.sbir.gov* and individual agency guidance
  - *Choose the right agency and topic!*
- Articulate alignment with agency criteria
  - NSF = *intellectual merit + broader impacts*
  - NIH = *overall impact* (significance + innovation + approach)
  - DoD, NASA, Energy, Homeland Security = *mission alignment*
  - Agriculture = *agriculture science + rural development*
- *Contact program staff early to confirm topic alignment**

**NSF requires new applicants to go through a "Pitch" process*

WHEN SBIR IS BETTER…

- Alignment with Topics of Interest
- *No non-profit research subcontractor*
  - e.g., non-profit research institution, university, or federal laboratory
- Need to subcontract up to 33% of a phase I or up to 50% of a phase II effort
- *Investor concern regarding requisite IP agreement* between small business and non-profit
- Non-profit personnel prefer to participate as independent consultant
  - Small firms that hire consultants do not qualify for STTR because there is no nonprofit acting as a subcontractor
- *11 agencies fund SBIR*; only 5 fund STTR (minor concern given importance of alignment with agency priorities)

WHEN STTR IS BETTER…

- Topic of interest restricted to STTR proposal
- Need to subcontract a large portion of the award to assemble ace team
  - *Up to 60% of the R&D can go to the nonprofit*
    - Small business applicant must perform 40% of the work
    - Non-profit must perform at least 30%
    - Additional 30% outsourced to research institution or other subcontractor
- Small business and non-profit are *equal partners*
  - STTR is a "collaboration"
  - Award goes to the small business
  - Firm must maintain overall control and responsibility
- Applicant concludes there is *greater probability of winning*
  - Teamed with a research institution and/or expertise

DEVELOP CORE PROPOSAL ASSETS

1. **Executive Summary** – Context, opportunity, technical innovation(s), commercial potential, and alignment with agency priorities and merit criteria
   - *"Elevator pitch"*
2. **Technical Proposal** – Core components of the technical elements and work plan (3-5 pages)
   - You can also develop a 3 to 5-page concept paper
3. **Commercialization Plan** – Core market research and commercialization strategy for the proposed innovation (e.g., market, intellectual property, and revenue goals)
   - Preliminary plan should include opportunity, market, target customers, and revenue projections
4. **Cost Proposal** – Costs and profit per agency requirements
   - Establish a reasonable and scoped budget, after profit and indirect costs

SEEK TEAM AND PEER REVIEW

- Share core assets with team members, advisors, and mentors/peers
  - Subject matter expert level review and feedback
- Statistician with requisite expertise
  - Participate in development of the core research design for design integrity, study power, etc.
- Consult business development experts
  - Ensure that market research and commercialization plan are realistic and compelling and that the budget is reasonable to the effort
  - Work to ensure that pro forma and ROI are realistic

Revise core assets per team and peer inputs advance of consulting with agency

CONTACT PROGRAM OFFICER / DIRECTOR

- Contact program director (PD) or program officer (PO) to discuss alignment of the proposed project with the agency and appropriate divisions
  - *https://www.sbir.gov/agency-contacts*
  - PDs have wide latitude and influence with regard to their funding recommendations and decision-making
  - NSF Pitch Process removes this step
- Email PD short message
  - Include description of company and team, technical plans for innovation research, and commercialization potential
- *Attach project summary/white paper to this e-mail*
- Request a time to discuss and confirm alignment *before* you start work on the full proposal
- Ask colleagues and/or consultants to sit in on the phone call to help decipher feedback and nuances

AGENCY RESOURCES

- **NSF** – Requirement to use "Project Pitch" system (see *https://nsfgov.secure.force.com/sbir*)
- **HHS** (NIH) – Each IC has its own SBIR/STTR point of contact (*https://sbir.nih.gov/engage/ic-contacts*)
- **DoD** – Contact the DoD organization sponsoring your SBIR/STTR project at *https://www.acq.osd.mil/osbp/sbir/contacts/sbir-contacts.shtml*
- **DoED** – Dr. Edward Metz, SBIR Program Manager (*https://ies.ed.gov/sbir/contact.asp*)
- **USDA** – Call or email National Program Leader (NPL) associated with each topic area identified in the solicitation (*https://nifa.usda.gov/leadership*)
- **Etc**. – Follow instructions on the agency website and/or solicitation documents; or seek contacts at: *https://www.sbir.gov/agency-contacts-bak*

