



**Entrepreneurial
Training & Consulting**

Developing the Business of Technology



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Technology Grants for Small Business

- F.A.S.T. - Federal State Technology Partnership
- SBIR - Small Business Innovative Research
- STTR – Small Business Technology Transfer

Part I: The ABCs of SBIR/STTR

Part II – Walk Through The Application Process

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Outline for Today...



- Part I: The ABCs of SBIR/STTR
 - Program Overview
 - Eligibility
 - SBIR vs. STTR
 - Reauthorization
 - Registrations
- Part II: A Walk Through the Application Process
 - National Science Foundation (NSF)
 - National Institutes of Health (NIH)
 - Dept. of Defense (DoD)
 - Department of Energy (DOE)
- Wrap up: Commercialization



BBC Team



- **Lisa M. Kurek, MS** – Managing Partner
- **Michael P. Kurek, PhD, MBA** – Partner
- **Andrea Johanson, PhD** – Principal Consultant
- **Becky Aistrup,** – Principal Consultant
- **Kris Bergman** – Consultant, Grants and Contract Management
- **Kristin Burgard,** Principal Consultant
- **Jayne Berkaw** – Director, Marketing and Outreach



What We Do

BBC works with technology-based entrepreneurs and companies on strategies to advance R&D efforts to commercialization. Through training courses and one-on-one counseling, the BBC team coaches clients in:

- Technology Assessment
- Commercialization Planning
- SBIR/STTR/Other Research Grant Assistance
- Entrepreneurial Training
- Grant/Contract Management
- Tech-Based Economic Development Programs

The BBC team is nationally recognized for its success in helping clients win federal funding through the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) programs, and use it tactically to propel growth.



Now about you...



- Where are you from....
 - University? Industry? Government? Other?
- What is your technology?
- How will your technology become a product?
- Who will purchase this product when commercialized?
- Already submitted grants or contracts
 - SBIR/STTR? R01? NIH, NSF, Other?
- Planning to submit?



Why SBIR/STTR?



Type of Funding

\$ Debt

\$ Equity

\$ Non-Dilutive



What are SBIR* and STTR**?



\$2.5 billion of federal funding to:

- Support small business to:
 - Stimulate technological innovation to
 - Develop products with commercial merit

* – Small Business Innovation Research

** – Small Business Technology Transfer



Purpose of SBIR/STTR Programs



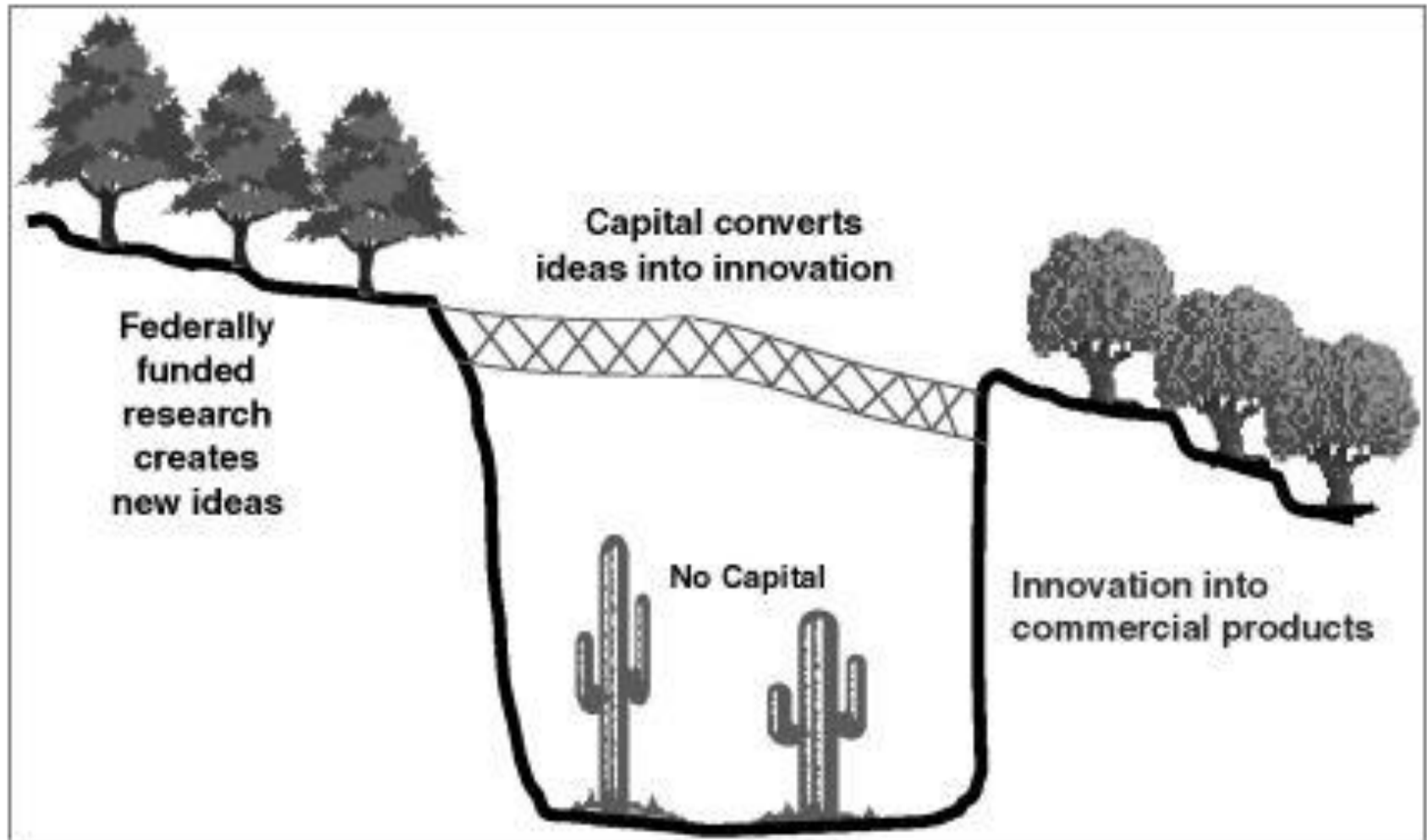
- Develop innovative technologies
- Create jobs
- Promote small businesses
- ***Not an alternative source of funding basic research***
 - *But a very compelling source of funds when basic/applied research leads to technologies based products with strong commercial potential....*

What is SBIR/STTR....



- Mandated by legislation (NDAA FY2012)
 - Current authorization for 6 years through 2017
 - Separate legislation for SBIR and STTR
- Applies to agencies with extramural research budgets that exceed certain thresholds
 - SBIR applicable to 11 Agencies
 - STTR applicable to 5 of the 11 SBIR agencies
 - Participation mandatory
- SBA “oversees” program implementation and compliance
 - SBIR/STTR Policy Directive
 - Small Business Size Regulations

Goal of SBIR/STTR Programs



Source: SBIR and the Phase III Challenge of Commercialization: Report of a Symposium. NAS, 2007.

Why “I simply can’t...”

- Not enough money
- The chances of getting funded are too low
- It takes too long to get funded
- I don’t have the time to write the grant





Which Would You Choose?

SBIR / STTR

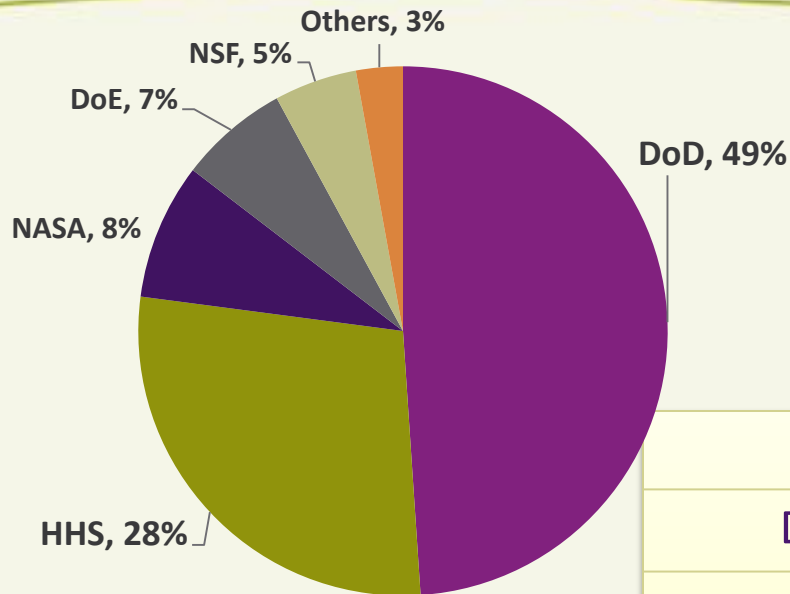
- 9 months to funding
- 10% - 37% probability at NIH SBIR
- Don't need to know anyone
- Will fund early stage
- Don't take equity
- Don't take board seat
- \$2 billion per year available
- Peer review

Venture Capital

- 6-12 months to funding
- <1% probability
- Need to know someone
- Unlikely to fund early stage
- Take equity (sometimes lots)
- Take a board seat (and sometimes control)



Participating Federal Agencies*



TOTAL: >\$2.4 B FY 2011

SBIR and STTR	SBIR Only
DOD - \$1,200 m	USDA - \$19 m
HHS - \$690 m	DOT - \$4 m
NASA - \$204 m	EPA - \$7 m
DOE - \$164 m	DOC - \$9 m
NSF - \$124 m	DoED - \$8 m
	DHS - \$23 m



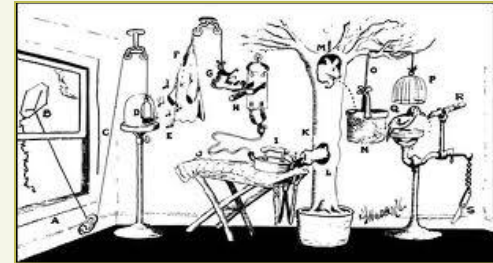
Key Questions...



- The Project
 - What do you need the money for?
- The Company *(there has to be one...)*
 - Who owns it?
 - What resources does it have?
 - Facilities
 - People
 - Where will it get what it needs?

The Project: What Does SBIR/STTR Fund?

- PRODUCT Development



- Based on “technological innovation”

- “high risk”

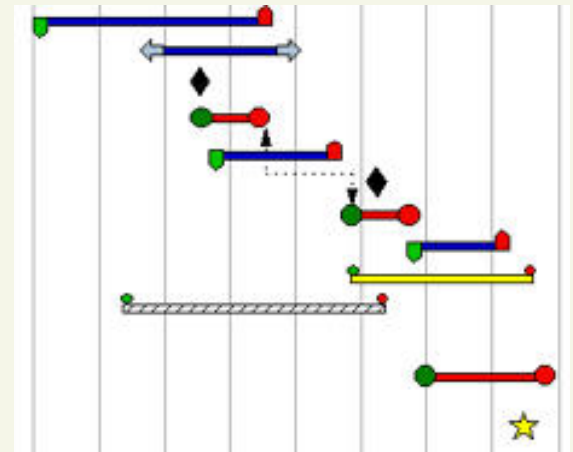


- Credible Commercialization Strategy

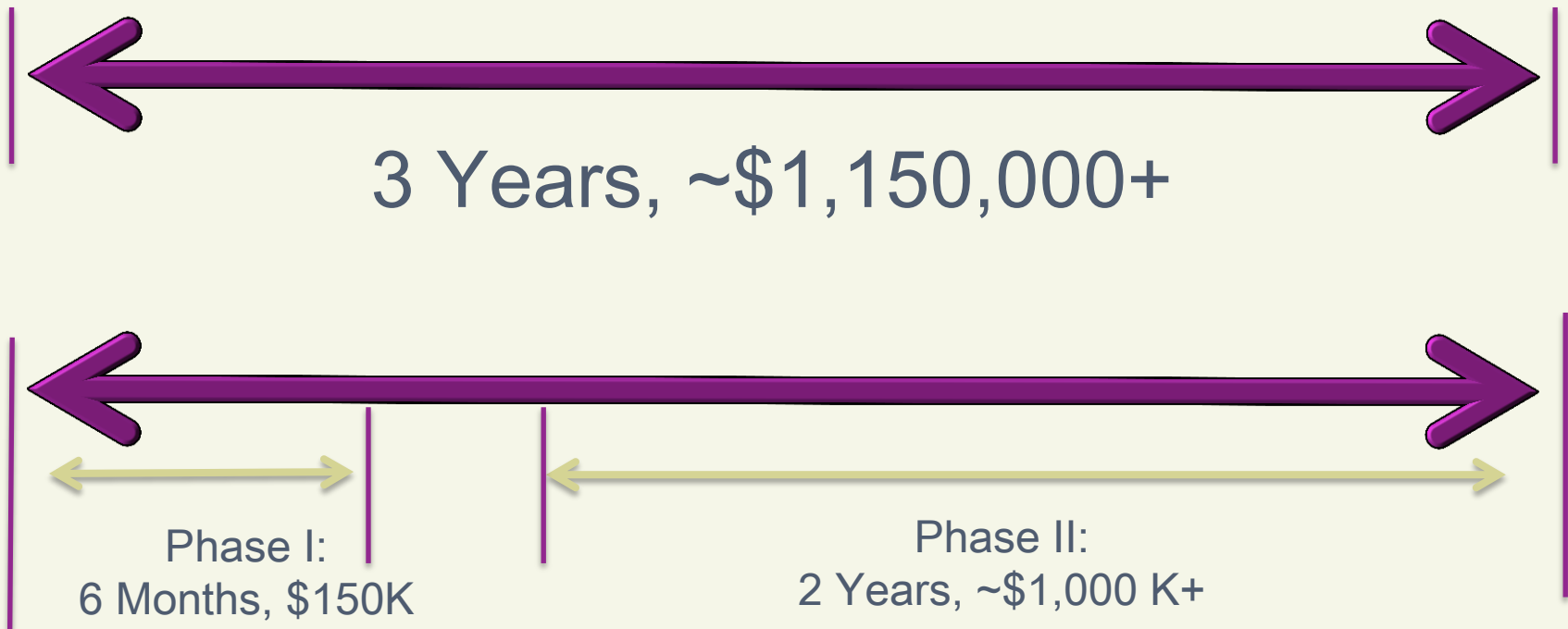


The Project – QUESTIONS:

- \$ for PRODUCT Development
 - What is the intended product?
 - What applications will it be used for?
 - What has been done to date?
 - How much is left to do?



The Basics of SBIR: 3 Phases

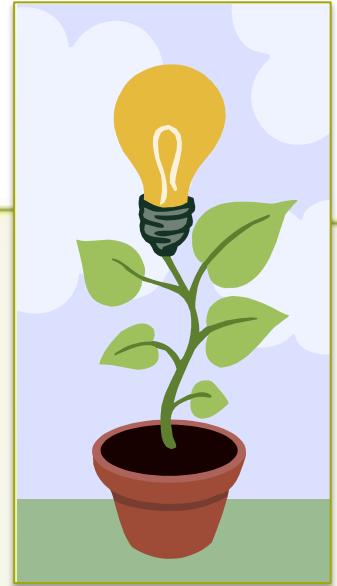


Phase III: Commercialization (no federal SBIR/STTR \$\$)



Three Phases of SBIR/STTR

- Details Agency Dependent
- Phase I – Feasibility*
 - 6 months – 1 year
 - \$80k – 225k
- Phase II - Expand results, pursue further development*
 - 2 years
 - \$750k - \$1.5m
- Phase III – Commercialization
 - Your own \$\$ (ie - no government \$!)
- *Phase I and II supplements available at some agencies



The Project – QUESTIONS:



- Based on “technological innovation”
 - What is the technological innovation that will enable the product to achieve the desired performance?
 - How certain are you that it will work?
 - Is there risk of failure?
 - Will the product be revolutionary or evolutionary?

Commercialization

There is no such thing as the “*Build it and they will come*” Business Model



The Project – QUESTIONS:



- Credible Commercialization Strategy
 - Is there a market identified?
 - Has a competitive analysis been done?
 - How will the company generate revenue?
 - What additional resources will be required to achieve commercialization?
 - Have sources of those resources been identified?
 - Strategic Partners
 - Sources of capital

SBIR/STTR Programs

**Learn the
Rules!**



The Company – QUESTIONS:

- A for-profit entity?
- Who owns the company?
 - May need to refer to cap table
- Who controls the company?
- Does the company have its own research facilities?
- Is there a qualified PI with primary employment at the company?



Developing the Business of Technology

2012 Reauthorization SBA Documents

Small Business Size Regulations

- Final Rule
- Published 12/27/2012
<https://www.federalregister.gov/articles/2012/12/27/2012-30809/small-business-size-regulations-small-business-innovation-research-sbir-program-and-small-business>
- Effective Jan 28, 2013



Eligibility for Funding

- Small business
 - For-profit
 - U. S. owned and controlled
 - < 500 employees
 - Located in the U.S.
 - R&D must be performed in the U.S.



SBIR & STTR Size Regulations

For solicitations issued after to Jan 28, 2013:

Ownership and Control

- **>50% owned and controlled by:**
 - i. **US citizens, permanent resident aliens** and/or one or more **domestic business concerns** which themselves are >50% owned and controlled by US Citizens or permanent resident aliens
.....or.....
 - ii. **Multiple** domestic VCOCs, HFs, or PEFs, provided that no single such investor owns more than 50% **(SBIR ONLY)**



SBIR & STTR Size Regulations



Size and Affiliation

- Under 500 employees for SBIR applicant and its affiliates including:
 - Full-time, part-time or other basis
 - Employees obtained from a temporary employee agency, PEO or leasing concern
- Based on average of number of employees for each pay period in the preceding 12 months

SBIR & STTR Size Regulations

Size and Affiliation

- Affiliation exists when one business controls or has the power to control another or when a third party controls or has the power to control both businesses



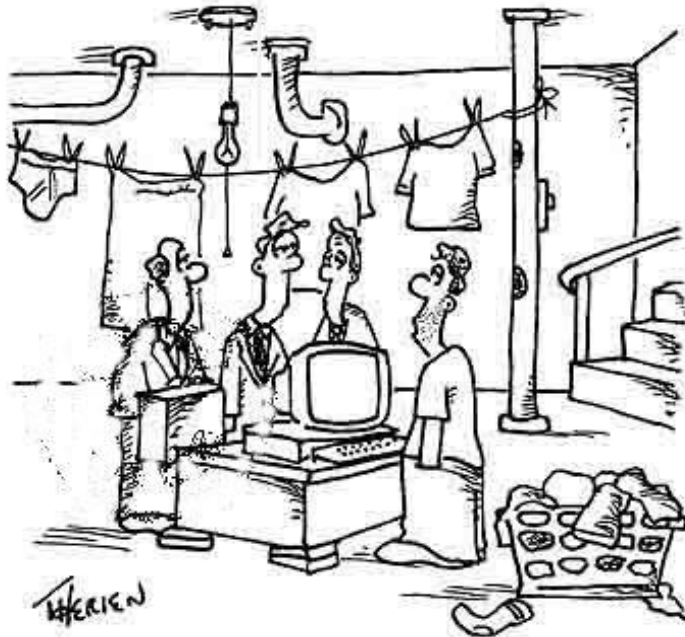
SBIR & STTR Size Regulations



Timing of Size Certifications

- Size and eligibility certified at the time of award
- If awardee grows to > 500 employees during the time of the award it may continue to perform activities covered by the award
- If awardee merges or is acquired it may only continue for the current funding period and then will have to recertify

Company-controlled research facilities



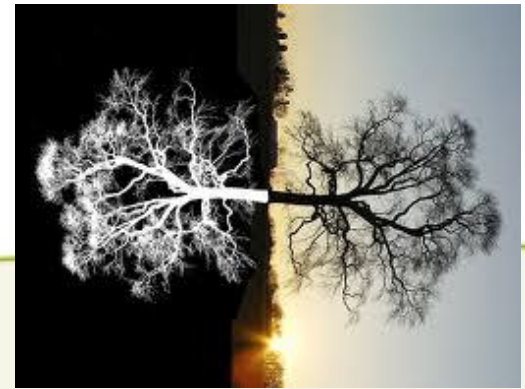
"Good afternoon, gentlemen, and welcome to multi.global.industries.com... otherwise known as my basement."



"We've rented the kitchen to an internet startup. Want to eat out?"

Documentation Required! **Access to special facilities is permitted

SBIR vs. STTR



- SBIR and STTR are two separate programs
- Federal set asides with different funding requirements

Not all agencies required to participate in the SBIR program are required to participate in the STTR program

SBIR vs. STTR

Not all agencies with both SBIR and STTR programs give YOU the choice of mechanism



SBIR vs. STTR

Primary difference is in the relationship with a non-profit research institution:

- SBIR **allows** but does not require the involvement of a non-profit research institution
- STTR **requires** the involvement of a non-profit research institution

However – in either case:

The Applicant Organization is always the Small Business!

