National Institutes of Health

May 2020

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U.S. Small Business Administration

SBIR·STTR
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Your Hosts

mti
Maine Technology Institute
Investing in Innovation

www.mainetechnology.org

MAINE CENTER FOR ENTREPRENEURS

www.mced.biz

Presented by

bbc Entrepreneurial Training & Consulting

Becky Airstrup, MBA

https://bbcetc.com/

Agenda

8:00 – 8:30 Welcome, Introductions, General Overview

8:30 – 10:00 NIH Overview Q&A

10:00 – 10:15 Break

10:15 – 11:45 NIH Proposal Preparation Essentials, Q&A

11:45 – 12:00 Wrap up, MTI Support Programs & MCE, Next Steps

SBIR/STTR Overview

SBIR/STTR Program Facts

- SBIR: Small Business Innovation Research
  - Small business must perform minimum 67% of work (Ph I), 50% (Ph II) outsources balance of effort to subcontractors/consultants
  - May partner with non-profit research institution
- STTR: Small Business Technology Transfer
  - Small business performs minimum 40% of work, and
  - MUST partner with research institution (30%),
  - Balance is discretionary
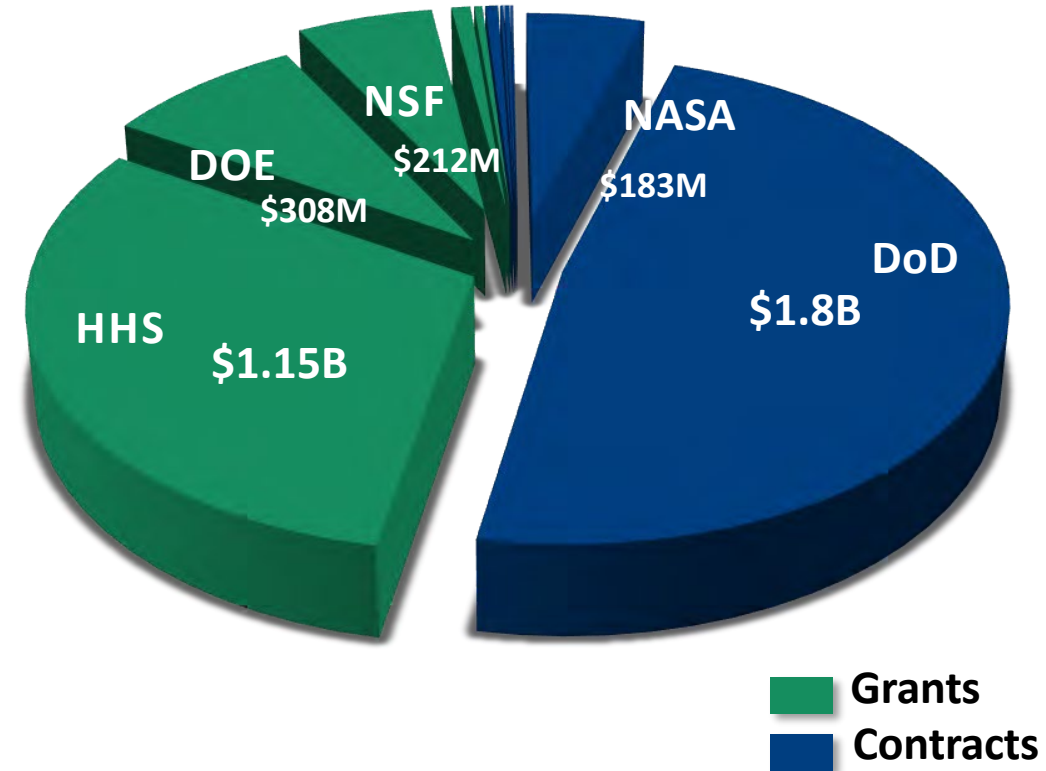 - Negotiate allocation of IP rights

