



# Early Stage R&D Funding: SBIR/STTR Grants Overview

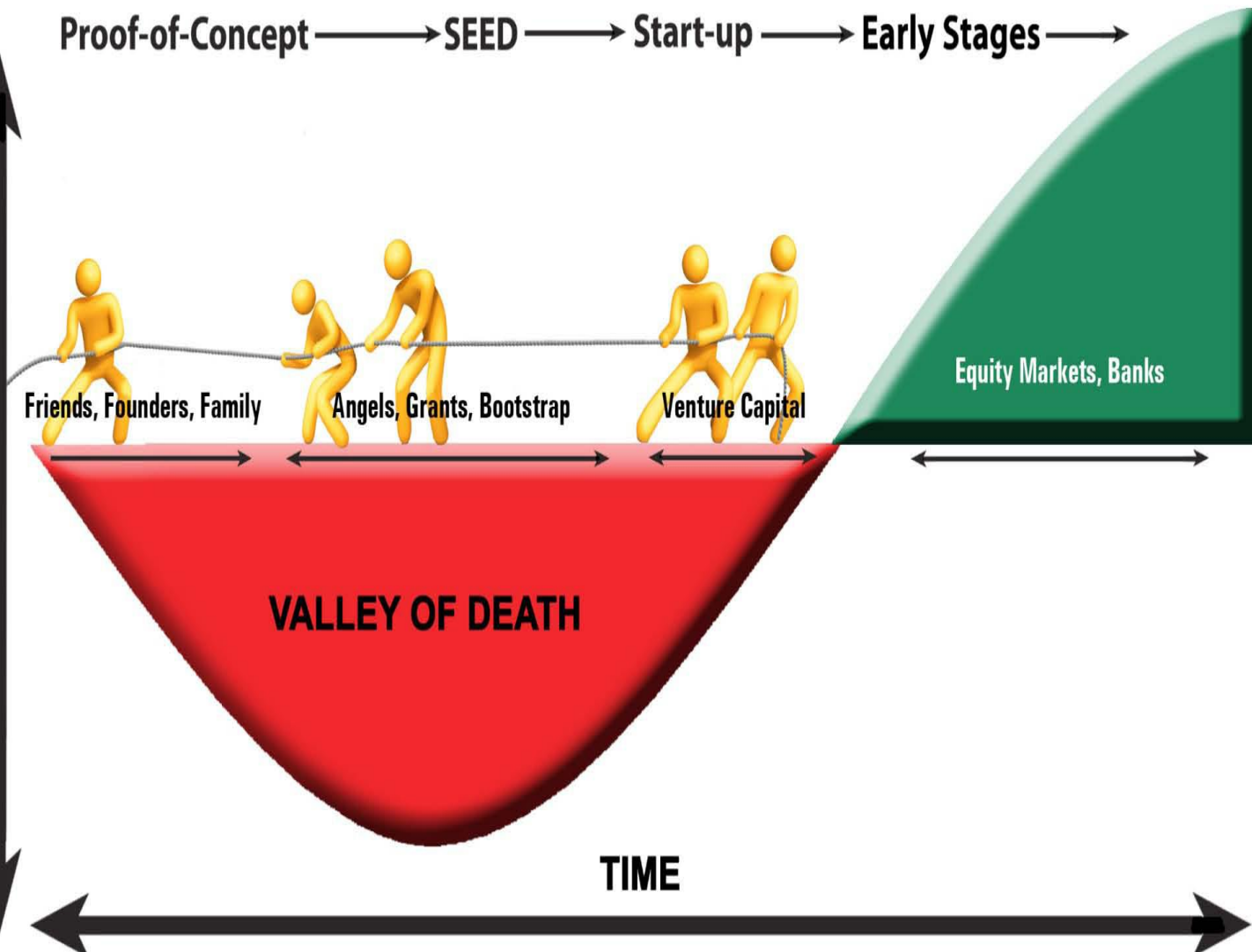
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<http://mofast.net/>