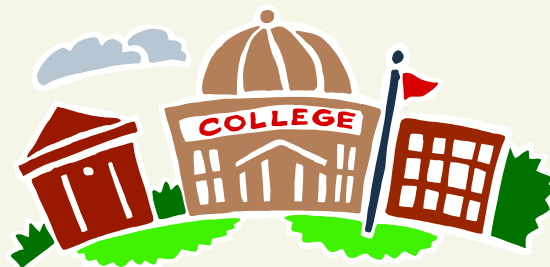


SBIR vs. STTR: Who does the work?

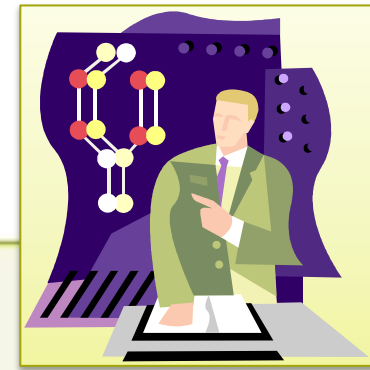
**** APPLICANT IS ALWAYS THE SMALL BUSINESS****

■ Subcontract percentages

- **SBIR:** no more than 33% in a Phase I and 50% in a Phase II
- **STTR:** at least 40% at small business and at least 30% at partner non-profit research institution



SBIR vs. STTR: Where is the PI?



**** APPLICANT IS ALWAYS THE SMALL BUSINESS****

■ Principal Investigator rules

- **SBIR:** PI at least 51% EMPLOYED at small business
- **STTR:** At small business or non-profit research partner. Must have an 'official relationship' with the small business and at least 10% effort on the project (except for NSF)

STTR Applications - Extra Requirements

- Company & its University partner must sign intellectual property (IP) agreement (JIT)
- “Budget and Certification of Research Institution” form required
- Virtual companies do not qualify
- Be conscious of conflict of interest issues

(Both of the above apply equally to SBIRs that include a subcontract to a non-profit research institution)



How do you choose ?



- Does the agency offer STTR?
- Is the relevant technology area/specific topic offered under both mechanisms?
- If yes to both above:
 - Do a resource inventory – people and facilities
 - What do I have
 - What do I need
 - Where will I fill the gaps?
 - Talk to the Agency

Advantages of SBIR over STTR



- No academic partner necessary
 - Fewer agreements, fewer lawyers, less cost
 - Control of funds
 - Less or no academic/institutional indirect costs
- More funds available
 - Set-aside \$\$ higher
- Payments to academic consultant
 - Earn \$\$ from grant in consulting fees



Advantages of STTR over SBIR

- Company lacks credible PI (>50% employed)
 - No scientists employed by company
 - Not ready to leave the University
- Access to superior academic facilities
 - Institutional Review Board (IRB)
 - Animal Welfare Committee
 - Lab space/Equipment
- Higher percent subcontract possible



University Participation



Faculty Roles*

- Faculty member can own small company & identify someone else (well-qualified) as PI
- Faculty member can be PI (i.e., with appropriate leave of absence)
- Subcontracts to academic institution
 - Faculty member can be PI's of subcontracts
 - Faculty member can provide analytical and other support services
- Faculty member can be a consultant

**subject to institution-specific policies*



Common Misconceptions



- Universities can apply for STTRs
- If a University is involved you have to do an STTR
- If the IP comes from a University you have to do an STTR
- If the inventor and/or key scientist is faculty you have to do an STTR
- If the PI of an STTR is at the University it is the University's grant/contract
- All of the work of an STTR can be done at the University

Critical “watch-outs”



Make sure that:

- The company has company-controlled research facilities
- If the PI of an SBIR also maintains a faculty appointment that they reduce their effort appropriately
- You accurately represent the company’s resources

SBIR/STTR Reauthorization



Reauthorization Process



- Congress → Pass Legislation
- SBA → Draft rules/regulations
- Agencies → Implement changes

STATUS:

- Policy directive released and effective August 6, 2012
- Size Rules released Dec 27, 2012, effective Jan 28, 2013
- Agencies implement changes as 2013 solicitations released

2012 Reauthorization SBA Documents

SBIR and STTR Policy Directive

- Final Policy Directive with Request for Comments
- Published Aug 6, 2012
 - <https://www.federalregister.gov/articles/2012/08/06/2012-18119/small-business-innovation-research-program-policy-directive>
 - Effective upon publication
 - Public comments due on or before Oct 5, 2012
- Updated Policy Directive to be published Q1 2013?



Policy Directive



- Increased set aside over 6 years
 - SBIR 2.6% FY2012 up to 3.2% FY 2017
 - STTR 0.35% FY2012 up to 0.45% FY2017

- Increased funding “caps”**
 - Guidelines \$150k Phase I; \$1 million Phase II
 - Caps up to 150% of guidelines
 - \$225k Phase I
 - \$1.5 million Phase II

**** Refer to individual agency solicitations for specific funding guidelines and limits**



Policy Directive



- Streamline award process
 - 90 days to a decision, 180 days to funding
 - NSF and NIH up to 1 year

- Increased outreach
 - Goal to increase participation by minority and women owned firms
 - Women-owned ~13% of FY2011
 - Minority-owned ~7%
 - 26 states combined ~8%

Policy Directive



- “Invitation Only” Phase II no longer allowed
 - Applies to new Phase I awardees
 - Check with agency if prior Phase I awardee
- Can switch from SBIR to STTR or vice versa between Phase I and II
 - At agency discretion

Policy Directive



VC/PEF/HF “Quotas”

- Multiple VCOC/PEF/HF owned companies eligible to compete (Size Rules)
- Funding limited by “quota”
 - < 25% NIH, NSF, DoE
 - <15% all other agencies
- Agencies “opt in”
- Agencies can refuse to accept proposals

Other Reauthorization Items



Focus on Commercialization

- Establish commercialization benchmarks (mandated by statute)
 - Will only apply to frequent winners (e.g., >20 Phase I, >15 Phase II)
 - Phase I to II to be implemented January 2013
 - Phase II to III to be implemented October 2013
 - If don't make benchmarks may not qualify for awards for 12 months
- Increase technical assistance (e.g., 'commercialization' assistance)
 - \$5,000/award/year with potential to identify service provider
- Administrative funding to agencies to support new initiatives
- Sharing best practices between agencies



Other Reauthorization Items

Reduce Fraud, Waste and Abuse

- Eligibility
 - “Life cycle” certifications
- Performance
 - Location
 - PI employment
 - Subcontracting guidelines
 - “Double dipping”



Other Reauthorization Items



Acquisition Preference

- Federal agencies and prime contractors, *to the greatest extent practicable*, shall issue Phase III awards to the SBIR Phase I or Phase II awardee
- Agencies may issue sole source Phase II awards to the SBIR Phase I or Phase II awardee
- Not all contracting officers are up to date on these changes to the law
 - “The law trumps the FAR”

Other Reauthorization Items



Data and Reporting

- Impact primarily at agency level
- Small business will have to:
 - Register at sbir.gov
 - Provide additional commercialization information
 - Additional information may be required from VC funded companies
- Commercialization database
 - Based on DoD commercialization index
 - Information will be confidential



DO YOUR HOMEWORK



SBIR/STTR Terminology

“Solicitation”

- Funding Opportunity Announcement (FOA)
- Request for Proposal (RFP); Request for Application (RFA)

“Submission”

- Proposal
- Application

“Award”

- Grant
- Contract
- Award mechanism



SBIR Information: SBIR.gov

The screenshot shows the SBIR.gov website. At the top, it says "An Official Website of the United States Government". Navigation links include "Share", "Contact Us / Send Feedback", and "Text: A+A-A". There are "Login" and "Register" buttons. A search bar is labeled "Search SBIR/STTR" with a "Go" button. Below the search bar are radio buttons for "Site" (selected), "Awards", and "Open Solicitations". A main navigation bar contains "HOME", "ABOUT", "SOLICITATIONS", "AWARDS", "NEWS", "EVENTS", "CONTACTS", and "FAQS". The main content area features a "Featured Resources" section with a list: "Applicants", "Awardees", "Investors", "Large Businesses", and "Agencies". Below this is an "Events" section with a listing for "Sep 22, 2011 One-day SBIR/STTR Financial Seminar with National Expert" and "Feb 28, 2011 NASA/GSFC SBIR/STTR Next Workshop". A footer banner reads "Re-launching SBIR.gov for Entrepreneurs" with a pagination bar showing "1 2 3 4 5".

- Links to all 11 agencies
- Search past awards
- Current/past solicitations

www.sbir.gov

SBIR Informa

Agency to Use

SBIR Open Topic Search

DoD Topics Currently Being Updated

Search Services

[Open SBIR/STTR Solicitation Topics](#)

Select an Agency's Open SBIR Topics



[Closed SBIR/STTR Solicitation Topics](#)

Topics often *recycled* for future solicitations

[Past SBIR/STTR Awards](#)

SBIR/STTR Awards Databases

[Federal Laboratory R&D Resources](#)

Keyword search for federal tech resources

SBIR Gateway

Resources

[SBIR Insider Newsletter](#)

[Solicitation Dates](#)

[SBIR Agency Links](#)

[SBIR Events Calendar](#)

[SBA FAST Awardees](#)

[About SBIR Funding](#)

[Federal Laboratories](#)

[EPSCoR Program](#)

[Other Grant Info](#)

[SBIR Policy Directive](#)

[Contact Us](#)

News Items

[SBIR/STTR/PPP Reauthoriz](#)
Programs reauthorized through

[View Latest Solicitation New](#)
News Updated 6/15/12

[New SBA Proposed Rule](#)
Requests your comments 5/15/12

[USDA Opens FY-13 SBIR](#)
Opens 6/14/12 Closes 9/6/12

[DHS DNDI Issues FY-12.1 S](#)
Opens 5/25/12 Closes 7/3/12

[DHS S&T Issues FY-2012.2 S](#)
Opens 5/17/12 Closes 7/3/12

[DoD Issues FY-2012.2 SBIR](#)
Opened 5/24/12 Closes 6/27/12

[DOE Issues FY-2012 \(R3\) SBIR/STTR To](#)
Opens 5/1/12 Closes 7/3/12

National / Regional Conferences

[SBIR & Global Trade Summit](#)

- Solicitation deadlines
- Search past solicitations
- Subscribe to SBIR Insider Newsletter

www.zyn.com/sbir

Agency Differences

- Receipt dates, number & timing of solicitations
- Type of award (grant or contract)
- Proposal review process
- R&D topic areas
- \$ of award (both Phase I and II's)
- Proposal success rates
- Profit or fee allowed
- Gap funding provided (competing continuation grants)
- Payment types & schedules



SBIR/STTR Deadlines

[HOME/WHAT WE DO/SBIR/STTR/OTHER RESEARCH GRANT ASSISTANCE/SOLICITATION DATES](#)

SOLICITATION DATES

Agency/Program	Release	Open	Close
Health & Human Services (NIH/CDC/ FDA/ACF) PHS 2013-2 Omnibus SBIR/STTR	25-Jan '13	5-Mar '13	5-Aug '13 5-Dec '13
National Science Foundation Ph 1 SBIR FY-2013-546	6-Mar '13	11-May '13	11-Jun '13
National Science Foundation Ph 1 STTR FY-2013-547	6-Mar '13	13-May '13	13-Jun '13
Dept. of Homeland Security Ph 1 SBIR FY 13.12	2-Apr '13	18-Apr '13	22-May '13
Dept. of Defense SBIR 2013.2	24-Apr '13	24-May '13	26-Jun '13
Environmental Protection Agency Ph 1 SBIR 2014	9-May '13	5 Jun '13	17-Jul '13
Dept of Defense SBIR 2013.3/STTR 2013.3B	26-Jul '13	26-Aug '13	25-Sep '13

Open = Earliest Submission Date

Close = Final Submission Date

SPECIAL PROGRAMS

[Michigan SBIR/STTR](#)

[MI FASTconnect](#)

[SBIR Impact NYC](#)

[iBIO/Propel](#)

[New Hampshire IRC](#)

[Delaware SBIR Gateway](#)

SBIR/STTR BASICS

[SBIR/STTR/Other Research Grant Assistance](#)

[SBIR/STTR FAQ](#)

[Solicitation Dates](#)

[Registration Requirements](#)

[Helpful Links](#)

[SBIR/STTR Assessment](#)

Agency Differences -- Grants vs. Contracts

Grants

- Assistance
- Project/proposal is well-defined, but no formal agreement
- Progress/final reports
- Broad topics funded
- Agency contact unlimited
- No Phase III opportunities

Contracts

- Procurement
- Well-defined, legally binding statement of work, obligations, responsibilities
- Specific deliverables defined
- Topic Specific Response
- Agency contact limited
- Phase III opportunities



Agency Differences -- Grants vs. Contracts

■ Grants – Investigated Initiated Topics

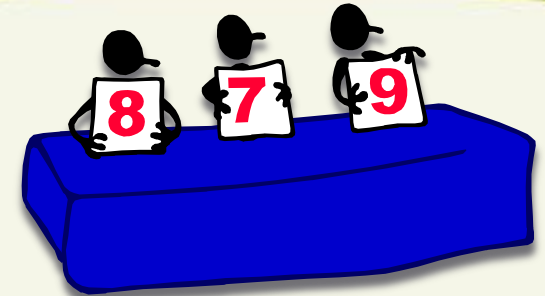
- HHS (95% \$\$), NSF, USDA, DOE, ED
- Some agencies might have topic areas (aka “buckets”)
- Open communications
- External peer review

■ Contracts – Agency-specified topics

- DoD, NASA, DHS, EPA, DOT, DOC, ED, HHS (5% \$\$)
- Must respond to a topic
- Limited time to prepare (8-12 weeks)
- Limited communications during open solicitation
- Internal review



Agency Differences -- Review Process



■ Internal Review

- DoD, NASA, DHS
- Review panels composed of Agency personnel

■ External Review

- NIH, NSF
- Review panels composed of leading experts in the field
- Agency personnel do not score/rank applications, but manage the process

REGISTRATIONS



Registrations

All organizations submitting SBIR/STTR proposals must have the following:

- EIN – Employee Identification Number (IRS)
- DUNS – Data Universal Number (D&B)
- Bank Account
- SAM – System for Award Management *
- **SBIR.gov – Company registry (new 2013)**
 - DoD requires SAM at time of award



Registrations – DUNS



Decide with Confidence

- What is it?
 - Data Universal Number System (DUNS)
- Where do I get it?
 - Dun & Bradstreet at <http://fedgov.dnb.com/webform>
 - Use the page for US Federal Government Contractors and Grantees
- Why?
 - The federal government has adopted the use of DUNS numbers to track how federal grant money is allocated.
- How long will it take?
 - Same Day. You will receive DUNS # information online.



System for Award Management – SAM

■ What is SAM?

- SAM is a federal government owned and operated free web site that combines several procurement systems and the Catalog of Federal Domestic Assistance into one common system.
 - Central Contractor Register (CCR)
 - Federal Agency Registration (Fedreg)
 - Online Representation and Certifications Application (ORCA)
 - Excluded Parties List System (EPLS)



Registrations – System for Award Management (SAM)



- You need a DUNS number to register at SAM.
 - www.sam.gov.
 - Designate an E-Business Point of Contact (E-Biz POC).

- How long will it take?
 - Three to five days.

- SAM registration must be renewed annually



Registrations – SAM.gov

Information needed to register:

- DUNS number
- EIN/TIN number
- CAGE code (if you don't have one it will be assigned to you)
- General business information (address, org structure, etc)
- Business financial information (bank acct no, EFT info)
- Executive Compensation (estimates if no history)



NEW – SBIR.gov



Company Registry

<http://sbir.gov/registration>

Who needs to register?	ALL applicants must register in the Company Registry and submit a .pdf document of the registration with its application.
What do I need to register?	At least a DUNS number or EIN. Once registered, your company will be assigned a unique SBC Control ID and .pdf file to be used for the application process.
When should I register?	Prior to submitting an application.
How long will this take to complete?	Less than 15 mins for most companies.

SBIR.gov – cont.

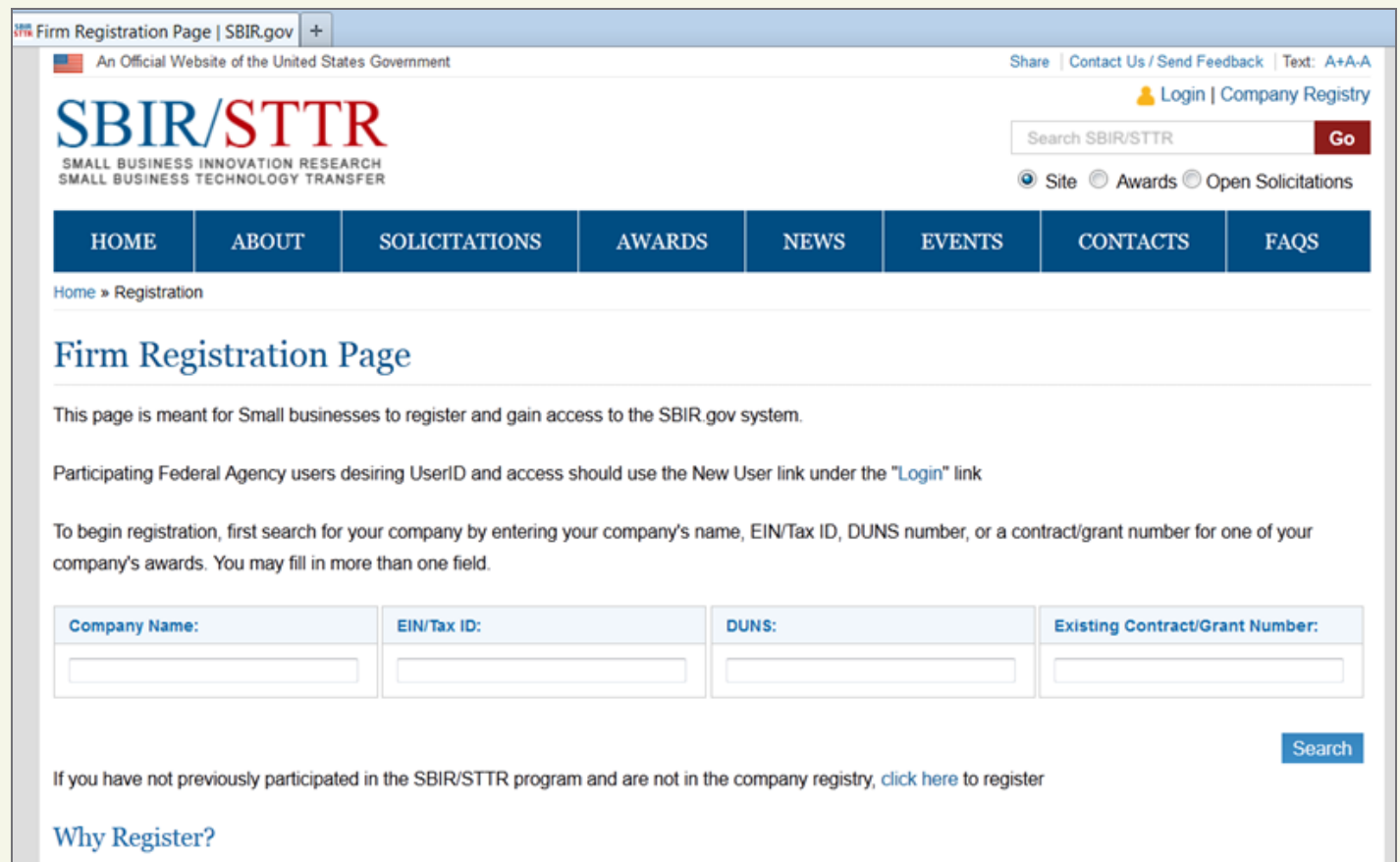
How To Register

1. Enter company name and/or EIN
2. New and existing firms
3. Basic Information Form
4. Eligibility Statement
5. PDF Copy



Company Registry- Enter company name and/or EIN

Enter company name and/or EIN at <http://sbir.gov/registration>



The screenshot shows the SBIR/STTR Firm Registration Page. At the top, it identifies itself as an official website of the United States Government. The main header features the SBIR/STTR logo and navigation links for Home, About, Solicitations, Awards, News, Events, Contacts, and FAQs. A search bar is present with a 'Go' button and radio buttons for 'Site', 'Awards', and 'Open Solicitations'. The main content area is titled 'Firm Registration Page' and contains instructions for registration, including a link to register for new users. Below the text are four input fields: 'Company Name', 'EIN/Tax ID', 'DUNS', and 'Existing Contract/Grant Number'. A 'Search' button is located at the bottom right of the form area.

Firm Registration Page | SBIR.gov +

An Official Website of the United States Government

Share | Contact Us / Send Feedback | Text: A+A-A

Login | Company Registry

Search SBIR/STTR Go

Site Awards Open Solicitations

HOME ABOUT SOLICITATIONS AWARDS NEWS EVENTS CONTACTS FAQs

Home » Registration

Firm Registration Page

This page is meant for Small businesses to register and gain access to the SBIR.gov system.