UCCS RESOURCES

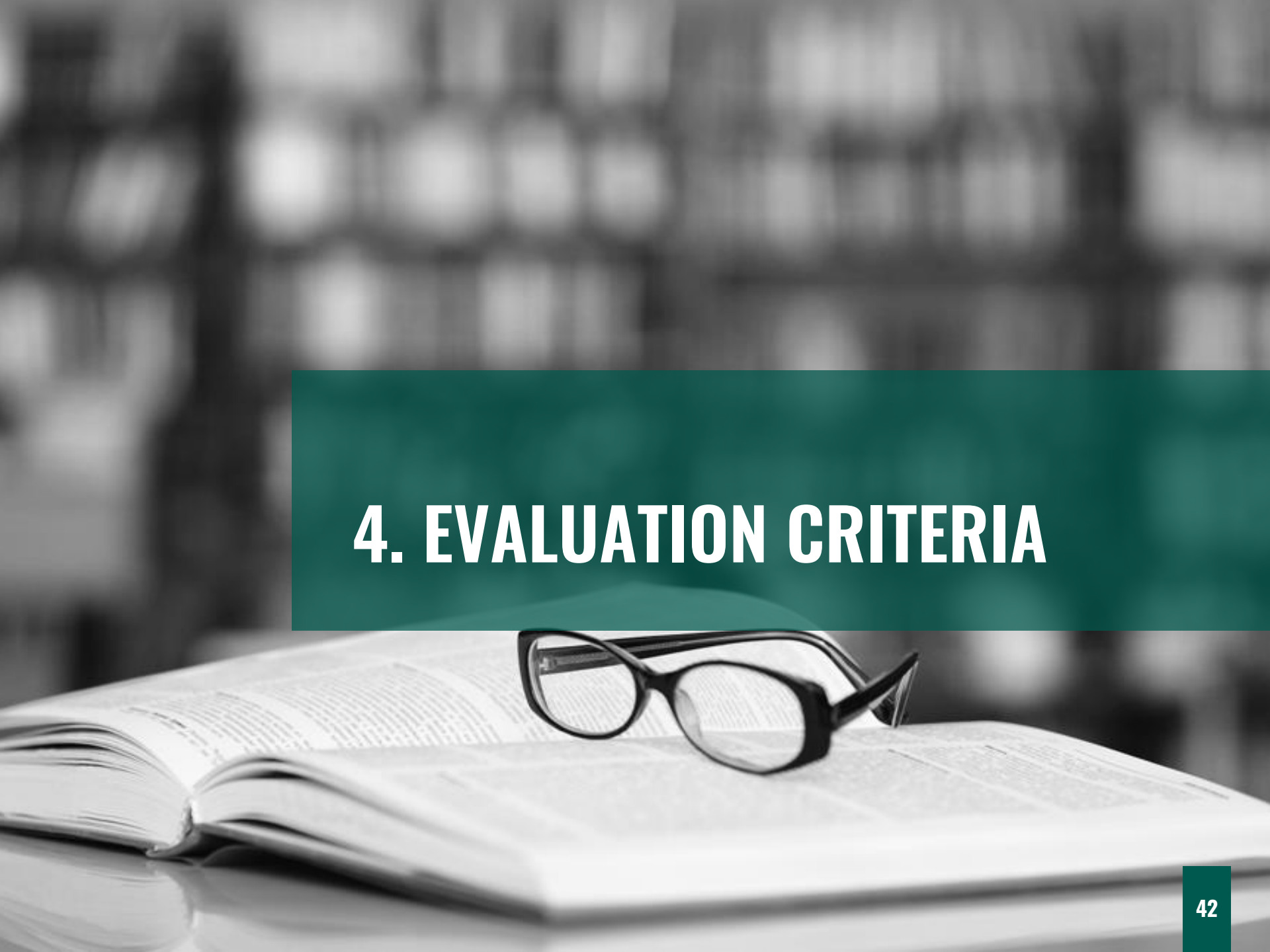
UCCS has significant resources for grants including support for traditional research, R&D, technology transfer, and SBIR/STRR

- ***Office of Sponsored Programs and Research Integrity*** - resource for faculty acquiring and managing externally sponsored research
  - *https://osp.uccs.edu*
- ***Office of Research***
  - Jessi Smith, Associate Vice Chancellor for Research
    - Contact for SBIR: Patricia Rea (prea@uccs.edu)
  - Research Tools and Resources - resources, tools, templates, and a list of past and upcoming events and workshops
    - *https://research.uccs.edu/researchtoolsandresources*
  - **Hanover Research** – consultative support for grantseeking and grantwriting
    - *https://research.uccs.edu/hanover-research*

COLORADO RESOURCES

Colorado state and Colorado Spring offer significant support for small businesses:

- ***Pike's Peak Small Business Development Center*** - consulting, training and resources (*https://pikespeaksbdc.org*)
- ***Colorado Springs SCORE*** - business mentoring, wide range of educational programs, numerous templates, and tools to help you start or grow your for-profit or a non-profit business (*https://coloradosprings.score.org*)
- ***Colorado SBDR*** - combines information and resources from federal, state and local governments with those of the education system and private sector to meet the specialized and complex needs of the small business community (*https://coloradospringschamberedc.com/doing-business/small-business*)
  - *Leading Edge program* (*https://www.coloradosbdc.org/resources/entrepreneurs/leading-edge*)



4. EVALUATION CRITERIA

EVALUATION CRITERIA

- Provide a uniform set of guidance for agencies and reviewers
  - Guide merit review
  - Increase objectivity
  - Facilitate agency funding decisions
  - Can be tie breaker
- External peer reviews should focus on assessment *vis-à-vis* the evaluation criteria
- Essential guidance for being competitive
- *Read the evaluation criteria for any solicitation and in the parent document before you begin any asset and/or proposal preparation*

INNOVATION

"Innovation" is ever-present in SBIR/STTR solicitations, but meanings are different:

- NSF uses the term "*intellectual merit*" which encompasses the potential to advance knowledge
- DoD's first evaluation criterion is "the *soundness, technical merit and innovation* of the proposed approach…"
- HHS lists asks "does the application *challenge and seek to shift current research or clinical practice paradigms…*"

- Show innovation

  (1) present your understanding of the current state-of-the-art

  (2) contrast your approach with that as the baseline

- Do not assume the reviewer's knowledge of the literature – *demonstrate your knowledge of state-of-the-art and articulate how your work is "innovative"*

COMMERCIALIZATION

"Commercialization" is another essential review criteria

- Potential to leverage R&D to develop product and/or service and hit target revenue and *become employer and taxpayer*
  - NSF looks at the broader impacts that encompasses the potential of the proposed project to benefit society
  - DoD evaluates "the potential for commercial applications (government or private sector) and the benefits"
  - HHS links commercialization to the "significance" criterion to assess whether the "proposed project has commercial potential to lead a marketable product, process, or service"
- *Commercialization plan must demonstrate a meticulous and high probability of revenue via assessment of the financial opportunity*

EXPERIENCE, QUALIFICATIONS, FACILITIES

Experience, qualifications, and facilities are common criteria

- NSF looks at how well qualified the individual, team, or organization is and whether adequate resources are available to the PI
- DoD evaluates the qualifications of the proposed principal/key investigators, supporting staff, and consultants
- HHS evaluates whether the PI/PD, collaborators, and other researchers are well suited to the project

- *Assemble a strong, talented, experienced team to accomplish technical and research goals*
- The capabilities should come across clearly in the summary, narrative, biographical sketches, and supporting documentation

5. CHARACTERISTICS OF COMPETITIVE PROPOSALS

FULL PROPOSAL COMPONENTS

Each agency has specific requirements and overarching regulations and guidance, but in general full SBIR/STTR proposals include:

- **Summary** (one page)
- **Technical Plan/Research Strategy** (5-20 pages depending on phase I or II)
- **Commercialization Plan** including pro forma (10-15 pages, phase II only)
- **Budget and Budget Narrative**
- **Attachments**

Technical and commercialization plans are the main scored documents

CHARACTERISTICS OF COMPETITIVE PROPOSALS

Technologically innovative research + commercial potential

- Overcome key barrier and result in commercially viable product and/or service
  - ***Phase I:*** *Focus on proving feasibility of proposed innovation*
  - ***Phase II:*** *Proof-of-concept for additional R&D + strong commercialization plan for going to market in phase III*
- Alignment with funding agency priorities
- Detailed plan to develop product or service with success milestones
- *Compelling commercialization plan* (market + revenue projections)
- Capable PI and team, with applicable subcontractors
- Intellectual property protection (i.e., patents)
- Realistic budget and finances (*pro forma* and early investor mix)
- Adequate facilities, equipment, and resources (no "basement operations")
- Extremely well presented and written proposal

STRONG SUMMARY DOCUMENT

- Most important and read document in proposal
- Busy reviewers use summaries to "triage" proposals
- Capture reviewers' attention *and* touch on all of the appropriate merit review criteria
  - 30-second "elevator pitch"
  - Pique reviewers' attention
  - Proposal triage
- Some agencies have specific requirements (e.g., NSF mandates three sections: overview, IM, and BI)
- Other agencies leave it more open (e.g., NIH)
- *Be responsive and highlight merits*