Three Phase Process

Phase I
Concept Development
6 months – 1 year
~ $250,000

Phase II
Prototype Development
24 months
~ $1,250,000

Phase III
Commercialization
No SBIR funding

Solicitation to Award Process

Find Solicitation → **Proposal Submission** → **Evaluation** → **Award Phase I**

# FY2019 SBIR/STTR Budgets by Agency

Agencies	Budget
Department of Defense (DoD)*	$1.80 B
Department of Health and Human Services (HHS)**, including the National Institutes of Health (NIH)	$1.15 B
Department of Energy (DOE), including Advanced Research Projects Agency – Energy (ARPA-E)	$308 M
National Science Foundation (NSF)	$212 M
National Aeronautics and Space Administration (NASA)	$183 M
U.S. Department of Agriculture (USDA)	$30 M
Department of Homeland Security (DHS)	$17 M
Department of Commerce: National Oceanic and Atmospheric Administration (NOAA)	$9.5 M
Department of Education (ED)	$8.4 M
Department of Transportation (DOT)	$5.2 M
Department of Commerce: National Institute of Standards and Technology (NIST)	$3.9 M
Environmental Protection Agency (EPA)*	$3.6 M

*Budgeted Amount; other Agencies Obligated Amount
**Provides grants and contracts

NSF $212M
DOE $308M
NASA $183M
HHS $1.15B
DoD $1.8B

■ Grants
■ Contracts

SBIR: $3.28 Billion
STTR: $453 Million
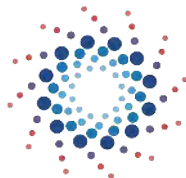
The SBIR/STTR Process Summary

- 11 agencies have Small Business Innovation Research (SBIR) Program

- 5 agencies have Small Business Technology Transfer (STTR) Program

- Gated Program – Phase I ➡ Phase II ➡ Phase III

  o With exceptions and caveats

- Agencies issue solicitation with topics of interest

- Small Businesses submit technically competitive proposals

- Agencies award over 5,000 grants or contracts

SBIR/STTR Program Facts

- For Small Businesses that are:
  - o   Independently owned and operated
  - o   Organized for-profit
  - o   Principal place of business is in the USA
  - o   51% + ownership by US citizens/permanent residents
  - o   500 or less employees, including affiliates
  - o   Principal Investigator (PI) leading the effort must be more than 50% employee of the business

- Small Businesses are always the applicant

Why Participate?

- Ideas are Investigator-Initiated

- Requires NO REPAYMENT of monies received – grant or contract

- Requires NO EQUITY sacrifice

- Intellectual property rights remain with small business

- Follow-on Phase III awards are sole source up to 5 years from date of last SBIR/STTR award

- Normally only source of early stage funding for R&D

Is the SBIR/STTR Program Right for My Company?

- Do you have an innovative idea for a product, process or service?

- Does developing this technology meet your company goals and mission?

- Do you have the technical competence to oversee the effort?

- If not, do you have access to resources to build a credible team?

- Does your project have broad societal merit with a strong ROI?

- Do you want up to $1.25M to conduct early-stage, high-risk development of innovative technology?

- Are you patient? Typically 3-4 years process from idea to market.

Other Questions to Consider

❑ In 3-5 years where do I want the technology to be?

❑ Do I see myself running the business?

❑ How can I partner with an existing business?