Participating Federal Agency users desiring UserID and access should use the New User link under the "Login" link

To begin registration, first search for your company by entering your company's name, EIN/Tax ID, DUNS number, or a contract/grant number for one of your company's awards. You may fill in more than one field.

Company Name:	EIN/Tax ID:	DUNS:	Existing Contract/Grant Number:
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Search

If you have not previously participated in the SBIR/STTR program and are not in the company registry, [click here](#) to register

Why Register?



Company Registry- New or Existing

1 - You are a new firm, then Register as a New Company

2 - You are an existing firm, then Register as your company in the search results

An Official Website of the United States Government

Share | Contact Us / Send Feedback | Text: A+A-A

SBIR/STTR
SMALL BUSINESS INNOVATION RESEARCH
SMALL BUSINESS TECHNOLOGY TRANSFER

Search SBIR/STTR Go

Site Awards Open Solicitations

HOME ABOUT SOLICITATIONS AWARDS NEWS EVENTS CONTACTS FAQs

Home » Registration

Registration

Below are the small businesses matching the criteria you entered. Choose the company for which you want to register with
If no small businesses match your criteria, you can begin a New Search or a New Registration using the buttons provided below

New Search New Registration

Title: Brian company	EIN: DUNS: 141414141	Register
Title: Brian company 01	EIN: 979797978 DUNS: 989898980	Register
Title: Brian company 02	EIN: 200527779 DUNS: 123412341	Register
Title: Brian company 03	EIN: 200527779 DUNS: 123412341	Register
Title: Brian company 02	EIN: 200527779 DUNS: 123412341	Register

1.

2.



Company Registration – cont.

Provide basic information including:

- 1. Company Name
- 2. Mailing address
- 3. DUNS number
- 4. EIN number
- 5. Ownership information
- 6. No. of employees
- 7. Point of contact information (the email address provided should match one of the POC at SAM)



How to be 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
- Follow the rules
- Complete your registrations
- Submit Early!

NSF SBIR Program



Developing the Business of Technology



Mission of NSF

The mission of The National Science Foundation is to promote the progress of science; to advance the national health, prosperity, and welfare; and to secure the national defense.



What Does NSF SBIR Fund?

- We fund high-risk, high-payback innovations
 - With the potential for commercialization
 - That demonstrate strategic partnerships with research collaborators, customers, industry partners, and equity investors
- We do NOT fund
 - Basic research
 - *Evolutionary* optimization of existing products and processes or modifications to broaden the scope of an existing product, process or application
 - Analytical or “market” studies of technologies

NSF SBIR Program Interests

Projects Considered Non-Responsive

- Demonstrations of technology
- Technical assistance
- Literature surveys
- Market research
- Patent application or patent litigation costs





NSF SBIR/STTR Deadlines

■ SBIR Deadlines:

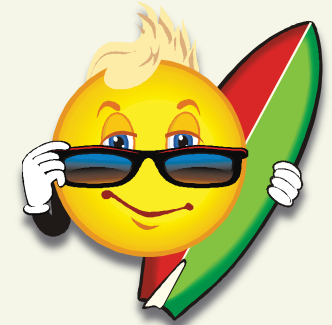
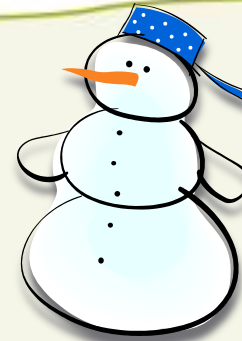
- December 3, 2012 (NSF 12-605)
- June 11, 2013 (NSF 13-546)

■ STTR Deadline

- December 20, 2012 (NSF 12-592)
- June 13, 2013 (NSF 13-547)

■ Phase II Deadlines

- Phase I Awards Expiring in December have submission opportunity dates of: January or July
- Phase I Awards Expiring on June have submission opportunity dates of July or January



Industrial Innovation and Partnerships (IIP)



Small Business Innovation Research (SBIR) & Small Business Technology Transfer (STTR) Program

Funding Opportunities

SBIR Solicitations

[-Click here to be taken to the latest SBIR Solicitation \(13-546\)](#)

STTR Solicitations

[-Click here to be taken to the latest STTR Solicitation \(13-547\)](#)

Program Information & Requirements

- Program Description
- Program Definitions
- Evaluation & Selection Criteria

[More...](#)

Phase I Program

- NSF SBIR/STTR Philosophy and General Information

[-SBIR Program](#)

[-STTR Program](#)

[More...](#)

Phase II Program

Only Phase I Grantees can apply!

- Phase II Information

[More...](#)

[IIP Home](#)

[SBIR/STTR Home](#)

- [Program Information & Requirements](#)
- [Phase I Information](#)
- [Phase II Information](#)
- [Post Award Activities](#)
- [Supplemental Funding Opportunities](#)
- [Review Process](#)

[FAQ](#)

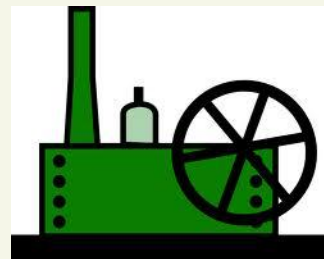
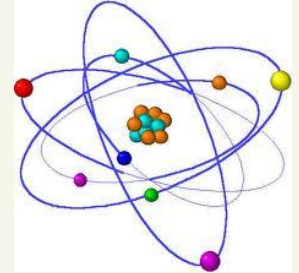
[SBIR/STTR Forms](#)

[Budget Preparation & Revisions](#)

FY 2013 Solicitation (NSF 13-546 & 13-547)

Four Broad Topic Areas

- Biological and Chemical Technologies (BC)
- Education Applications (EA)
- Electronics, Information and Communication Technologies (EI)
- Nanotechnology, Advanced Materials, and Manufacturing (NM)



NSF Subtopics

Biological Technologies

BT1 - Sustainable Biotechnology Applications: New approaches for meeting the world's future nutritional needs. Target areas for improvement may include (but are not limited to) drought tolerance, improved nutritional value, enhanced disease resistance, and higher crop yield. Proposers should give consideration to technologies that enhance biodiversity, produce less carbon dioxide, and use less water and fertilizer. (Cognizant Program Officers: Ruth Shuman; rshuman@nsf.gov, and Jesus Soriano; isoriano@nsf.gov).

BT2 - Biosensors: Biosensors are sensors that contain a biologically-based sensing element. Proposed projects might include but are not limited to real-time sensors, microbial component-based sensors, sensors for monitoring fluxes of metabolites, nanobiotechnology-based sensors, biomedical sensors, micro- or nanofluidic-based sensors, and disease and toxin monitoring. Other types of sensors should refer to the EI topic. (Cognizant Program Officer: Jesus Soriano; isoriano@nsf.gov)

BT3 - Life Sciences Research Tools: Developing novel technologies that will advance scientific research across the biological spectrum. This may include enabling technologies for drug discovery (high-throughput screening assays and platforms, and high-content screening assays and platforms; no based on characterization of physical properties) should focus primarily on the development of instruments and services where there is significant market opportunity. (Cognizant Program Officer: Ruth Shuman; rshuman@nsf.gov)

Biomedical Technologies

BM1 - Materials for Biomedical Applications: Proposed projects might include but are not limited to biomaterials, bio-mimetic and bio-inspired materials, improved implants, bio-device coatings and anti-microbial coatings. Development of new nanomaterials should refer to the NM topic. (Cognizant Program Officer: Ruth Shuman; rshuman@nsf.gov)

BM2 - Diagnostic Assays and Platforms: Proposed projects should focus on transformational diagnostic technologies. Proposed projects might include but are not limited to non- or minimally-invasive disease diagnosis, detection, and monitoring, biomarker development, disease-specific assays, and point-of-care testing for diseases. (Cognizant Program Officer: Ruth Shuman; rshuman@nsf.gov)

BM3 - Drug Delivery: Proposed projects might include but are not limited to new formulations, devices or methodology for the delivery of genes, biologics or small molecule drugs. Development of new nanomaterials for drug delivery should refer to the NM topic. (Cognizant Program Officer: Jesus Soriano; isoriano@nsf.gov)



Communicate with Program Officer

Biological and Chemical Technologies (BC)

Proposal Due Date: December 03, 2012

Prakash Balan (pbalan@nsf.gov)

Ruth Shuman (rshuman@nsf.gov)

Jesus Soriano (jsoriano@nsf.gov)

Importance of Communication with Program Officer

A company considering a proposal submission is encouraged to communicate (via email) with the cognizant program officer to help gauge the responsiveness to the solicitation (see below for contact information). When contacting the cognizant program officer, please provide a brief 2-3 page executive summary with background on: 1) company/team including experience with previous SBIR awards, 2) market opportunity, 3) technology/innovation, and 4) competition. You may contact the program officer via email at any time before the submission deadline. Note, however, that communication with the program officer will become increasingly difficult as the deadline nears.



Planning a June 2013 Submission?

Priority Tasks

- Read solicitation and the subtopic description
- Contact appropriate NSF Program Manager
 - 1-2 page Executive Summary of project
- Register in FastLane and with SBA
- Develop a preliminary project budget

<http://www.sbir.gov/>
<http://www.zyn.com/sbir/>



NSF SBIR Project Attributes

■ **Proposers must:**

- Provide evidence of a commercially viable product, process, or system
- Meet an important social or commercial need

■ **Projects must:**

- Show high potential commercial payback
- Show high risk effort

■ **Projects may also address:**

- Research tools which meet significant commercial market needs
- Applications that result in multipurpose commercially viable functions



Executive Summary: *Components*

1 to 2 pages via email to program officer:

- 1) **Company/Team**
 - Include experience with previous SBIR awards
 - Emphasize commercialization experience
- 2) **Market Opportunity**
- 3) **Technology/Innovation**
- 4) **Competition**
 - Alternative approaches
 - Products & companies



NSF Executive Summary



Company/Team

- What are the origins of the company/team?
- How many current employees are there?
- What is the revenue history, if any, for the past three years?
- Has the team previously taken similar products/services to market?
- How does the proposed research mesh with company objectives?
- Experience with previous SBIR awards?

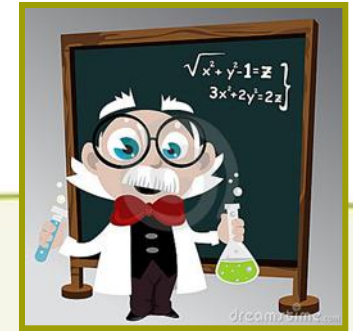
NSF Executive Summary



Market Opportunity

- Describe the anticipated target market or market segments
- Provide a brief profile of the potential customer
- What customer needs will be addressed with the innovation?
- What is the estimated size of the market being addressed?

NSF Executive Summary



Technology/Innovation

- What is the technological innovation?
- Brief explanation of how the innovation is relevant to meeting a need described in the subtopic narrative
- Problem to be solved and its magnitude
- Gap in knowledge that your technology will fill
- What is the product?

NSF Executive Summary

easier
faster
better
cheaper

Competition

- How does your product or service sit within the competitive landscape?
- What is the main competition?



NSF SBIR/STTR proposals



PLEASE NOTE...

- Focus on near-term commercialization
- Letters of support from commercialization partners are required
- Communication with Program Officer is strongly encouraged
 - Provide a brief 1-2 page **executive summary** with background on the:
 - Company/team including experience with previous SBIR awards,
 - Market opportunity,
 - Technology/innovation and
 - Competition



NSF SBIR/STTR Proposal *Required Format*

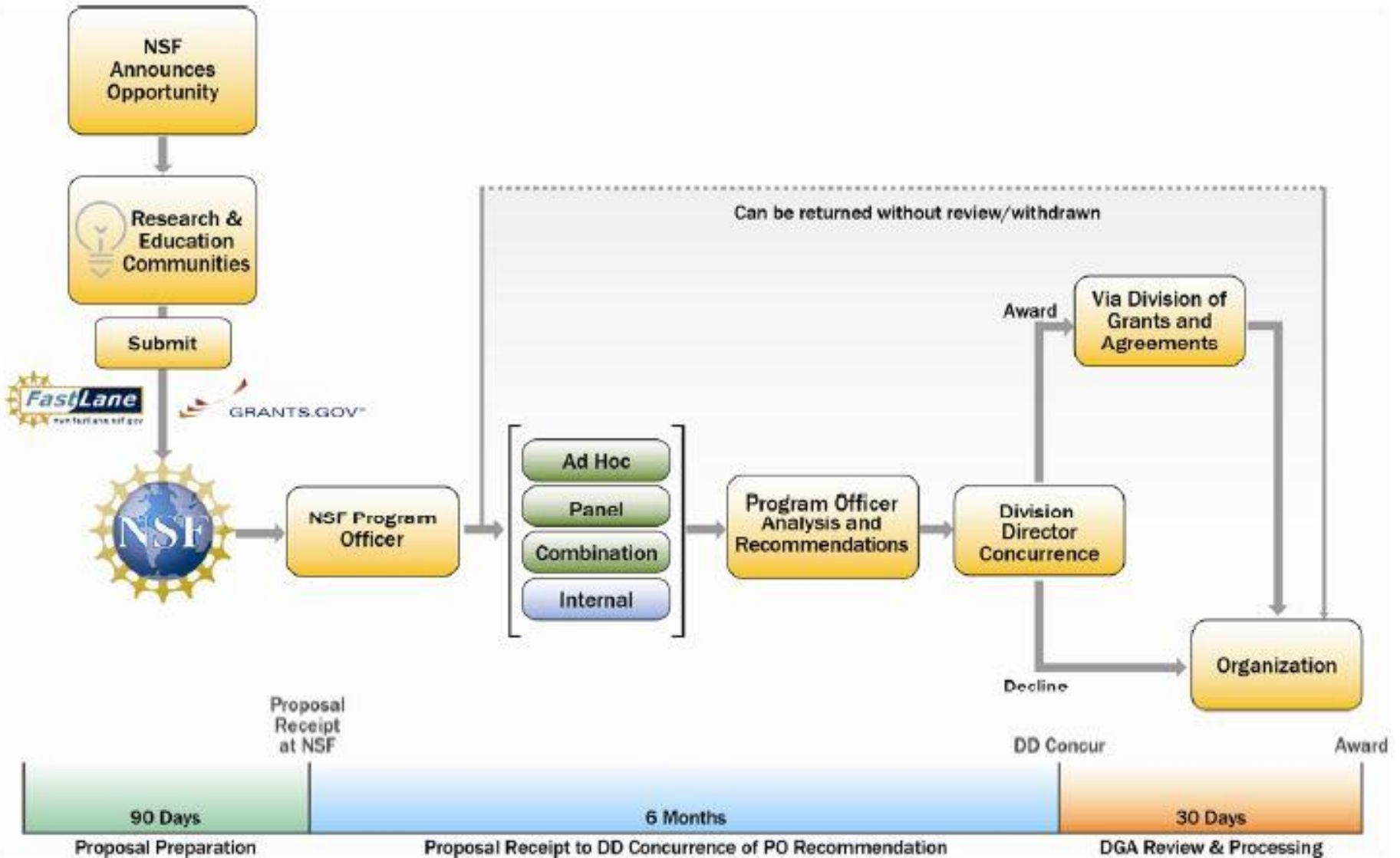
- 1) Cover Sheet and Certification
- 2) Project Summary (2 x 200 word paragraphs)
- 3) Table of Contents (automatically generated by FastLane)
- 4) Project Description (maximum 15 pages)
- 5) References Cited
- 6) Biographical Sketches
- 7) Budget and Budget Justification (also for each subaward)
- 8) Current and Pending Support of Principal Investigator and Senior Personnel
- 9) Facilities, Equipment and Other Resources
- 10) Supplementary Docs
 - 1) Letters of Support for Technology (3 max – indicate market validation!)
 - 2) Company Commercialization History
 - 3) Cooperative Research Agreement (STTR only)
 - 4) Data Management Plan

NSF Project Description

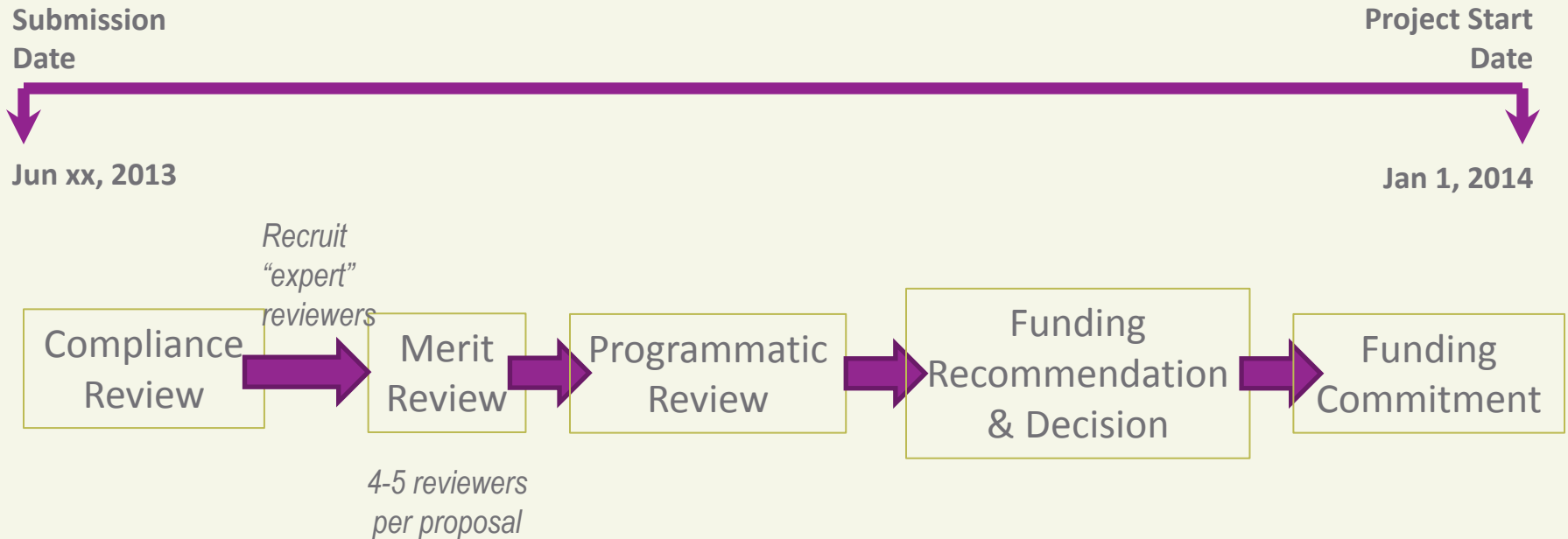
Limited to 15 pages

- 1) Identification and Significance of the Innovation
- 2) Background and Phase I Technical Objectives
- 3) Phase I Research Plan
- 4) **Commercial Potential (3-5 pages)**
 - Market Opportunity
 - Company/Team
 - Product or Technology and Competition
 - Financing and Revenue Model
- 5) Consultants and Subawards/Subcontracts
- 6) Equivalent or Overlapping Proposals to Other Federal Agencies
- 7) Lineage of the Innovation

NSF Application Review Process



NSF Application Review Process



NSF Review Process

Program Officers oversee the review process

- Program Officer recruits peer reviewers
- Applicants can suggest names of well-qualified reviewers
- Applicants can suggest names of persons they prefer not to review the proposal
- Suggestions are adopted at discretion of Program Officer



NSF Review Process

Program Officers oversee the review process

- Compliance Review (program officer + senior advisor)
 - Sufficient technical and commercial potential to justify a review?
 - Falls within the scope of the solicitation topic?
 - Proposes research in science, engineering or education?
- Merit Review (peer reviewers)



NSF Review Process

Program Officers oversee the review process

- Programmatic Review
 - Program Officer formulates a recommendation after consideration of the scientific, technical, and other “appropriate factors”
 - Division Director accepts or declines the recommendation
- Proposals Recommended for Funding
 - Forwarded to Division of Grants and Agreements (DGA) for review of business, financial, and policy implications
 - Only DGA can make funding commitments for NSF



NSF Review Process

Merit Review Criteria

- What is the intellectual merit of the proposed activity?
- What are the broader impacts of the proposed activity?



NSF Review Process

Intellectual Merit – Reviewer Instructions

- Does the plan establish a sound approach for establishing technical and commercial feasibility?
- To what extent are unique or ingenious concepts or applications explored?
- How well-qualified is the team to conduct the project?
- Is there sufficient access to needed resources?
- Is state-of-the-art reflected in the proposed activities?
Are advancements in state-of-the-art likely?



NSF Review Process

Broader Impacts – Reviewer Instructions

- What may be the commercial and societal benefits?
- Does the proposal lead to enabling technologies for further discoveries?
- Will the outcome lead to a marketable product?
- Evaluate the competitive advantage vs. alternative technologies
- Is the project positioned to attract further non-SBIR funding?
- Has the Company successfully commercialized previous SBIR technology?