# Missouri Small Business & Technology Development Centers

Proof-of-Concept → SEED → Start-up → Early Stages →

PROFIT



Friends, Founders, Family

Angels, Grants, Bootstrap

Venture Capital

Equity Markets, Banks

VALLEY OF DEATH

TIME



## Technology and Commercialization Model

Phases	Concept Phase	Development Phase			Commercialization Phase	
Stages	Investigation	Feasibility	Development	Introduction	Growth	Maturity
<b>TECHNICAL</b>	Technology Concept Analysis	Technology Feasibility	Engineering Prototype	Pre-Production Prototype	Production	Production Support
<b>MARKET</b>	Market Needs Assessment	Market Study	Strategic Marketing	Market Validation	Sales & Distribution	Market Diversification
<b>BUSINESS</b>	Venture Assessment	Economic Feasibility	Strategic Business Plan	Business Start-Up	Business Growth	Business Maturity

[After The Goldsmith Commercialization Model \(1999 H. Randall Goldsmith, Ph.D.\)](#)

<http://asbdc.ualr.edu/technology/commercialization/index.asp>



# SBIR/STTR

## Program Emphasis

- Stimulate globally competitive technological innovation,
- Strengthen the role of small businesses in meeting federal research and development needs,
- Increase private sector commercialization of technologies derived from federal R&D,
- Provide seed capital for early-stage, emerging, high-risk, high-payoff technologies, and
- Foster and encourage participation by minorities, disadvantaged persons and women in technological innovation



# SBIR Eligibility

## SBIR:

- At least 51% owned by U.S. citizens or legally admitted permanent-resident aliens
- Organized as a for-profit company
- Designated as a small business with <500 employees
- Principal investigator primarily employed by company
- All work must be performed in the U.S.



# STTR Eligibility

- Three phase program that parallels SBIR
- Aimed at moving tech from academia through small business into marketplace
- R&D must be a joint effort between small business and non-profit research institution
- Program and funds are managed by the small business, but P.I. may be from non-profit



# Major Advantages to SBIR/STTR Programs

- Significant amount of funds reserved for small, innovative firms
- Funds high risk projects
- Firm retains IP – no dilution
- Provides valuable credibility
- Offers a simplified route to obtaining federal R&D funds



# Solicitations

- Search all agencies for a fit
- Some solicitations very general, some very specific
- Do not force fit
  - Will not help you win
  - Not good for the direction of your company
  - Do not send in an unsolicited idea



# Proposal Preparation

- **Proposal Submission Process Preparation (1 month):**
  - Many programs now use grants.gov for submission
  - Some programs also require other forms of registration
  - DUNS, Tax ID and other numbers needed
  - Process has several (painful) steps : start early
- **Scheduling the Writing and Submission**
  - 100 hours if you have never written a formal proposal before
  - 60-80 hours if you have written some academic proposals before
  - ~ 40 hours if you have written SBIRs before
  - Try to submit proposals 24 hours before due date
- Electronic, online submission
- Multiple file uploads: high-speed connection needed



# SBIR/STTR

## Reauthorization

- Award Amounts
- Eligibility Requirements
- Phase II Invitations
- Agency budgets
- Currently on 10<sup>th</sup> CR



# Resources

- General Business Support

[www.missouribusiness.net](http://www.missouribusiness.net)

- SBIR/STTR topic search

[www.zyn.com](http://www.zyn.com)

[www.grants.gov](http://www.grants.gov)

- Business Incubation/Training events

[www.emergingtech.org](http://www.emergingtech.org)



# MoFAST Focus

Our assistance includes:

- Business planning
- Commercialization plans (Phase I, II & III)
- SBIR/STTR agency identification and evaluation
- SBIR/STTR agency contact networking
- Proposal preparation support and review
- Post application review
- Post award planning/budgeting
- Project accounting/audit planning
- Marketing and financing assistance
- Strategic planning



# Further Questions

## Contact Info

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