DETAILED TECHNICAL PLAN/RESEARCH STRATEGY

- Reviewers have to read 20-30 proposals each at 25+ pages per application
- *Develop a proposal that is compelling and professional*
  - Capture reviewers' attention on the first page
  - Produce publication-ready manuscript
- Subtly evoke the merit criteria in subheadings
  - Helps reviewers quickly identify what they're looking for
- Use visuals to illustrate key points
- Highlight selectively to:
  - Drive home key points
  - Create meta narrative useful to skim reviewers
- Be *responsive* (to all required elements) and *competitive* (against merit review criteria)

THOROUGH COMMERCIALIZATION PLAN

- ***Phase I***: Some agencies require abbreviated commercial plans in phase I proposal (e.g., DoD, NSF, DoE)
  - *Forecast the potential revenue for the proposed innovation and associated products and/or services*
- ***Phase II***: Others (e.g., NSF and NIH) require substantial 10- to 15-page commercial plans for phase II
  - *Explain and quantify market and revenue potential for product and/or service*
- Elements of a compelling commercialization plan include:
  - Company information
  - Customer and competition
  - Market research and opportunity
  - Intellectual property
  - Financing
  - Assistance and mentoring
  - Revenue projections and *pro forma*

NECESSARY CONSULTANTS AND CONTRACTORS

- Many small businesses do not have all of the required skills and capabilities in house
  - Often use subcontractors and consultants to supplement employee capabilities and qualifications
    - Statistician
    - SMEs
  - Federal agencies encourage applicants to subcontract additional expertise as needed
- For STTR, a subcontractor is mandatory!
- Be aware of risks and perceptions to potential partners and/or investors (e.g., control and IP)

REASONABLE BUDGET

Cost proposal

- Direct costs
- Indirect rate (i.e., overhead)
- Determine and use “reasonable” wage and consultant rates
- Right size the PI effort and compensation
- Include your profit (aka “fee”)
  - The law says you are entitled if you ask and its reasonable
- Align project scope and budget
  1. Start with total maximum budget allowed
  2. Less ~5-7% to cover profit
  3. Less portion of your indirect costs
  4. Use remainder to fund the project (i.e., company labor, materials, travel, plus any subcontractors or consultants)

- *Review agency guidelines carefully to be responsive and competitive!*

SUBMISSION PROCESS*

** Note that for SBIR/STTR, small businesses are the applicants and must apply directly to the funding agency using their own DUNS number and required registrations (e.g., DUNS, SAM, SBA, and Research.gov)*

- **Consult funding agency for specific guidance** – *do this early!*
- ***Consult UCCS' Office of Sponsored Programs and Research Integrity (OSPRI) for budget and submission support***
  - Training – Offers variety of training for responsible research
  - Budget – Must use UCCS budget template (*https://osp.uccs.edu/resources/forms*)
  - Supporting documents – (IRB, IBC, export controls, etc.)
  - Proposal routing – Must submit the budget and justification to OSPRI well before the agency deadline
    - *OSPRI requires complete proposal 5 days before due date*

ADDITIONAL RESOURCES

- Have Questions or Need More Information?
- For more information about SBIRs and STTRs, visit the following:
- Federal SBIR/STTR Website: *www.sbir.gov*
  - *www.sbir.gov/about/about-sbir*
  - *www.sbir.gov/about/about-sttr*
- System for Award Management: *www.sam.gov*
- U.S. Small Business Administration: *www.sba.gov*

6. QUESTIONS

“KNOW YOUR FUNDER” WEBINAR SERIES

Don’t miss these upcoming events in UCCS’s fall “Know Your Funder” grants webinar series!

Know Your Funder: Spencer Foundation

October 2 @ 2pm Mountain

The Spencer Foundation is a leading funder of educational research. Join us for a deeper dive into this foundation’s funding priorities and programs, and we’ll explore information and resources to help you prepare a competitive request to this funder.

Know Your Funder: NIH

November 2 @ 2pm Mountain

Join us for an overview of NIH structure, funding mechanisms, and review policies. This is your chance to learn more about how to prepare a competitive proposal from concept to resubmission, and how to navigate NIH resources to help you excel.

Know Your Funder: NSF

December 2 @ 2pm Mountain

This one-hour webinar training will include an overview of NSF agency structure, proposal review and award processes, and pre-application best practices. Join us for tips on developing a strong NSF proposal that describes significant advancement in the field of inquiry (intellectual merit) as well as benefits for students, collaborators, institution, and other public and private stakeholders including the general public (broader impacts).

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Thank you.

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