Proposal Scoring

An Overall Rating from Each Reviewer

- Excellent – outstanding in all respects; highest priority for support
- Very Good – high quality in nearly all respects; support if at all possible
- Good – quality proposal; worthy of support
- Fair – lacks one or more critical aspects; issues need to be addressed
- Poor – has serious deficiencies



Do Your Homework @NSF

The screenshot shows the NSF Award Search page. At the top left is the NSF logo with the tagline "WHERE DISCOVERIES BEGIN". To the right is a search bar and a dropdown menu for "NSF Web Site". Below this is a navigation menu with links for Home, Funding, Awards, Discoveries, News, Publications, Statistics, About, and FastLane. The main heading is "Award Search" with links for "Send Comments" and "Award Search Help". There are four tabs: "Awardee Information", "Program Information", "Search All Free-Text", "Search All Fields", and "More Options". A "Hint" states: "The text field below 'Search Award For' searches the title, abstract, and award number fields." Below this is a "Search Award For:" text input field and a "Restrict to Title Only:" checkbox. A "Program Information" section includes "NSF Organization:" with a dropdown menu and a "NSF Org Lookup" button; "Program Officer:" with a text input field; "Element Code:" with a text input field containing "5371" and radio buttons for "All" and "Any", with an "Element Code Lookup" button; and "Reference Code:" with a text input field and radio buttons for "All" and "Any", with a "Ref Code Lookup" button. A second "Hint" states: "This 'Program' box searches both program element and program reference names and codes. Program names are sometimes entered in abbreviated formats. For best results, please use the program look up function to select the program you are searching for. Free text searches can return incomplete results." Below this are "Program:" and "Field of Application:" text input fields, each with a corresponding "Program Lookup" button.

<http://www.nsf.gov/awardsearch/>



NSF Registration



NSF Electronic Submission

- Required to prepare/submit all proposals through FastLane
- Instructions for FastLane
<http://www.fastlane.nsf.gov/a1/newstan.htm>
- Submission of Electronically Signed Cover Sheets
 - No paper copy necessary
- Submission by 5 p.m. (your time) on deadline date



Industrial Innovation and Partnerships (IIP)

[IIP Home](#)[SBIR/STTR Home](#)

- [Program Information & Requirements](#)
- [Phase I Information](#)
- [Phase II Information](#)
- [Post Award Activities](#)
- [Supplemental Funding Opportunities](#)
- [Review Process](#)

[Active Phase II Grantees \(PDF\)](#)[FAQ](#)[SBIR/STTR Forms](#)[Budget Preparation & Revisions](#)[Advisory Committee](#)[IIP Program and Star Brochures](#)[View IIP Staff](#)

Small Business Innovation Research (SBIR) & Small Business Technology Transfer (STTR) Program

PROGRAMS

Program Information & Requirements

- Program Description
- Program Definitions
- Evaluation & Selection Criteria

[More...](#)

Phase I Program

- NSF SBIR/STTR Philosophy and General Information

[-STTR Program](#)[-SBIR Program](#)[More...](#)

Phase II Program

- Only Phase I Grantees can apply!

- Phase II Information

[More...](#)

Post Award Activities

- Phase I Reporting
- Phase II Reporting
- No Cost Extensions
- PI Change Info

[More...](#)

Supplemental Funding Opportunities

- Explore the numerous supplements offered:

- Phase I and II supplemental opportunities
- Step-by-step instructions

[More...](#)

Review Process

- Information for Reviewers and Panelists

[More...](#)



FastLane is an interactive real-time system used to conduct NSF business over the Internet. FastLane is for official NSF use only. [More About FastLane...](#)

**FastLane
User
Support**

(7 AM to 9 PM Eastern Time • M-F)
1-800-673-6188
FastLane Availability (recording):
1-800-437-7408

Proposals, Awards and Status

Proposal Review

Panelist Functions

Research Administration

Financial Functions

Honorary Awards

Graduate Research Fellowship Program

Postdoctoral Fellowships and Other Programs

Quick Link

- ▶ [Special Exceptions to the NSF Deadline Date Policy Due to Natural or Anthropogenic Events](#)
- ▶ [Registration Information](#)
- ▶ [Award Search and Funding Trends](#)
- ▶ [FastLane FAQs \(Opens new Browser Window\)](#)
- ▶ [Grants.gov FAQ \(Opens new Browser Window\)](#)

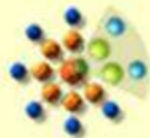
Advisories

- 01/14/13 - Attention FastLane users trying to submit proposals with a Project Summary prepared prior to Jan 11th, 2013.**
- 01/04/13 - Attention FastLane Users: As part of the transition of project reports to Research.gov, you must stop submitting project reports in FastLane starting February 1, 2013.**
- 12/07/12 - FastLane Related FAQs for the Proposal & Award Policies & Procedures Guide (PAPPG). For proposals submitted or due on or after January 14, 2013 (Opens new browser window)**



More Information

[Organization
Registration - Why?](#)



[FastLane
Site Map](#)

New Organization and FastLane Contact Registration

This application allows you to apply to register a new organization and its FastLane Contact.

Before registering a new organization you must see if it already exists. Please enter your organization name in the text box and click the organization search button.

Organization Name:

National Science Foundation
4201 Wilson Boulevard
Arlington, Virginia 22230, USA
Tel: 703-292-5111
FIRS: 800-877-8339
TDD: 703-292-5090

Last Modified:
Sept 10, 2005 (DS)

FastLane Registration

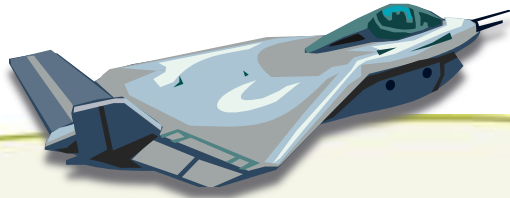
Registration Information

- Organization info (e.g., Name, Address, EIN, DUNS)
- Authorized Representative
- FastLane contact
- Principal Investigator

Submission Process

- Print & sign completed form
- Fax or email to NSF





Department of Defense SBIR/STTR Contracts



Developing the Business of Technology



Home

About

for Small Business

for Government

Awards

Contacts

Get Started Now!

Learn how to submit a proposal and receive R&D funding for your innovation ideas that support the Warfighter

DoD SBIR/STTR Awards by State - 2011



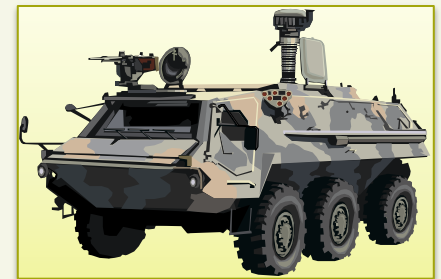
This graphic shows SBIR/STTR program results. Click on the tabs at the bottom of the graphic to view total Awards, Commercialization or Socioeconomic results by State or by Component. Commercialization results are the combined value of sales and additional non-SBIR investments, from either a federal or private entity, which result from, extend, or logically conclude any Phase II project. Click [here](#) to download the data for these graphics for FY 2009–2011.

<http://www.acq.osd.mil/osbp/sbir/>



Objectives of DoD SBIR Program

- Stimulate technological innovation in DoD's Critical Technology Areas,
- Strengthen role of small business in meeting DoD R&D needs,
- Encourage participation by minority and disadvantaged persons in technological innovation,
- Increase commercial application of DoD-supported R&D results.



DoD Critical Technology Areas



- Air Platforms
- Chemical/Biological Defense
- Information Systems Technology
- Ground & Sea Vehicles Technology
- Materials / Processes
- Biomedical
- Sensors, Electronics, Electronic Warfare
- Space Platforms Technology
- Human Systems
- Weapons (Conventional, Directed Energy)
- Nuclear Technology
- Battlespace Environments



DoD Solicitation Schedule

FY-2013 Schedule			
Solicitation	Pre-Release	Open	Close
DoD SBIR 2013.1	16 Nov 2012	17 Dec 2012	16 Jan 2013
DoD STTR 2013.A	25 Jan 2013	25 Feb 2013	27 Mar 2013
DoD SBIR 2013.2	24 Apr 2013	24 May 2013	26 Jun 2013
DoD SBIR 2013.3	26 Jul 2013	26 Aug 2013	25 Sep 2013
DoD STTR 2013.B	26 Jul 2013	26 Aug 2013	25 Sep 2013

You may communicate directly with the Topic Author or TPOC (Technical Point of Contact) ONLY during this window. After that, questions must be posted to DoD's SBIR/STTR Interactive Topic Information System (SITIS).

www.dodsbir.net/sitis





Home » for Small Business » Current Solicitations » DoD 2013.1 SBIR Solicitation

- for Small Business
- Program Descriptions
- Getting Started on Phase I
- Eligibility
- Solicitation Schedule
- Current Solicitations**
- Topic Q&A (SITIS)
- Topic Search
- Proposal Submission
- Process Acceleration
- Resources for Small Businesses

DoD 2013.1 SBIR Solicitation

This solicitation is **OPEN**.

IMPORTANT NOTE: In addition to following the DoD-wide instructions in the DoD Program Solicitation, proposers must also follow the Component-specific instruction for the Component to which they are applying—see table below.

Component Topics	Last Modified	Format		
		HTML	PDF	MS WORD
DoD Instructions: 2013.1 SBIR	December 7, 2012			
Army	December 31, 2012			
Navy	December 31, 2012			
Air Force	December 21, 2012			
CBD	December 17, 2012			
DARPA	December 31, 2012			
SOCOM	December 31, 2012			

IMPORTANT NOTE: A list of modifications made to the solicitation since its release to the Internet is available [here](#).

IMPORTANT DATES

November 16, 2012
 Solicitation enters pre-release

December 17, 2012
 Solicitation opens and DoD begins accepting proposals

January 2, 2013
 SITIS closes to new questions

January 16, 2013
 Solicitation closes to receipt of proposals at **6:00 AM ET**—*plan ahead and submit early.*

DOD SBIR/STTR ANNOUNCEMENT LISTSERV

Join our [Listserv](#) to receive information on SBIR/STTR solicitations and events.



<http://www.acq.osd.mil/osbp/sbir/solicitations/sbir20131/index.shtml>



DoD STTR 2010.2 Solicitation Topics

Army

- A10-115 Manufacturing Development of Biomimetic Tissue Engineering Scaffolds
- A10-116 Miniaturized Fluidic Chip for Impedance Monitoring of Vertebrate Cells
- A10-119 Ultrafast Fiber Lasers Smart Surgical Tool Development
- A09A-T030: Incremental Learning for Robot Sensing and Control
- A10-074 Universal Bio-Sample Preparation Module



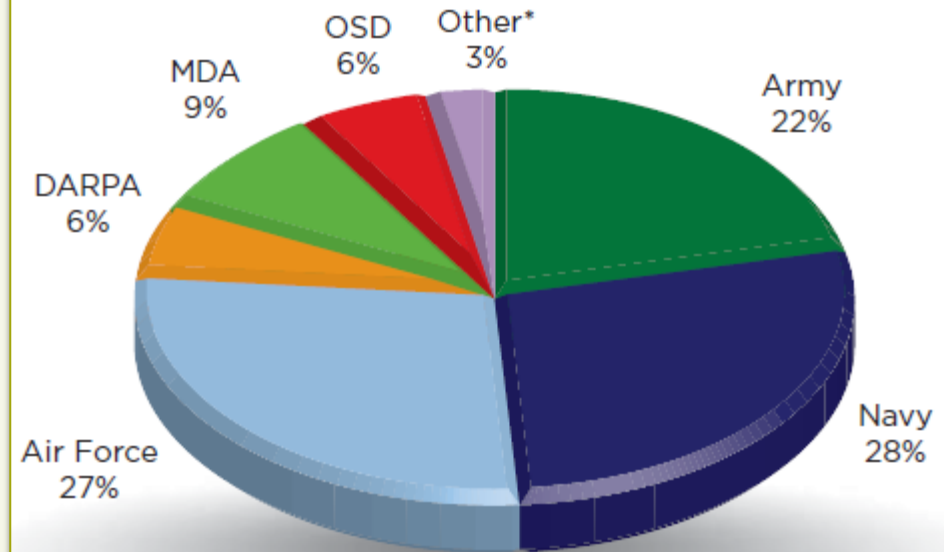
DoD SBIR by Component

Participation At a Glance

Component	SBIR Est. Budget	STTR Est. Budget
Army	\$265M	\$31M
Navy	\$332M	\$40M
Air Force	\$331M	\$40M
DARPA	\$70M	\$8M
MDA	\$111M	\$13M
OSD	\$74M	\$5M
Other*	\$36M	--

**Other includes DTRA, SOCOM, CBD, NGA, DLA and DMEA*

DoD Annual SBIR Budget Exceeds \$1B



http://www.acq.osd.mil/osbp/sbir/docs/SBIR_Program_Flyer.pdf



DoD Three Phase Program

- Phase I awards (+ Phase I option)
 - Typically \$100,000 - \$150,000
 - 6 to 12 months
- Phase II awards (**Reauthorization Change- used to be by invitation*)
 - Awarded on the basis of
 - results of Phase I
 - scientific, technical, and commercial merit of Phase II proposal
 - Typically \$1,000,000
 - Generally < 24 months (subject to negotiation)
 - Expected to produce well-defined deliverable prototype
- **Each Awarding Component Has Unique Guidelines & Rules!!**





DoD Three Phase Program

Phase III

- Obtain funding from the private sector and/or non-SBIR Government
- Develop prototype into viable product/service for sale in military and/or private sector markets
- DoD helps with commercialization



DoD SBIR Solicitation Topic Examples



DoD SBIR / STTR DETAILS - Topics Search Results

Proposals Accepted: August 27, 2012 - September 26, 2012 (6:00 AM ET)

Program: SBIR

Topic Number: MDA12-030 (MDA)

Title: Detailed Lethality Assessments for Flight Test Events

Research & Technical Areas: Sensors, Electronics, Weapons

Topic Author: William Moore, Phone: 256-450-3675, Email: william.moore@mda.mil

Acquisition Program: MDA/DEF

The technology within this topic is restricted under the International Traffic in Arms Regulation (ITAR), which controls the export and import of defense-related material and services. Offerors must disclose any proposed use of foreign nationals, their country of origin, and what tasks each would accomplish in the statement of work in accordance with section 3.5.b.(7) of the solicitation.

Objective: Develop in situ detectors for MDA flight test targets to directly record physical properties in and around the expected warhead location to provide a more definitive measure of interceptor lethality.

Description: MDA has the responsibility to test new and improved interceptor missiles against new and evolving threats. To accomplish this, MDA must constantly upgrade the capability of missile targets to (1) be more threat representative and (2) provide as much physical information as possible about what happens during the "end game", which is characterized by a time period of no more than 100 microseconds. The purpose of this topic is to solicit concepts and system designs that will go beyond the establishment of a hit point on a target and will provide useful information on the sequential destructive processes after the initial impact. Classically, hit detectors have been comprised of X/Y grids of sensing elements that when broken by the initial impact yielded a localized first point of impact. Recently techniques

DoD SBIR Solicitation Topic Examples



PHASE I: Through high-fidelity analysis, investigate projected damage production on a representative, unclassified target. The number and type of physical measurements that would be needed to provide improved situational awareness within seconds after the intercept would be investigated and a prototype system designed. The Phase 1 design would also be required to show, by analysis or experiment, that it would satisfy the speed and extreme environmental chaos that dominates a hit-to-kill intercept.



PHASE II: Realize a design of a prototype system that could be included on typical MDA target missiles. Component testing should be conducted to verify modeling and simulation results. Further analysis of the proposed flight test system design should be conducted. Component/sub-system testing using high-velocity impact ranges should be conducted to verify performance



PHASE III: Mature the prototype system toward flight-ready status and integration within MDA flight test articles. Full and sub-scale system tests should be conducted via ground (e.g. light gas gun, sled, etc.) and/or flight tests. Integration with existing MDA flight test articles should be pursued. **COMMERCIALIZATION:** The contractor will pursue commercialization of the various technologies developed in Phase II for additional DoD or commercial applications. Such applications could include weapons and armor development testing (i.e. lethality), rocket motor safety testing, and in-flight monitoring of debris or other impact events for satellites and other orbiting spacecraft.

References:

1. Lloyd, R.M., "Physics of Direct Hit and Near Miss Warhead Technology", Progress in Astronautics and Aeronautics Vol 194, AIAA, 2001.
2. Vetrovec, John et. al., "Analysis and Testing of Rod-Like Penetrators in the 4-5 Km/s Velocity Regime", International Journal of Impact Engineering Vol. 26 (2001), pages 797-808.
3. Doup, P.W., "Endgame Analyses Against a Ballistic Missile: A



DoD Solicitation Topics

- Only proposals submitted in response to topics in solicitation accepted!
- DoD scientists and engineers author solicitation topics
- Awarding Component
 - Component-specific instructions
 - Unique topics





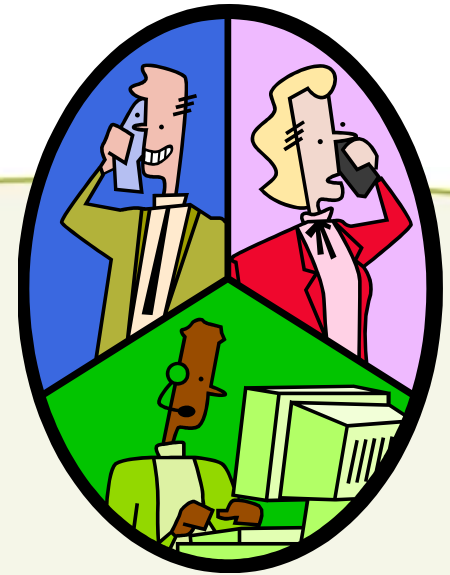
Communicating with DoD TPOCs

TPOC = Technical Point of Contact

- Develop a brief nonproprietary white paper or quad chart that can be emailed to contacts that conveys the story
- Capture their interest because you can solve THEIR problem.



DoD – Influencing Topics



- Search past solicitation topics
 - www.sbir.gov or www.zyn.com/sbir
 - Locate topics in your space
- Call the topic author
 - Discuss your idea
 - Gauge DoD interest
 - Ask if accepting topic suggestions
 - Some awarding components have web links to submit ideas online



DoD SBIR / STTR TOPICS - Basic Search

Topic Number Search

Search by Topic Number:

- OR -

Keyword Search

Search by Keyword:

Limit search to within

AND Matches within

Sorted by

- Topic #
 Agency

DoD SBIR/STTR Topics

Topics for current Department of Defense (DoD) Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Program Solicitations are easily accessed from this site. Search by abstract, proposal title, or keywords.

Current Solicitation	Pre-release Date	Begin Accepting Proposals	
DoD SBIR FY2012.3	July 26, 2012	August 27, 2012	Sept
DoD STTR FY2012.B	July 26, 2012	August 27, 2012	Sept

<http://www.dodsbir.net/Topics/Default.asp>



DoD SBIR / STTR AWARDS - Basic Search

Search For:

(Boolean Operators: ^AND, ^OR, ^NOT; see [Search Tips](#) for more details.)

Limit Search To

Within

Within

Within

AND Matches Within

Sort By

- Firm
 Topic #
 Agency
 State
 Phase
 Award Year

SBIR/STTR Awards

<http://www.dodsbir.net/Awards/Default.asp>

Questions?



Basic Scoop



Small Business Innovation Research (SBIR) for FY83-FY11 and Small Business Technology Transfer (STTR) for FY12-2012.A based on Component submitted data. Use the Custom Search feature (on the right) to conduct searches using any field in the database.

Electronic Submission @ DoD



<http://www.dodsbir.net/submission/SignIn.asp>



Check the current solicitation for submission deadline!