❑ How can I gather the necessary resources

❑ What do my business and technical roadmaps look like?
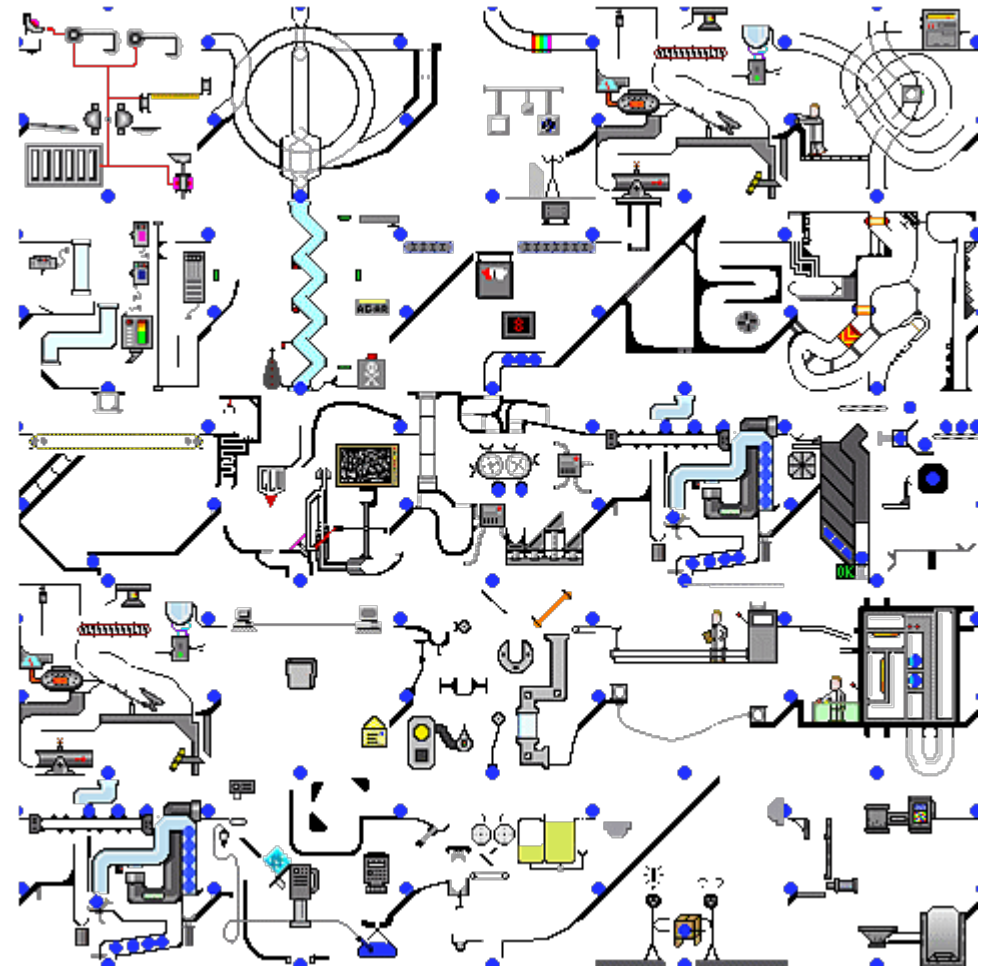
NIH SBIR/STTR Program Overview

https://sbir.nih.gov/

Support Programs:

MTI's SBIR/STTR Technical Assistance Program (TAP)

MCE Programs

Intro to SBIR/STTR Program and Federal Agencies. Program guidance, SBIR/STTR workshops and seminars.

Proposal strategy and planning meetings. Critical technical editing and proposal reviews. Form preparation.

MTI's TAP Team

Biotech/NIH
Support Available!

Government accounting assistance in preparing indirect rate, budget and justification. Accounting system setup upon award.

Commercialization plan strategy and development Market research into market, customers, competition.

MTI - Funding opportunities to defray the costs of writing a Phase I/II proposal and to support Biz Dev. Activities in support of an award

Since 1997 MCE has empowered Maine's most promising entrepreneurs through accelerator programs, partnerships, and a network of over 130 mentors.

- **SBA Growth Accelerator Grant**
- Life Sciences Summit – 2019 and 2020
- New Emerging Technologies Group

Maine SBIR/STTR Award Snapshot

- Over 114 small businesses have won 397 awards

- Maine's small businesses have received over $115M since 1997

- Businesses in all 16 Maine counties have received awards

- With MTI support, companies tend to have a *higher* success rate than going it alone!