Each proposal submission *must* include:

- ✓ Proposal cover sheets
- ✓ Technical Proposal
- ✓ Cost Proposal
- ✓ Company Commercialization Report



Developing the Business of Technology

DoD Registration



- Register your firm online: <http://www.dodsbir.net/submission/SignIn.asp>
- Other items:
 - ✓ Federal Tax ID
 - ✓ DUNS Number
 - ✓ CAGE Code (CCR)
 - ✓ NOTE: these three items are needed at time of award; NOT to submit a proposal
- Designate a Point of Contact (POC) for your firm
- Upon completion of the registration form, you will receive an on-line confirmation page:



DOD SBIR Updates



- Subscribe to the DOD SBIR/STTR Listserv
- Send an email to:
- sbirlist@listserv.dodsbir.net
- Put "SUBSCRIBE" in the subject line



NIH SBIR/STTR Program

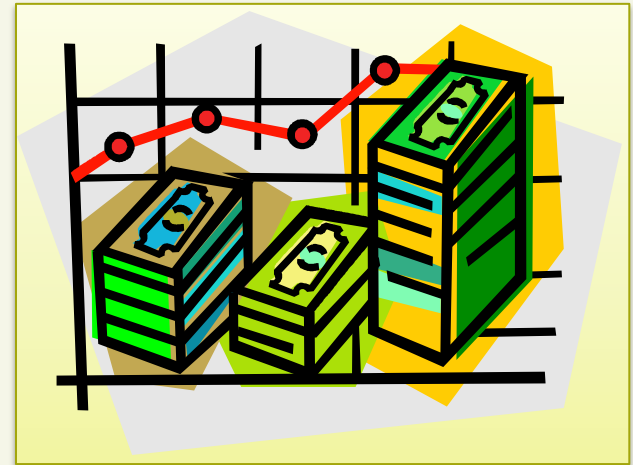


U.S. Department of Health & Human Services

NIH Institutes Differ in Funding

20 institutes & 7 centers at NIH

- 24 of 27 make SBIR awards*
 - Separate budgets (extramural funding)
 - Do your intelligence work first!
 - Target the \$



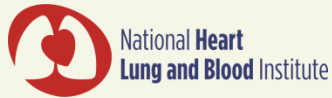
NIH is organized into:



National Human
Genome Research
Institute



27 Separate Institutes & Centers (IC) each with different:



FOGARTY
International Center



- missions & priorities
- budgets
- ways of deciding which grants to fund



Clinical Center



National Institute
on Aging



National Institute of Dental
and Craniofacial Research

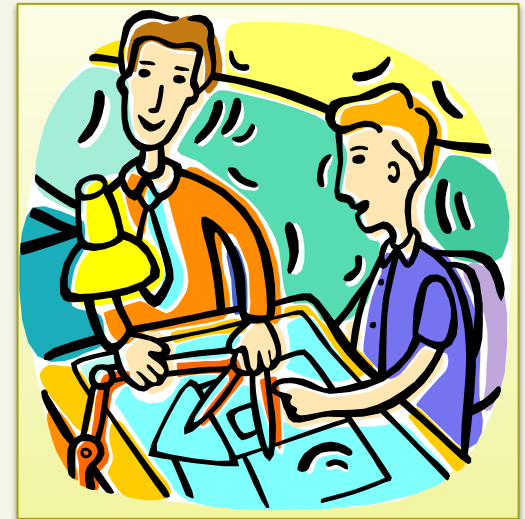


NATIONAL CENTER FOR COMPLEMENTARY
AND ALTERNATIVE MEDICINE

Strategic Planning

BEFORE you start to write your proposal:

- Understand NIH Structure
- Find a Solicitation
- Understand the Review Process
- Define your project
- Understand how to work with NIH



NIH RESEARCH Matters

Stay informed with this weekly update of NIH research highlights.

More ▶

1 2 3 4 5



IN THE NEWS



Celebration of Science

Video highlights of NIH leadership, scientists, patients and caregivers.

Posted on Dec 5, 2012



Glaucoma Awareness

Protecting the vision of family and friends who may be at higher risk.

Posted on Jan 3, 2013



52 Weeks for Women's Health

Get the app, follow the blog, learn how to improve your health!

Posted on Dec 24, 2012

For the Press | Social Media & Outreach

NIH is the nation's medical research agency—supporting scientific studies that turn discovery into health.

Mission | Impact | Organization | Jobs at NIH | Visitor Information | FAQ



THE NIH DIRECTOR



Dr. Francis S. Collins, NIH Director

- Director's Blog
- Follow @NIHDirector
- Email Updates
- RSS Feed
- NIH Leadership

More ▶

Health Topics A–Z



Browse or search an extensive list of consumer health topics

Clinical Trials and You



Learn how you can participate in clinical trials

Impact of NIH Research



Learn how NIH-supported research has had a major positive impact on nearly all of our lives

NIH Research Matters Weekly



The latest science and health news from NIH Research Matters

Science Education



Find resources & interactive activities for teaching and learning about science

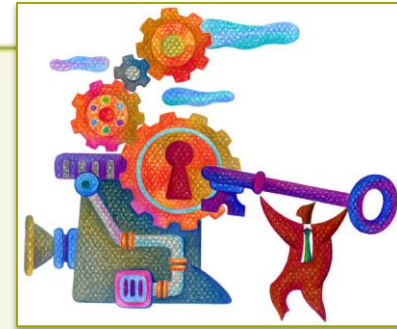
Medical Research Initiatives

- Promoting Scientific Integrity
- Women in Biomedical Careers
- Stem Cell Information
- NIH Common Fund
- More Medical Research Initiatives...

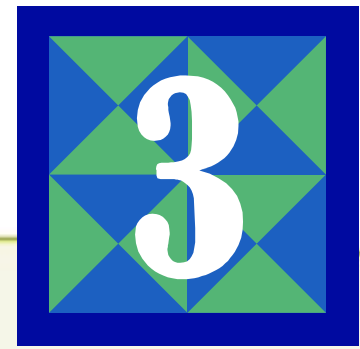


Purpose of NIH SBIR/STTR Program

- Stimulate technological innovation
 - New technologies
 - Refinement of existing technologies
 - New applications for existing technologies
- Increase the commercial application of NIH supported research
 - New medical or biological products
 - Improved value
 - Improved efficiency
 - Improved costs



NIH SBIR/STTR: 3 Phases



- **Phase I (Feasibility Study)**
 - Guideline = \$150k; Cap (NEW) = \$225k
- **Phase II (Full Research R&D)**
 - Guideline = \$1mil; Cap (NEW) = \$1.5mil
- **PHASE II+ (Competing Renewal/R&D)**
 - Clinical R&D; Complex Instrumentation/Tools
 - Many, but not all, ICs participate
 - \$1M/year; 3 years
- **Phase III (Commercialization)**



<http://report.nih.gov/>



NATIONAL INSTITUTES OF HEALTH

Research Portfolio Online Reporting Tools (RePORT)

REPORTS, DATA AND ANALYSES OF NIH RESEARCH ACTIVITIES

Search

[HOME](#) | [ABOUT RePORT](#) | [FAQs](#) | [GLOSSARY](#) | [CONTACT US](#)

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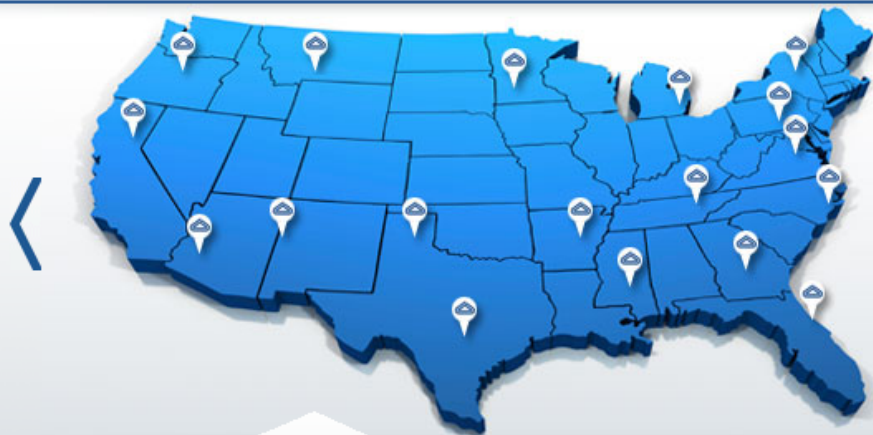
[ORGANIZATIONS](#)

[WORKFORCE](#)

[FUNDING](#)

[REPORTS](#)

[LINKS & DATA](#)



Awards by Location

Consolidates all information about NIH-supported extramural organizations in a single tool.



RePORTER



AWARDS BY LOCATION

[CLICK TO VIEW](#)



NIH DATA BOOK



FUNDING FACTS



CATEGORICAL SPENDING



REPORT CATALOG



SPECIAL REPORTS



ABOUT REPORT

Research Portfolio Online Reporting Tools (RePORT)

In addition to carrying out its scientific mission, the NIH exemplifies and promotes the highest level of public accountability. To that end, the Research Portfolio Online Reporting Tools provides access to reports, data, and analyses of NIH research activities, including information on NIH expenditures and the results of NIH supported research.

News Updates



Biomedical Workforce Task Force Data is available.

Thursday, June 14, 2012

[View Details](#)

[Read More News Updates](#)

[FY2012 Grants Subject to Executive Level I Salary Cap](#)

[Read More...](#)



NIH RePORTER

[ADVANCED SEARCH](#)

Institute/Center:	Fiscal Year:	Principal Investigator: (Last Name, First Name)
ALL	ACTIVE	<input type="text"/>
NCI	2012	<input type="text"/>
NEI	2011	
NHLBI	2010	
NHGRI	2009	
NIA	2008	
	2007	

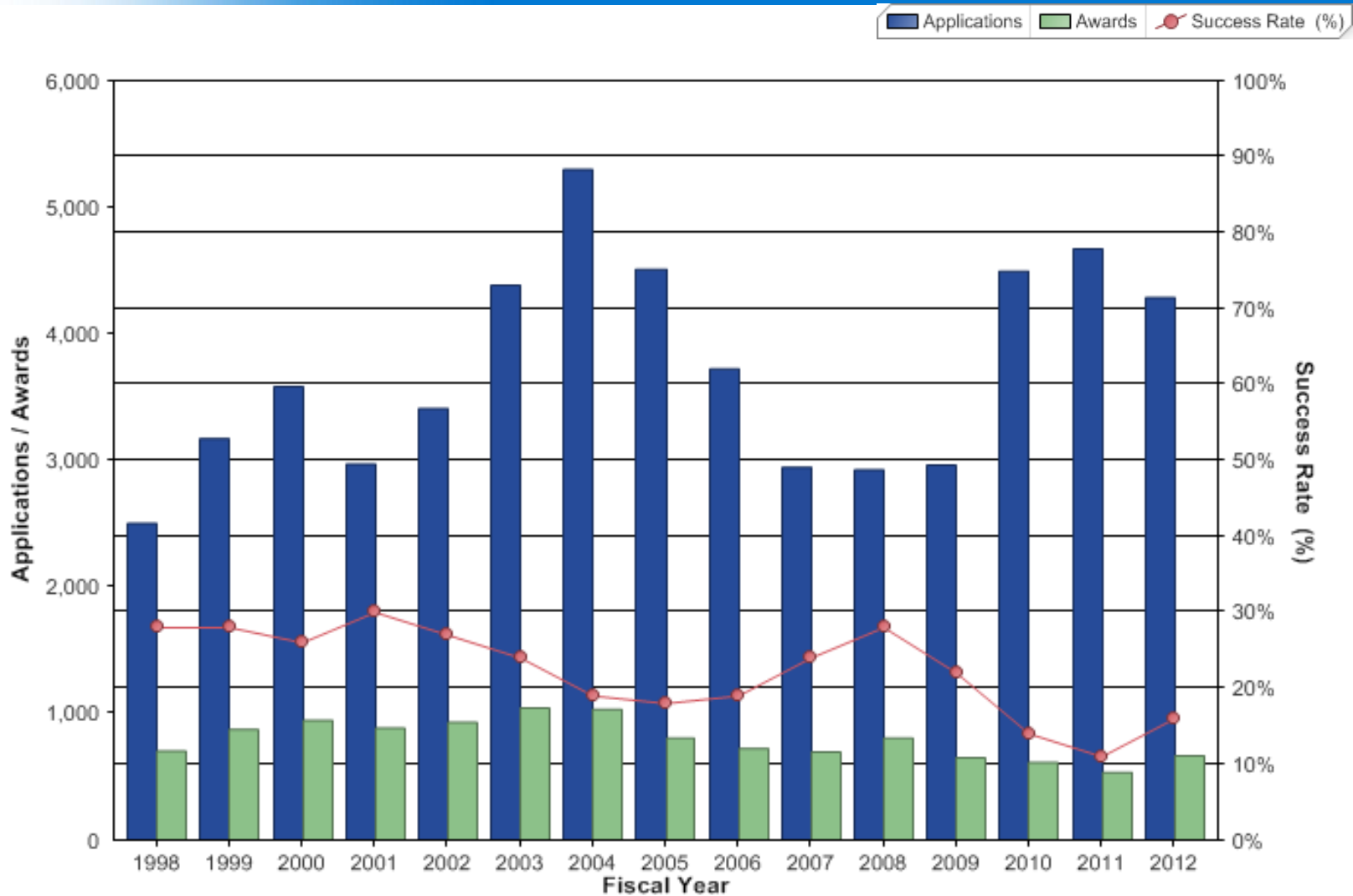
Project Number:

1 R01 CA 811099 01 A1S1

[SUBMIT](#) [CLEAR](#)

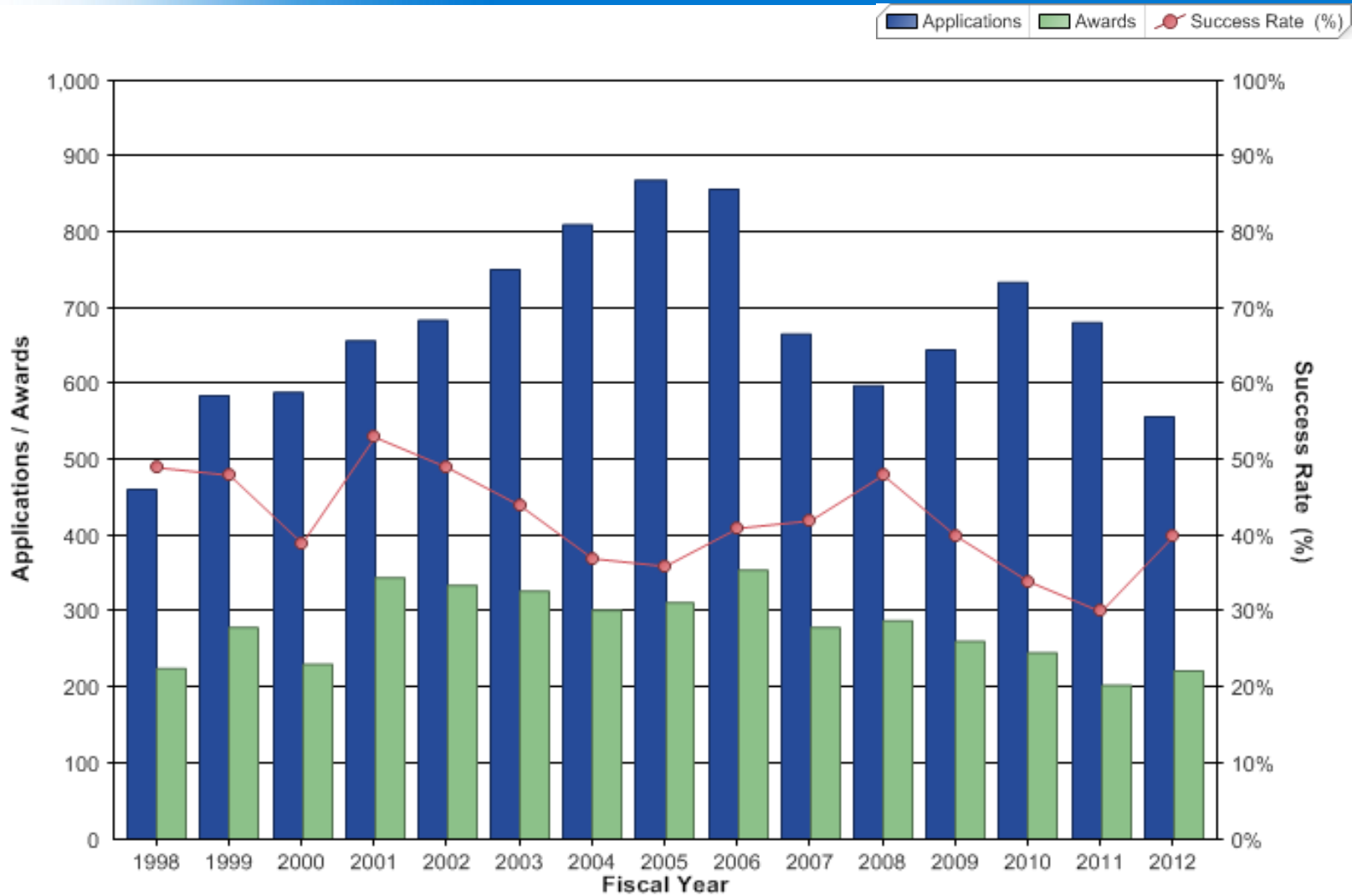


SBIR grants, Phase I Applications, awards and success rates





SBIR grants, Phase II Applications, awards and success rates



GRANTS & FUNDING



About Grants

- [Grants Process Overview](#)
- [Grant Application Basics](#)
- [Types of Grant Programs](#)
- [How to Apply](#)
- [Peer Review Process](#)
- [Award Management](#)
- [Foreign Grants Information](#)
- [Funding Strategies](#)

Electronic Grants

- [Electronic Research Admin \(eRA\)](#)
- [eRA Commons](#)
- [Applying Electronically](#)

Forms & Deadlines

- [Forms & Applications](#)
- [Due Dates & Submission Policies](#)
- [Submitting Your Application](#)

Grants Policy

- [Policy & Guidance](#)
- [Compliance & Oversight](#)
- [Research Involving Human Subjects](#)



New to NIH Grants? 

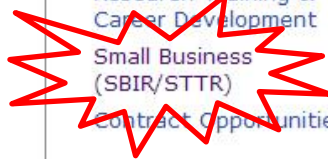
FUNDING

Search NIH Guide for Grants and Contracts

Search

[Funding Opportunities & Notices](#)
[Unsolicited Applications \(Parent Announcements\)](#)

- [Recovery Act](#)
- [Research Training & Career Development](#)
- [Small Business \(SBIR/STTR\)](#)
- [Contract Opportunities](#)



- [NIH Loan Repayment Programs](#)
- [New and Early Stage Investigators](#)
- [Stem Cell Information](#)
- [NIH Common Fund](#)
- [OppNet \(Behavioral & Social Sciences\)](#)



Rock Talk

NEW [New Resource on Scientific Research Integrity](#)

NEW [Two Years of Rock Talking!](#)

[Revisiting the Relationship Between Paylines and Success Rates](#)

Latest News and Events

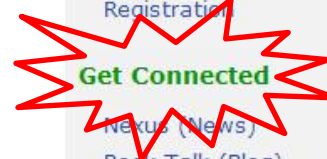
NEW [Publications Report for PHS2590 Now Available with My NCBI](#)

NEW [Public Access Compliance Monitor: New Web-Based Tool Available](#)

NEW [Foreign Grantees: Changes to Payment Management System Registration](#)

Get Connected

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- [Rock Talk \(Blog\)](#)
- [Workshops & Training](#)
- [Listservs & Feeds](#)





Funding Opportunities

Funding Opportunities (RFAs, PAs) & Notices

Unsolicited Applications (Parent Announcements)

Research Training & Career Development

Small Business (SBIR/STTR)

Funding Opportunities

Electronic Submission

Application Submission/Review

Policy

Resources

Transitioning to Phase III

Presentations/Conferences

Archive

LISTSERVS

Contract Opportunities

NIH-Wide Initiatives

New and Early Stage Investigators

Stem Cell Information

NIH Common Fund

OppNet (Behavioral & Social Sciences)

Award Data

NIH Reports (RePORT)

Search NIH Awards (RePORTER)

Welcome to the Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs at the National Institutes of Health

News Flashes

- **NEW** PHS 2013-2 Omnibus Solicitation for SBIR/STTR Grants Now Available
- **NEW** 2013 Spring SBIR/STTR National Conference, May 14-16 National Harbor, MD
- Nomination period now open until January 31st, 2013 for SBA Tibbetts Awards and SBIR Hall of Fame
- NIH Office of Technology Transfer offers new exclusive license agreements for

NIH SBIR/STTR Reauthorization Implementation

REPORT FRAUD, WASTE AND ABUSE

The Office of Inspector General

NIH SBIR/STTR OMNIBUS Solicitation

(Current, Archived)

Funding Opportunities for U.S. Small Businesses

2013 SBIR and STTR Omnibus Grant Solicitations of the NIH, CDC, FDA and ACF

NEW SBIR Parent Funding Opportunity Announcement (PA-13-088)

NEW STTR Parent Funding Opportunity Announcement (PA-13-089)

NEW Program Descriptions and Research Topics (PDF - 1 MB or MS Word - 1 MB)

NEW SBA Approved Topics that can Exceed Award Cap for NIH (PDF - 91 KB)

Standard Receipt Dates: April 5, Aug 5, Dec 5

AIDS and AIDS-Related Receipt Dates: May 7, 2013, September 7, 2013, January 7, 2014

sources about potential fraud, waste, abuse and mismanagement in Department of Health & Human Services programs. The reporting individual should indicate that the fraud, waste and/or abuse concerns an SBIR/STTR grant or contract, if relevant.

Report Fraud

What Are SBIR and STTR Programs?

The Small Business Innovation research (SBIR) program is a

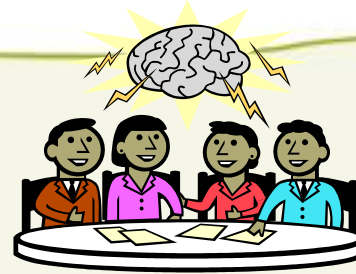
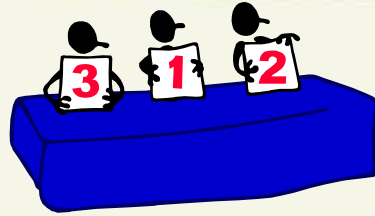
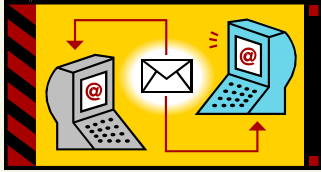
NIH SBIR/STTR Solicitation



SBIR/STTR *Omnibus* Solicitation

- Investigator Initiated Research
- 3 deadlines per year: April, August, December
- Unrestricted Grants
 - Phase I: \$150k - \$225k , 6 months
 - Phase II: \$1 - \$1.5 million, 2 years

NIH Review Process



Application Receipt Dates*	National Technical Merit Review	Advisory Council Board Review	Estimated Award Date
April 5	June/July	Sept/Oct	November
August 5	Oct/Nov	Jan/Feb	March
December 5	Feb/March	May/June	July

Components of an NIH SBIR/STTR

- 1. Introduction to Application (1pg)
- 2. Specific Aims (1 pg)
- 3. Research Strategy (6 or 12 pg)
 - Significance
 - Innovation
 - Approach
- 4. Inclusion Enrollment Report
- 5. Progress report/Publication List (Phase II proposals only)
- 6. Protection of Human Subjects
- 7. Inclusion of Women and Minorities
- 8. Targeted/Planned Enrollment Table
- 9. Inclusion of Children
- 10. Vertebrate Animals
- 11. Select Agents
- 12. Multiple PD/PI Plan
- 13. Consortium/Contractual Arrangements
- 14. Letters of Support
- 15. Resource Sharing Plans
- 16. Appendix
- Bibliography and Refs Cited
- Project Summary/Abstract (30 lines)
- Public Health Relevance Statement/Narrative
- Senior/Key Person Profiles
- Biographical Sketches (4 pg ea.)
- Facilities & Other Resources
- Equipment
- Project Budget
- Subaward Budget
- Cover Letter
- Commercialization Plan (12 pg; Ph II & Fast Track only)
- Forms

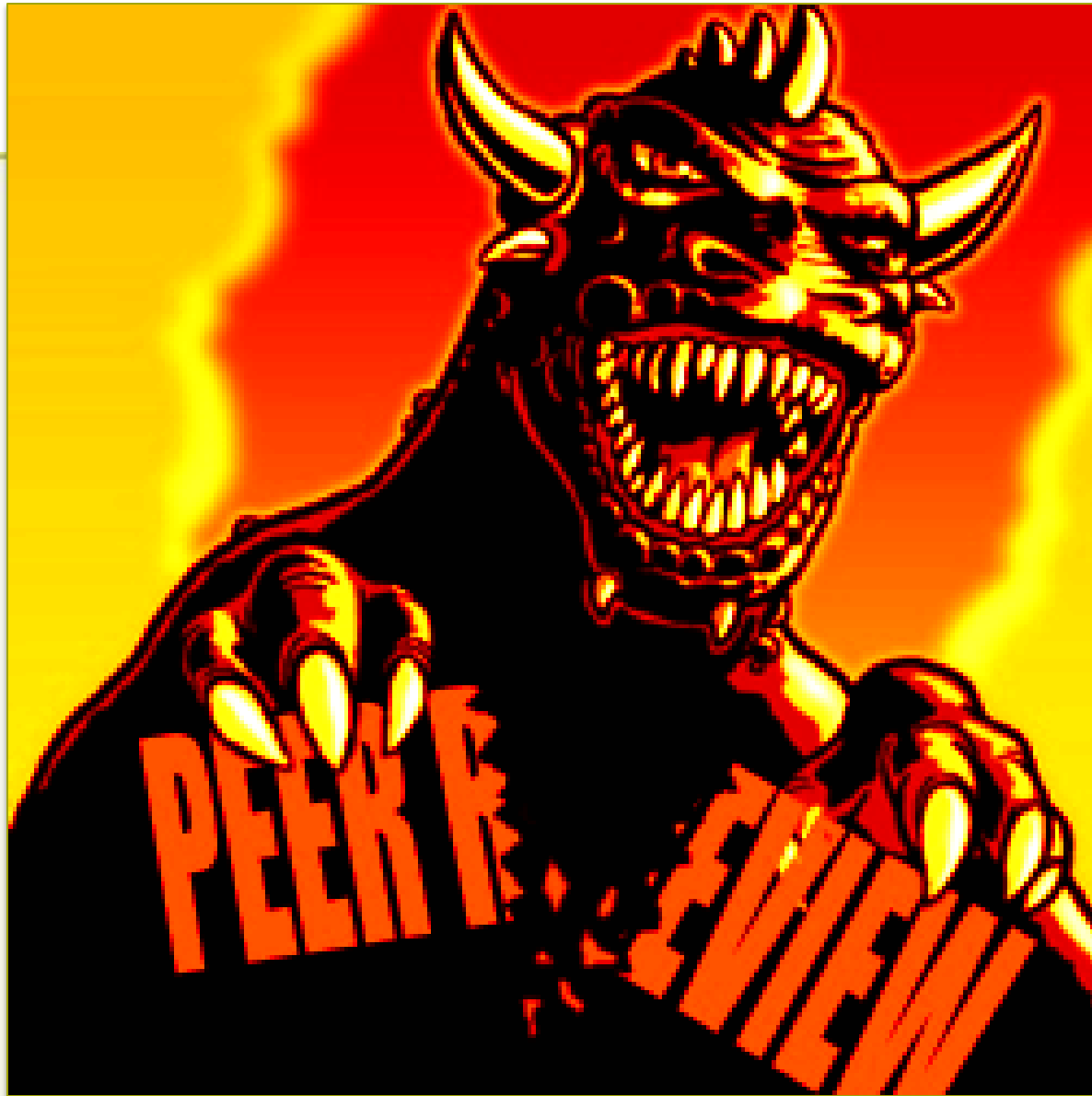
Commercialization Plan Elements

NIH Proposed Layout

- Value of SBIR/STTR project
- Company information
- Market, Customer, Competition
- Intellectual Property Protection
- Finance Plan
- Production and Marketing Plan
- Revenue Stream

No more than 12 pages





Developing the Business of Technology

Center for Scientific Review



center for
scientific review

- Single receiving point for all NIH applications
- Assigns applications to the Scientific Review Groups (aka Study Section)
- Assigns applications to the Institute/Center that is the potential funding component





NIH Peer Review Process Revealed



The Center for Scientific Review (CSR) is the portal for NIH grant applications and their review for scientific merit. We receive all research grant applications sent to NIH and handle the review of more than 70% of those by organizing peer review groups (study sections) to evaluate research grant applications. Our mission is to see that NIH grant applications receive fair, independent, expert, and timely reviews – free from inappropriate influences – so NIH can fund the most promising

Applicant Resources

Resources to assist Planning, Writing and Submitting a successful application.

» [More ...](#)

Reviewer Resources

Tools and guidance for the successful reviewing, critiquing and scoring of applications.

» [More ...](#)

CSR Newsletter

To keep informed about CSR activities and plans, please subscribe to our Listserv.

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Policy Changes

» [Notice of the National Center for Advancing Translational Sciences and Anticipated Implementation Plan](#)


» [Ruth L. Kirschstein National Research Service Awards \(NRSA\) and Other Fellowship Applications: New Policy on Post-Submission Information on Sponsor's Research Funding](#)

» [NIH Research Involving Chimpanzees](#)

» [New Dates for New Investigator A1 R01 Applications](#)

CSR – SBIR /STTR Study Sections

Review Group Descriptions **Study Section Rosters** Meeting Dates



Find a Study Section (Scientific Review Group)
Applications are reviewed in Study Sections. Integrated Review Groups (IRGs) are clusters of Study Sections based on scientific discipline.

Search Integrated Review Group (IRG) / Study Group Using Keywords

Show Descriptions >


View Study Section Descriptions by Integrated Review Group (IRG)

AARR - AIDS and Related Research


Show Descriptions >

PEER REVIEW SEARCH


Review Group Descriptions **Study Section Rosters** Meeting Dates




Standing Study Sections
Review most investigator-initiated research applications (R01, R03, R21, R15, and Ks). Standing study sections have permanent members and temporary members.



SBIR/STTR Study Sections
Recurring special emphasis panels (SEPs) review Small Business Innovation Research (SBIR) and Technology Transfer Research applications (STTR). They include only temporary members.



Fellowship Study Sections
Recurring special emphasis panels (SEPs) review individual fellowship grant applications - F30, F31, F32, F33. Temporary members are recruited based on expertise needed for each meeting.



All Other CSR Study Sections
Other one-time or recurring "Special Emphasis Panels" (SEPs) are held to review applications on special topics and members conflict applications. They include only temporary members.

Other NIH Study Sections
NIH Institutes and Centers also manage many study sections that evaluate applications submitted in response to special solicitations and for unique programs.

H. Bradley Nuss, Ph.D.

Division of Translational and Clinical Sciences

Scientific Review Officer
 Cardiovascular and Respiratory Sciences(CVRS)

NIH/CSR
 Center for Scientific Review, Room 4142
 6701 Rockledge Dr. Bethesda, MD 20892

Email: nussb@csr.nih.gov
 Phone Number: 301-451-8754

CHAIRPERSON

RAJAGOPALAN, SANJAY, MD, FACC
 JOHN W. WOLFE PROFESSOR
 CARDIOVASCULAR MEDICINE AND RADIOLOGY
 WEXNER MEDICAL CENTER
 OHIO STATE UNIVERSITY
 COLUMBUS, OH 43210

MEMBERS

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 JOHNS HOPKINS UNIVERSITY
 BALTIMORE, MD 212182680

AUCHAMPACH, JOHN A, PHD
 PROFESSOR
 DEPARTMENT OF PHARMACOLOGY AND TOXICOLOGY
 MEDICAL COLLEGE OF WISCONSIN
 MILWAUKEE, WI 53226

BOND, BRIAN ROBERT, PHD
 DIRECTOR OF PHARMACOLOGY
 CENTER FOR WORLD HEALTH AND MEDICINE
 ST. LOUIS UNIVERSITY
 ST. LOUIS, MO 63104

IDM- present at the meeting on that date. The most current and two prior rosters are tentative only, pending any last minute changes.

IMM- Study Section Acronym SRO

IMST

IMST ZRG1 CVRS-N 10 BRADLEY NUSS 11/15/2012 (Roster) 7/12/2012 (Roster)

IMST

IMST-L (11) Small » Brain Disorders Language, Communication and Rel Neurosciences Fellowship Study Section[F01]

IMST-M (13) Small Business: Basic and Integrative Bioengineering Filpula, David

IMST-S (12) Small Business: Basic and Integrative Bioengineering Sammak, Paul



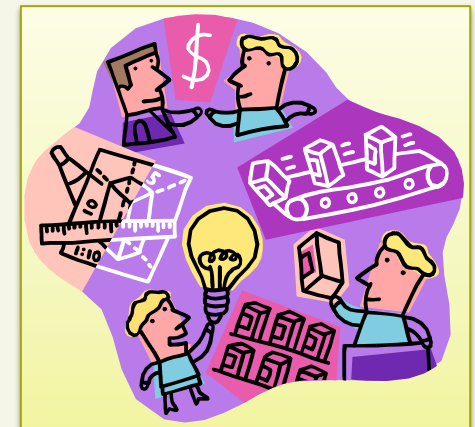
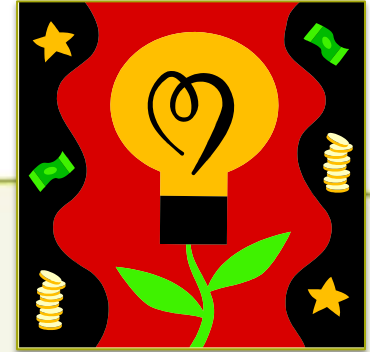
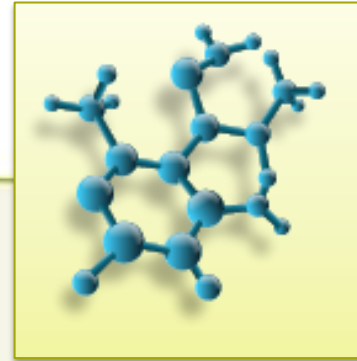
Who Are the NIH Reviewers?

Review panels are assembled on an ad hoc basis for each meeting; therefore designations and scientific emphasis may change with each review cycle.



Review Criteria

- Significance
 - Technical merit
 - Commercial value
- Investigators
- Innovation
- Approach
- Environment



Developing the Business of Technology

Do your homework @NIH (Reporter)

8/30/2012 Release Note: New enhancements now available. View [Release Notes](#) for more information.

QUERY **BROWSE NIH** BETA **NEW**

SUBMIT QUERY **CLEAR QUERY**

NIH ARRA Projects Only: **SELECT**

Text Search (Logic):

And Or Advanced

Search in
 Projects Publications
 Projects & Publications

Limit Publication search to
Start Year: 2011 2012

End Year:

Project Number:
Format: 5R01CA012345-04
Use '%' for wildcard, e.g. %R21%
[Enter multiple project numbers](#)
OR

1 R01 CA 811099 01 A1S1

Principal Investigator / Project Leader:
(Last Name, First Name)
Use '%' for wildcard
[Enter several PI/Project Leader names](#)

Organization: **LOOKUP**
Please enter at least 3 characters to use Lookup.
 Contains Begins with Exact

DUNS Number:

Department: **SELECT**

Educational Institution Type: **SELECT**

City:
Use '%' for wildcard

State: **SELECT**

Country: **SELECT**

Congressional District: **SELECT**

Fiscal Year (FY): Active Projects **SELECT**
Current FY is 2012

NIH Spending Category: **SELECT**

Agency/Institute/Center: **SELECT**

Admin Funding

Funding Mechanism: **SELECT**

Award Type: **SELECT**

Activity Code: **SELECT**

Exclude Subprojects:

Study Section: **SELECT**
Standing CSR study sections only

FOA:
Format: RFA-IC-09-003 or PA-09-003
Use '%' for wildcard
[Funding Opportunities and Notices](#)

Public Health Relevance:

Project Start Date: >= mm/dd/yyyy
Format: mm/dd/yyyy

Project End Date: <= mm/dd/yyyy
Format: mm/dd/yyyy

Award Notice Date: mm/dd/yyyy
Format: mm/dd/yyyy

Newly Added Projects Only:
Projects added since 08/25/2012

SUBMIT QUERY **CLEAR QUERY**

projectreporter.nih.gov/reporter.cfm

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NIH -- Get Connected

NIH National Institutes of Health
Office of Extramural Research

HOME ABOUT GRAINTS FUNDING FORMS & DEADLINES GRAINTS POLICY **NEWS & EVENTS** ABOUT OER NIH HOME

GRANTS & FUNDING

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- NIH Extramural Nexus (News) & Rock Talk (Blog)
- Workshops and Training
- Listservs and Feeds

NIH Extramural Nexus (News) & Rock Talk (Blog)

- Updates on grants policies and activities at the NIH

Workshops & Training

- **Webinars: Sponsored by the Office of Extramural Research**
- **Seminars: Sponsored by OER Offices**
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 - NIH Small Business Research Conferences
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 - OER Exhibit Locations
 - Presentation Information
- **Related Seminars: Sponsored by HHS**
 - Office for Human Research Protections (OHRP) Workshops
 - Office of Research Integrity (ORI) Conferences
- **What's Happening Elsewhere at NIH?**
 - NIH Calendar of Events
 - NIH Institutes, Centers and Offices - Event Links

Listservs & Feeds

Podcasts

- All About Grants

Listservs

- Office of Laboratory Animal Welfare (OLAW)
- eRA Commons News
- NIH Guide for Grants and Contracts
- SBIR/STTR (Small Business-Related)

RSS

- Rock Talk (Blog) (RSS)
- NIH Extramural Nexus (News) (RSS)
- hESC Stem Cell Registry (RSS)
- NIH Guide for Grants and Contracts (RSS)
- OLAW News (Office of Laboratory Animal Welfare) (RSS)

Twitter

- @NIH_OER (OER Communications Office)
- @RockTalking (Tweets from the OER Director)
- @NIHforFunding (NIH Guide for Grants and Contracts)
- @NIH_LRP (NIH Loan Repayment Program)

Facebook

- facebook.com/nihlrp (NIH Loan Repayment Program)
- facebook.com/NIHAreaProgram (Academic Research Enhancement Award R.15)



www.grants.gov



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- Applicant Login
- Find Grant Opportunities
- Get Registered
- Apply for Grants
- Track My Application
- Applicant Resources
- Search, FAQs, Userguides and site information

APPLICANT SYSTEM-TO-SYSTEM

FOR GRANTORS

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HELP

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SITE MAP

Find. Apply. Succeed.

Grants.gov is your source to FIND and APPLY for federal grants. The U.S. Department of Health and Human Services is proud to be the managing partner for Grants.gov, an initiative that is having an unparalleled impact on the grant community. [Learn more](#) about Grants.gov and determine if you are eligible for grant opportunities offered on this site.

Grants.gov does not provide personal financial assistance. To learn where you may find personal help, check [Government Benefits](#), [Student Loans](#) and [Small Business Start-up Loans](#).

RECOVERY.GOV

In response to The American Recovery and Reinvestment Act or Recovery Act, Grant-making agencies are posting Recovery Act specific grant opportunities on Grants.gov. [View all opportunities](#) >

Other information and opportunities regarding the Recovery Act is available. [Learn more](#) >

Update-to-date information on the state of recovery. [Learn more](#) >

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Recovery Act Grant Opportunities

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What's New at Grants.gov

New Opportunities This Week

Read the Latest Quarterly "Succeed" Newsletter

Watch the Grants.gov Stakeholder Webcast held on February 2, 2011

OMB Memoranda for the Use of Grants.gov by the Federal Agencies

FSRS Role-Based Training Webinar for FFATA Sub-Award Reporting

Know your role - @ Grants.gov



- E-Business Point of Contact (POC)
 - responsible for the administration and management of grant activities in the organization.
- Authorized Organization Representative (AOR)
 - submits a grant application to Grants.gov on behalf of a company, or institution.
 - Authority to sign grant applications and the required certifications and/or assurances.
 - Equivalent to the Signing Official in eRACommons.

Registrations – Grants.gov



- Organizational AOR must register with Grants.gov
 - This requires the SAM 'M-PIN' password
- Why?
 - This creates an account on Grants.gov that allows AORs to submit applications on behalf of the organization and track the status of submitted applications.
- How long will it take?
 - Same Day. AORs will be registered when they submit the information.



Registrations – Grants.gov



- AOR Authorization
 - The E-Business Point of Contact (E-Biz POC) at your organization **must** respond to the registration email from Grants.gov and login at Grants.gov to authorize **you** as an Authorized Organization Representative (AOR).
- Track AOR Status
 - Track your AOR status at the Applicant home page of Grants.gov.



- Home
- Applicants
- Grantees
- Reviewers
- xTrain
- About eRA
- News
- eRA Training

eRA systems provide applicants, grantees and federal staff the tools necessary for electronic processing of grants. Used by NIH, AHRQ, CDC, FDA, SAMHSA and the VA, the eRA Commons and IMPAC II systems support the full grants life cycle from receipt to award to closeout.

[Expand Menus](#) | [Collapse Menus](#)

Applicants (Pre-Award)

- Registration/Account Creation
- Fill Out Personal Profile
- Manage Your Professional Bibliography (My NCBI)
- Manage Institutional Profile

[More...](#)

Grantees (Post-Award)

- View Notice of Award
- Manage Your Professional Bibliography (My NCBI)
- Submit Electronic Streamlined Non-competing Award Process (eSNAP)
- Submit Financial Conflict of Interest
- Submit Financial Status Report/Federal Financial Report
- Submit No-Cost Extension
- Close Out Your Grant

[More...](#)

Reviewers

- How To Access Internet Assisted Review (IAR)
- Enter Criteria Scores, Overall Preliminary score, Submit Critique
- Access Grant Apps and Docs for Meeting

About eRA

- Overview of eRA
- Services for Applicants/Grantees
- Services for NIH Staff and Agency Partners

Partnering with Other Agencies

- Overview of eRA Partnerships
- Benefits of Partnering with eRA (PDF - 282 KB)
- Where to Start

Help

- eRA Commons Help Desk
 - Web: <http://era.nih.gov/help/>
 - Toll-free: 1-866-504-9552
 - Phone: 301-402-7469
 - TTY: 301-451-5939
 - Hours: Mon-Fri, 7a.m. to 8 p.m. Eastern Time
- Find NIH Contacts
 - NIH Enterprise Directory (NED) - E-mail and Telephone Directory for All NIH Staff
 - NIH Grants Administration Information Sources

Search eRA:

GO

[Advanced Search](#)



[Need Help?](#)



[Subscribe!](#)



[eRA Deployment & Maintenance Calendar](#)

[More...](#)

System Launch Pad



(eRA IMPAC II authorized users only)

Latest News

NIH eRA eSubmission Items of Interest (November 16, 2012)

New Help Desk Ticketing Service Available Monday, Oct. 29 (October 28, 2012)

NIH - Know your role - @ eRACommons



■ The PI/Principal Investigator (PI)

- Directs the project or activity being supported by the grant.
- Accountable to the grantee for the conduct of the project or activity.
- Can view information for all their applications at NIH

■ The SI/Signing Official

- Authority to legally bind the institution in grants administration matters.
- May have any number of titles in the grantee organization.
- Can register the institution, and create and modify the institutional profile and user accounts.