NIH Awardees

Climb^{tm} 2.0 for Biomedical Research & Drug Discovery

Non-invasive Brain Injury Detection Diagnostic for AD, TBI and MCI

Develop neuroscience and neurosurgery solutions utilizing cranial microTargeting

Next Steps

Technology Fit and Situation

- Search the literature
- Conduct market research
- Talk to others
- Understand what differentiates your approach and technology from others
- Research agencies, topics and determine fit
- Review www.SBIR.gov
  - Closed topics
  - Closed awards
  - Open solicitations
  - Tutorials
  - Talk to agency program manager

Keep in mind: each agency has its nuances!

Never judge an agency by its name!
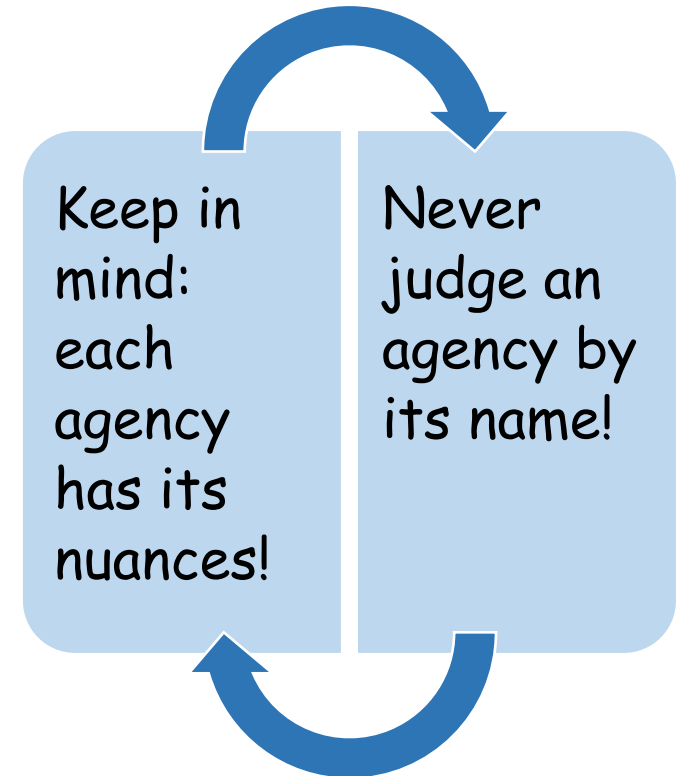
Next Steps
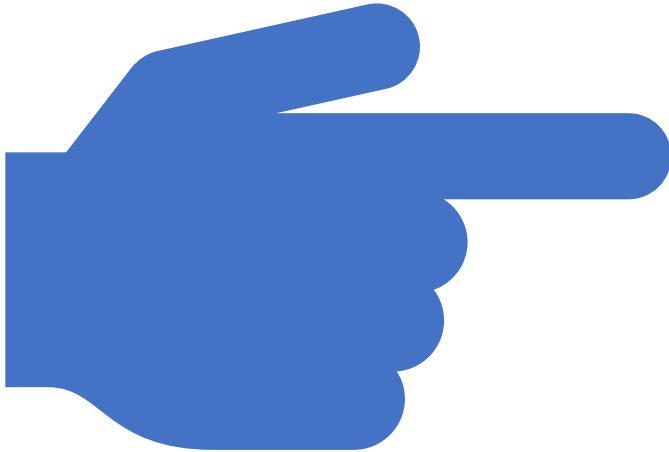
- Get Registered – contact Maine PTAC for assistance up to 5 required registrations

- Contact Karen West!

- Get mentally prepared to spend 140-180 hours to write a competitive proposal

- Pull together your team

- Understand where your technology fits into the market

- Read the solicitation, over and over and over again

- Understand the elements of a proposal

- Have faith that you can do it!

Thank You!

Karen West

cpmgmt@fairpoint.net

(207) 845-2934

www.mainetechnology.org

Cindy Talbot

Operationsmced@mced.biz

207-838-4699

www.mced.biz