NIH - Registration – eRA Commons



- SO *creates* or *affiliates* the PI's Commons account
 - Only a signing official (SO) can create principal investigator accounts in NIH Commons.
 - For PIs new to the institution, the SO registers them.
 - **For PIs registered at another institution, the SO must affiliate them with the SO's organization.**
 - Note: If you are both the SO and a PI, you need a separate Commons account for each role.

NIH SBIR/STTR Updates



Subscribe to the SBIR/STTR Listserv:

Send an e-mail to:

LISTSERV@LIST.NIH.GOV

in the message body type

“subscribe SBIR-STTR <your name>”

Subscribe to the NIH Guide to Grants and Contracts Listserv:

Send an e-mail to:

listserv@list.nih.gov

in the message body type

“subscribe NIHTOC-L <your name>”



DoE SBIR/STTR Program



science.energy.gov/sbir/



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Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR)

SBIR & STTR Home

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Funding Opportunities

Awards & General Stats

Success Stories

Commercialization
Assistance

Other SBIR Resources

Events

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Small Business Innovation
Research (SBIR) & Small
Business Technology
Transfer (STTR)
U.S. Department of Energy

DOE SBIR/STTR Webinar – The Basics

Join DOE SBIR/STTR Programs Director, Manny Oliver as he provides an overview of the Department's SBIR and STTR programs.

DOE SBIR/STTR Program Overview

Share

More info

An Overview of the DOE's
Small Business Innovation Research (SBIR)
and Small Business Technology TRansfer
(STTR) Programs

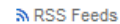
Manny Oliver
Director, DOE SBIR/STTR Programs Office

DOE Webinar

0:00:04 / 1:01:01



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Text Size: A A A

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SBIR & STTR Information

SBIR/STTR Phase I (Release 3) Topics

SBIR/STTR Phase I (Release 3) Funding Opportunity Announcement (FOA) research topics for clean energy R&D technologies that reduce the cost and enable the efficient use of energy and/or the generation



SBIR/STTR at DoE

- Phase I: Feasibility of Idea
 - 9 month duration, up to \$150,000
 - On average, DoE funds 1 out of 10 proposals
- Phase II: Principal R&D Effort
 - 2 years, up to \$1,000,000
 - Odds of winning: 1 out of every 2 to 3
 - Only DoE Phase I awardees may apply



DoE Phase I Details

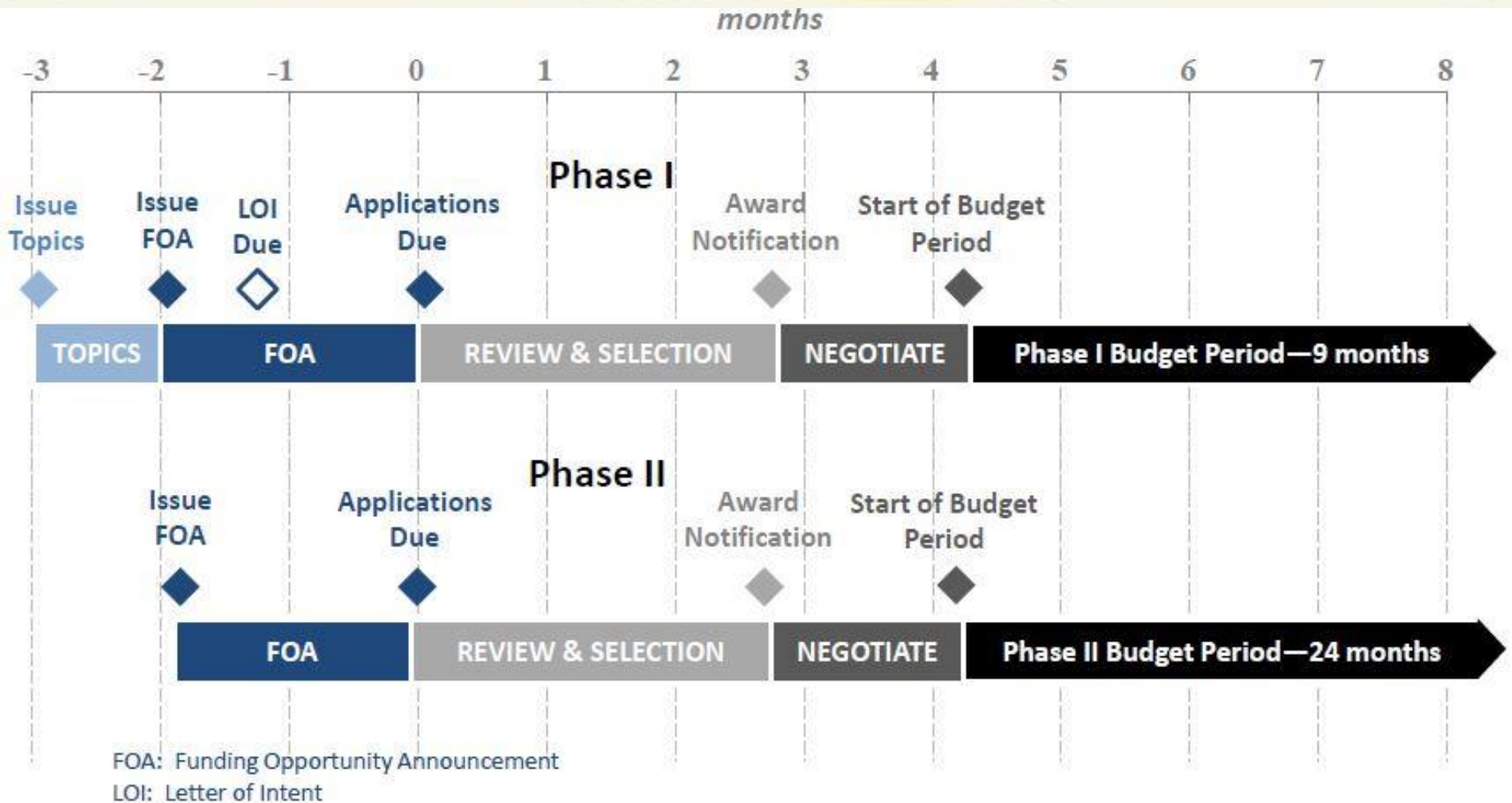
FY 2014 DoE Solicitation Schedule

Phase I

	Release 1	Release 2
Topics Issued	Monday, July 15, 2013	Monday, October 28, 2013
Webinar(s)	Week of July 22, 2013	Week of November 4, 2013
FOA Issued	Monday, August 12, 2013	Monday, November 25, 2013
Webinar(s)	Friday, August 16, 2013	Tuesday, December 3, 2013
Letters of Intent (LOI) Due	Tuesday, September 3, 2013	Monday, December 16, 2013
Applications Due	Tuesday, October 15, 2013	Tuesday, February 4, 2014
Award Notification	Early January, 2014*	Late April, 2014*
Grant Start Date	Late February, 2014*	Early June, 2014*

*Preliminary dates subject to change

Phase I & Phase II Timelines



Topics

You must select a Topic and a sub-topic:

PROGRAM AREA OVERVIEW: OFFICE OF BIOLOGICAL AND ENVIRONMENTAL RESEARCH 47

17.	Atmospheric Measurement Technology (Phase I, \$150,000/Phase II, \$1,000,000).....	48
a.	Instrument Package for Characterization of Aerosols, Turbulence, and Surface Characteristics in the Arctic ...	49
b.	Greenhouse Gas and Carbon Isotope Measurements from UAVs.....	49
c.	Measurements of the Chemical Composition of Atmospheric Aerosols	50
d.	Measurements of the Chemical Composition of Atmospheric Aerosol Precursors	51
e.	Aerosol Size Distributions	51
f.	Aerosol Scattering and Absorption (in situ).....	52
g.	Other.....	52
18.	Carbon Cycle Measurements of Processes in The Atmosphere and Biosphere (Phase I, \$150,000/Phase II, \$1,000,000).....	53
a.	Novel Measurements of Carbon, CO ₂ , and Trace Greenhouse Gas Constituents of Terrestrial and Atmospheric Media	54
b.	Portable Technologies for Fast and Precise Measurements of Atmospheric Nitrogen, Argon, or Oxygen	55
c.	Innovation and Improvement for <i>In Situ</i> Fine Root Measurements	55
d.	Other.....	57
19.	Enhanced Availability of Climate Model Output (Phase I, \$150,000/Phase II, \$1,000,000).....	60
a.	Accessibility of Climate Model Data to Non-Researchers	60
b.	Develop Modeling Capabilities and Tools that will Facilitate a Better Linkage Between Global and Regional Climate Model Output and Wind-Energy Stakeholders	60
c.	Other.....	61
20.	Technologies For Subsurface Characterization And Monitoring (Phase I, \$150,000/Phase II, \$1,000,000).....	62
a.	Mapping and Monitoring of Hydrogeologic Processes.....	63
b.	Real-Time, In Situ Measurements of Geochemical, Biogeochemical and Microbial Processes in the Subsurface.....	64
c.	Other.....	64



Topics

19. ENHANCED AVAILABILITY OF CLIMATE MODEL OUTPUT (PHASE I, \$150,000/PHASE II, \$1,000,000)

Much of the nearly \$2 billion annual research budget for the U.S. Global Change Research Program supports research from the Department of Energy, National Aeronautics and Space Administration (NASA), National Oceanic and Atmospheric Administration (NOAA), and National Science Foundation (NSF). Studies supported by this research, include modeling and simulation of long-term climate change. Model output resulting from climate change projections is a valuable resource and the DOE has played a crucial role in providing such datasets to the research community. For example, the Program for Climate Model Diagnosis and Intercomparison (PCMDI) (http://www.pcmdi.llnl.gov/ipcc/about_ipcc.php) makes available a subset of multi-model output from the Intergovernmental Panel for Climate Change (IPCC) Fourth Assessment Report to researchers for non-commercial purposes only. However, other users, particularly non-researchers that intend to use the data for commercial purposes, have been requesting access to the multi-model output. As the temporal and spatial resolution of models increase, vast amount of climate model output are generated; access and analysis of such data by non-researchers is a daunting challenge.

Grant applications are sought only in the following subtopics:

a. Accessibility of Climate Model Data to Non-Researchers

The purpose of this subtopic is to broaden the usage of federally-funded, long-term climate change simulations of high-end climate models, such as the Community Climate System Model, the NOAA Geophysical Fluid Dynamics Laboratory model, and the NASA Goddard Institute for Space Studies model.

Therefore, grant applications are sought to develop technology for making the output of these models more accessible to a variety of users. Approaches of interest include the development of (1) preferred data formats for users of climate model output in particular applications (e.g., agriculture, water resources, energy); (2) methods for converting the data from existing data formats to formats required by users in the application communities; and (3) improved software frameworks and prototypes for data access by distinct application communities. Applicants are expected to document lessons learned in the experience of providing climate model output data to the non-research community.

Questions – contact rick.petty@science.doe.gov

Do Your Homework

science.energy.gov/sbir/awards-and-general-stats

You are here: [SC Home](#) » [Programs](#) » [SBIR & STTR Home](#) » [Awards & General Stats](#)

Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR)

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- [Funding Opportunities](#)
- [Awards & General Stats](#)**
 - [FY 2012 Awards](#)
 - [FY 2011 Awards](#)
 - [ARRA Awards](#)
 - [FY2010 Awards](#)
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Awards & General Stats

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SBIR/STTR Awards and General Statistics

This page supplies information about SBIR/STTR awards, statistics and R&D Awards

SBIR/STTR Awards	R & D 100 Award Recipients	Award Statistics
----------------------------------	--	----------------------------------

SBIR/STTR Awards

Fiscal Year 2012 Awards

FY 2012 Release 1 Phase I Awards

- Sorted By Topic - [PDF Version](#) (313KB) | [HTML Version](#)
- Sorted By State - [PDF Version](#) (127KB) | [HTML Version](#)

Fiscal Year 2011 Awards

FY 2011 Phase I Awards

- Sorted By Topic - [PDF Version](#) (550KB) | [HTML Version](#)
- Sorted By State - [PDF Version](#) (605KB) | [HTML Version](#)

FY 2011 Phase II Awards

- Sorted By Topic - [PDF Version](#) (446KB) | [HTML Version](#)
- Sorted By State - [PDF Version](#) (325KB) | [HTML Version](#)

Manufacturing Awards

- [PDF Version](#) (126KB) | [HTML Version](#)

CONTACT INFORMATION
Small Business Innovation

DoE Phase I

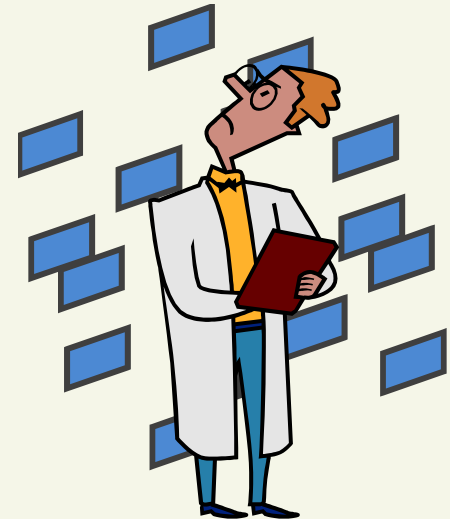
Letters of Intent (Release 1 & 2)

- **Primary purpose**
 - Begin reviewer assignment to reduce award cycle time
 - **Secondary purpose**
 - Provide notification to applicants who appear to non-responsive; you may submit a formal application if you receive this notification
 - **Limits**
 - Small businesses may submit only 10 letters of intent per solicitation
- **Content:**
 - Title
 - Topic and subtopic
 - Abstract (<500 words)
 - List of collaborators
 - Small business information
 - Name, address
 - Business official and contact information
 - Principal investigator

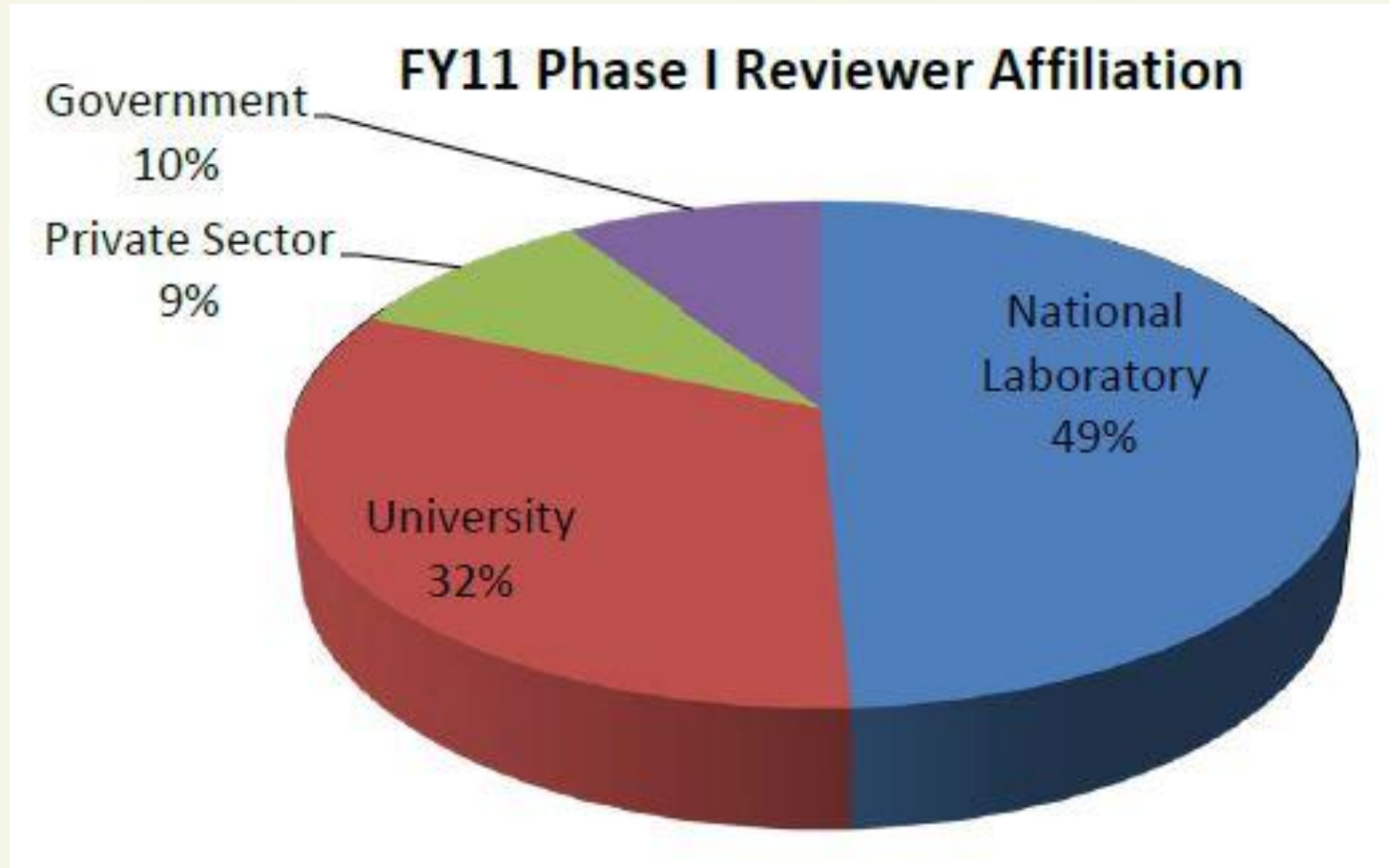
Merit Review Criteria

Equal weight to:

1. Scientific/Technical Approach
 - a. Innovativeness of the approach
 - b. Significance of the scientific challenge
 - c. Thoroughness of the presentation
2. Ability to Carry out the Project
 - a. Qualifications of PI and team
 - b. Soundness of work plan
 - c. Justification for DoE investment
3. Impact
 - a. Significance of the potential benefits
 - b. Likelihood of a marketable product
 - c. Potential for third-party funding



Make-up of Review Panel



DoE Proposal

Project Summary (1-page maximum)

- Company Name
- Project Title
- Principal Investigator
- Topic Number / Subtopic Letter (example: Topic 11, Subtopic b)
- **Statement of the Problem or Situation that is Being Addressed** –The DOE's and public's interest in the problem should be clearly stated (typically one to three sentences).
- **Statement of How this Problem or Situation is Being Addressed** –The overall objective or approach of the combined Phase I and Phase II projects should be clearly stated (typically one to two sentences).
- **Commercial Applications and Other Benefits** – Summarize the future applications and/or public benefits if the project is carried over into Phase II and beyond.
- **Key Words** – Provide listing of Key Words that describe this effort.



DoE Proposal

Project Summary

- **Summary for Members of Congress** – The DoE notifies members of Congress of awards in their respective districts. Therefore, please provide in clear and concise non-technical language, a very brief summary of the project, suitable for a press release from a Congressional office. (This summary should be a maximum of two (2) sentences and no more than 50 words.)
- As noted above, do not include proprietary, confidential information or trade secrets in the description section. If the application is funded, the Project Description will be entered into a DoE database and made available on the DoE public web site at www.science.doe.gov/sbir and will become public information.
- The attachment must be in PDF format.



DoE Proposal

Project Narrative

Limited to 15 pages; 7,500 words of text

- a. Cover Page
- b. Proprietary Data Legend
- c. Identification and Significance of the Problem
- d. Anticipated Public Benefits
- e. Technical Objectives
- f. Phase I Work Plan
- g. Phase I Performance Schedule
- h. Related Research or R&D
- i. Principal Investigator and Other Key Personnel
- j. Facilities/Equipment
- k. Consultants and Subcontractors



DoE Proposal

Commercialization Plan

- Market Opportunity:
 - Must include expected revenues
- Intellectual Property (IP):
 - Describe status of patents, trade secrets, plans to protect IP
- Company/Team
 - Include current team's capabilities
 - Mention future additions



Mandatory Statement for Comm Plan

“ABC LLC estimates sales revenues of \$_____ and licensing revenues of \$_____ during the first 10 years of commercialization.”

DoE Commercialization Review Criteria

- 1. Company Information** – Describe core competencies, size, specialization areas, products with significant sales, and history of previous Federal and non-Federal funding, regulatory experience, or subsequent commercialization (see question 8 for specific information requested on the “SBIR/STTR Information” form).
- 2. Market** – Analyses of market size and estimated market share after first year sales and after 5 years. We want to see if a small business applicant is aware of the general market characteristics for which its innovation or technology may apply.
- 3. Intellectual Property (IP)** – Patent status, technology lead, trade secrets, or other demonstration of a plan to achieve sufficient protection to realize the commercialization stage. We want to see if a small business applicant is taking steps to protect its IP.



What is SBIR/STTR?



SBIR/STTR is federal funding mechanism to support small business to:

- Stimulate **technological innovation**
- To develop products with **commercial merit**



How to be successful in SBIR/STTR

■ The Project

- Innovation
- Commercial potential



■ The Company

- Eligible
- Qualified PI
- Excellent team
- Suitable facilities

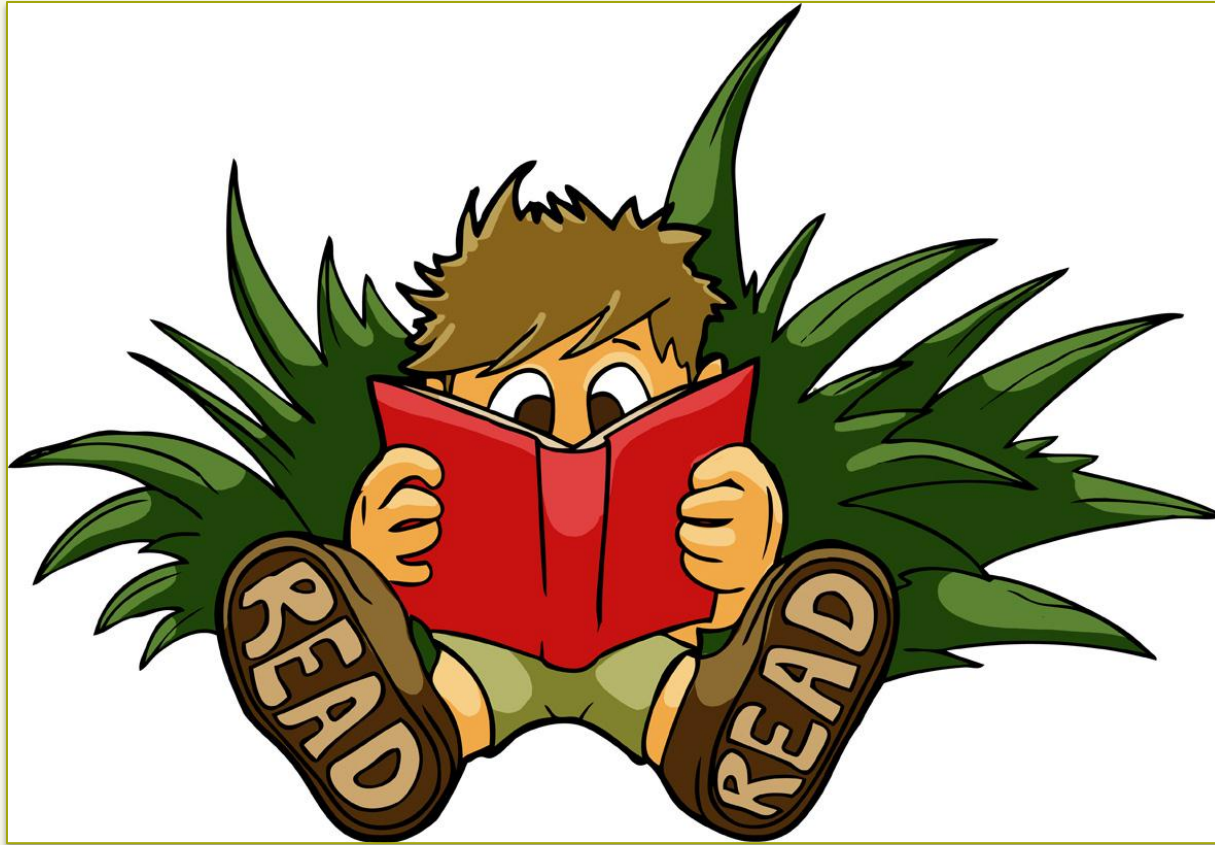


Grantsmanship

“There is no grantsmanship that will turn a bad idea into a good one, but there are many ways to disguise a good one.”



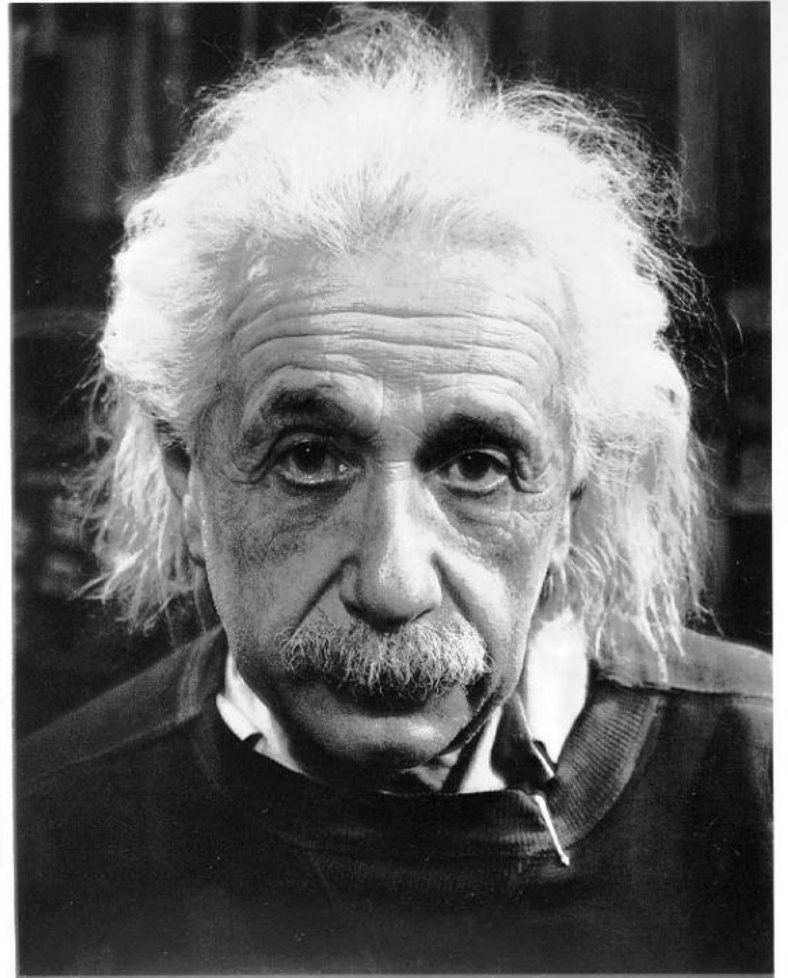
Read the Solicitation



Style tips...

- Be concise & precise
- No emotion or exaggeration
- Use proper technical writing
- Provide necessary detail
- Avoid jargon & abbreviations
- Keep it simple





“If you can't explain it simply, you don't understand it well enough”

- Albert Einstein

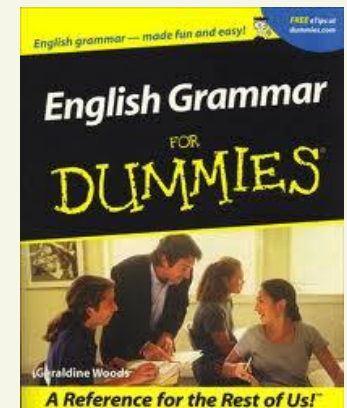


Get Help



- Get someone else to:
 - Read for grammar
 - Read for content

- Make sure you have answered the following two questions:
 - Technology: *How?*
 - Commercialization: *So what?*



Deadline – definition



Dictionary.com Unabridged (v 1.1)

dead-line

–noun

- 1. the time by which something must be finished or submitted; the latest time for finishing something: a five o'clock deadline.**
- 2. a line or limit that must not be passed.**
- 3. (formerly) a boundary around a military prison beyond which a prisoner could not venture without risk of being shot by the guards.**

[Origin: 1855–60; dead + line¹]

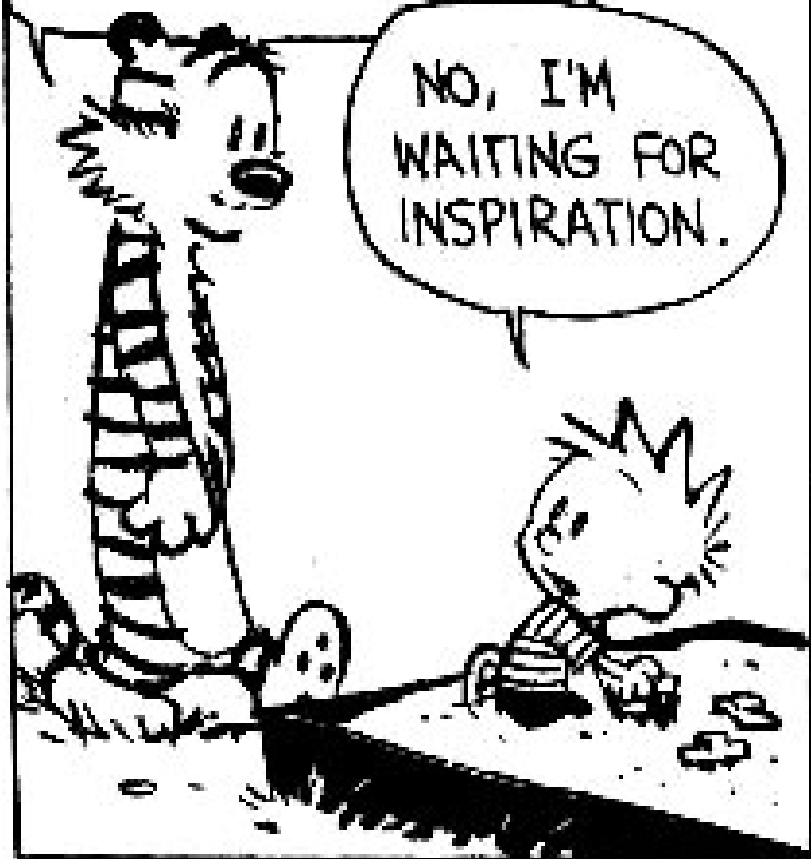
Dictionary.com Unabridged (v 1.1)

Based on the Random House Unabridged Dictionary,
Random House, Inc. 2006.

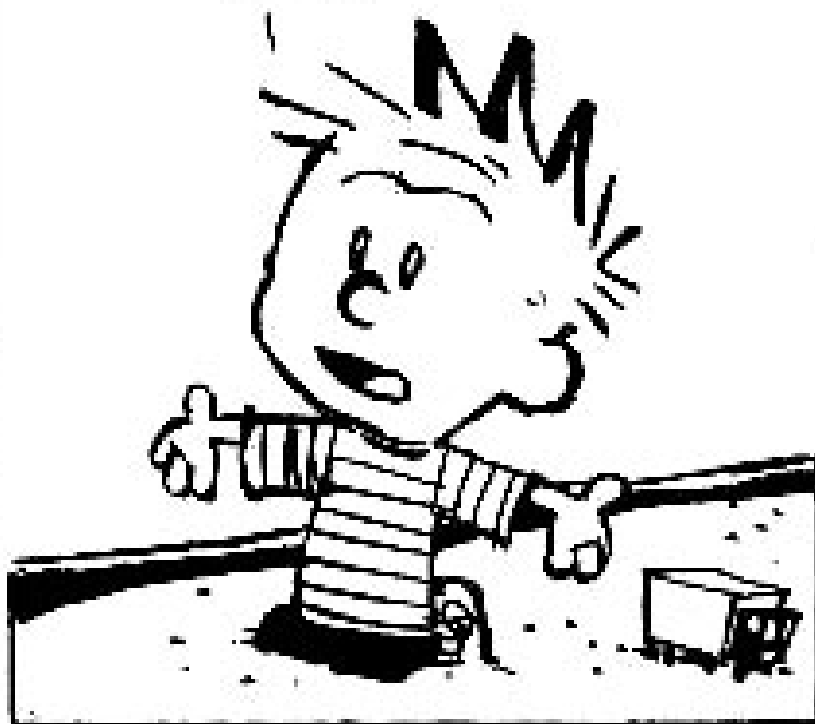


DO YOU HAVE AN IDEA FOR YOUR GRANT YET?

NO, I'M WAITING FOR INSPIRATION.



YOU CAN'T JUST TURN ON CREATIVITY LIKE A FAUCET. YOU HAVE TO BE IN THE RIGHT MOOD.





For More Agency Information



- **Attend the National Spring 2013 SBIR Conference**
 - Washington DC area, May 14-16, 2013
 - Co-located with TechConnect World & National Innovation Summit
- **Attend the NIH SBIR/STTR Conference**
 - October 28-30, 2013
 - Sioux Falls, SD



SBIR/STTR Grants: Commercialization Plans



Assumption #1:

A good idea is necessary...

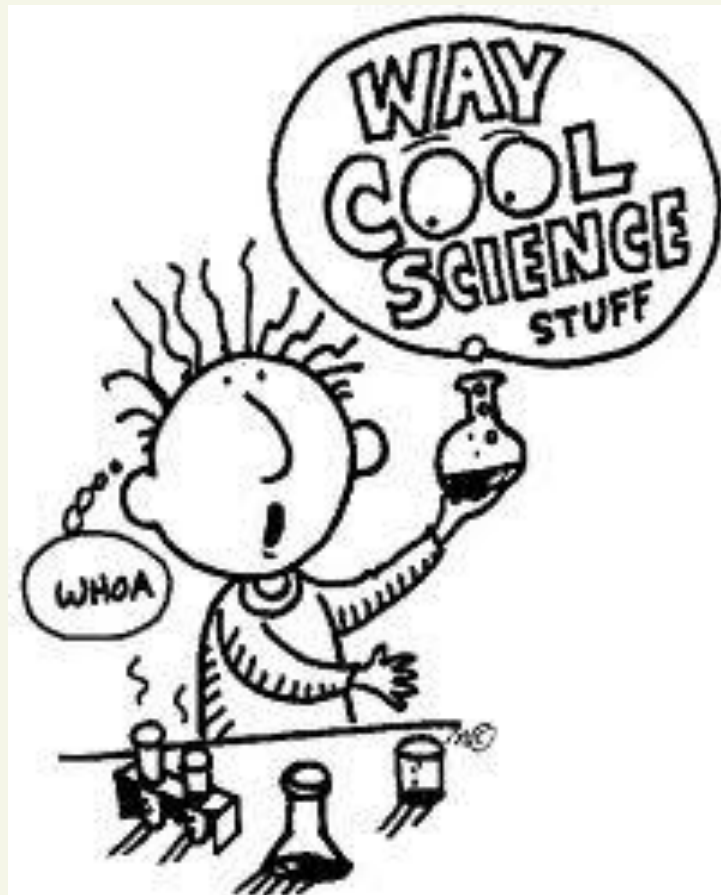
but not sufficient.



IT SOUNDED LIKE
A GOOD IDEA
AT THE TIME

Assumption #2:

SBIR/STTR does not fund “science fair projects”



Assumption #3

You will need a combination of technical
AND business expertise

(e.g., “**You can not possibly know everything**”)



Assumptions #4a and 4b:

A Market Analysis is NOT a Commercialization Plan



Large Market \neq Commercialization

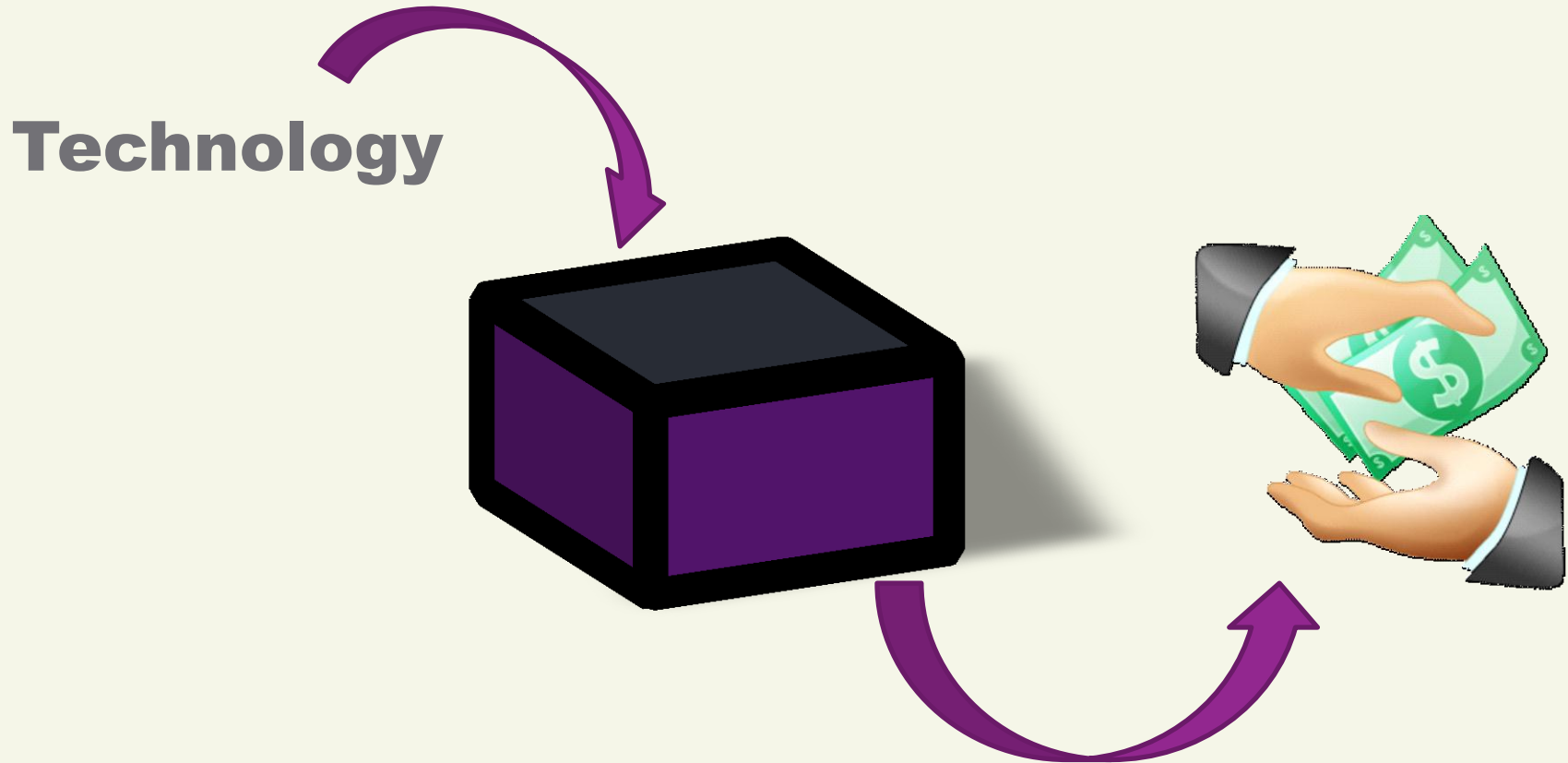
Assumption #5:

There is no such thing as the
“Build it and they will come”
Business Model



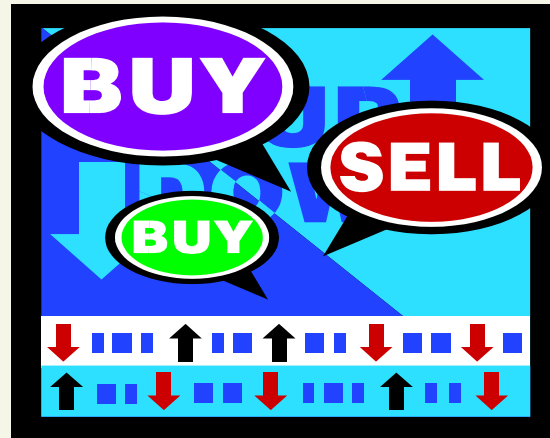
Assumption # 6:

This is *NOT* a feasible business model:



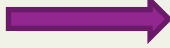
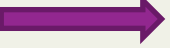


What is Commercialization?





- Ability to provide a solution to a problem in exchange for money
 - Targeted and Differentiated Solution
 - Important Problem
 - Viable Business Model



Most Common Pitfalls

	Year 1	Year 2	Year 3	Year 4
Product Development				
Business Development				

Naïve Planning process

	Year 1	Year 2	Year 3	Year 4
Product Development				
Business Development				

Product Development and Business Development go hand in hand

Knowing your customer helps develop both simultaneously

BBC's Grant Assistance

- Assessment of competencies and capabilities
- Strategic planning
- Grant sourcing
- Training on all aspects of the process including in-depth proposal preparation
- Pre-submission review and editing
- Assistance with revision and resubmission
- Post-award administrative assistance and grant management





**Entrepreneurial
Training & Consulting**

Developing the Business of Technology



Technology Grants for Small Business

- F.A.S.T. - Federal State Technology Partnership
- SBIR - Small Business Innovative Research
- STTR – Small Business Technology Transfer

Part I: The ABCs of SBIR/STTR

Part II – Walk Through The Application Process

May 29, 2013

Lisa M. Kurek

Managing Partner

lisa@bbcetc.com

www.bbcetc.com

734.930.9741