



Albert Einstein College of Medicine

Introduction to SBIR/STTR and BBCetc

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PRESENTER

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About BBCetc

BBCetc works with technology-based entrepreneurs and companies on strategies to advance R&D efforts to commercialization. We are nationally recognized for our success in helping clients win federal funding through the SBIR/STTR programs and use it tactically to propel growth. Services include training courses and one-on-one counseling in:

- **Commercialization Planning**
- **SBIR/STTR and Other Research Grant Assistance**
- **SBIR/STTR and Commercialization Training**
- **Grants/Contracts Management**
- **Tech-Based Economic Development Programs**

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WORKING WITH BBCetc

Proposal Development Assistance

- Expertise across all participating agencies
- 20 years of success
- Customized, 1 to 1 assistance
- Library of tools and templates

Post-Award Management Assistance

- Accounting system set-up
- Monitor compliance
- Preparing for government audits
- Development of policies and procedures




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What is the SBIR/STTR Program?

A \$4 Billion+ Federal Funding Program that supports **small businesses** to:

- Stimulate **technological innovation** to
- Develop **products** with **commercial merit**
- Create jobs

SBIR

Small Business Innovation Research

STTR


Small Business Technology Transfer

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WHAT IS SBIR/STTR?

- Mandated by legislation**
 - Current authorization through 2025
 - Separate legislation for SBIR and STTR
 - Separate set-aside (3.2% for SBIR, 0.45% for STTR)
- Applies to agencies with extramural research budgets that exceed certain thresholds**
 - SBIR applicable to 11 Agencies
 - STTR applicable to 6 of the 11 SBIR agencies
 - Participation mandatory
- SBA “oversees” program implementation and compliance**
 - SBIR/STTR Policy Directive
 - Small Business Size Regulations

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Entrepreneurial
Training & Consulting

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FUNDING FOR COMMERCIALIZATION

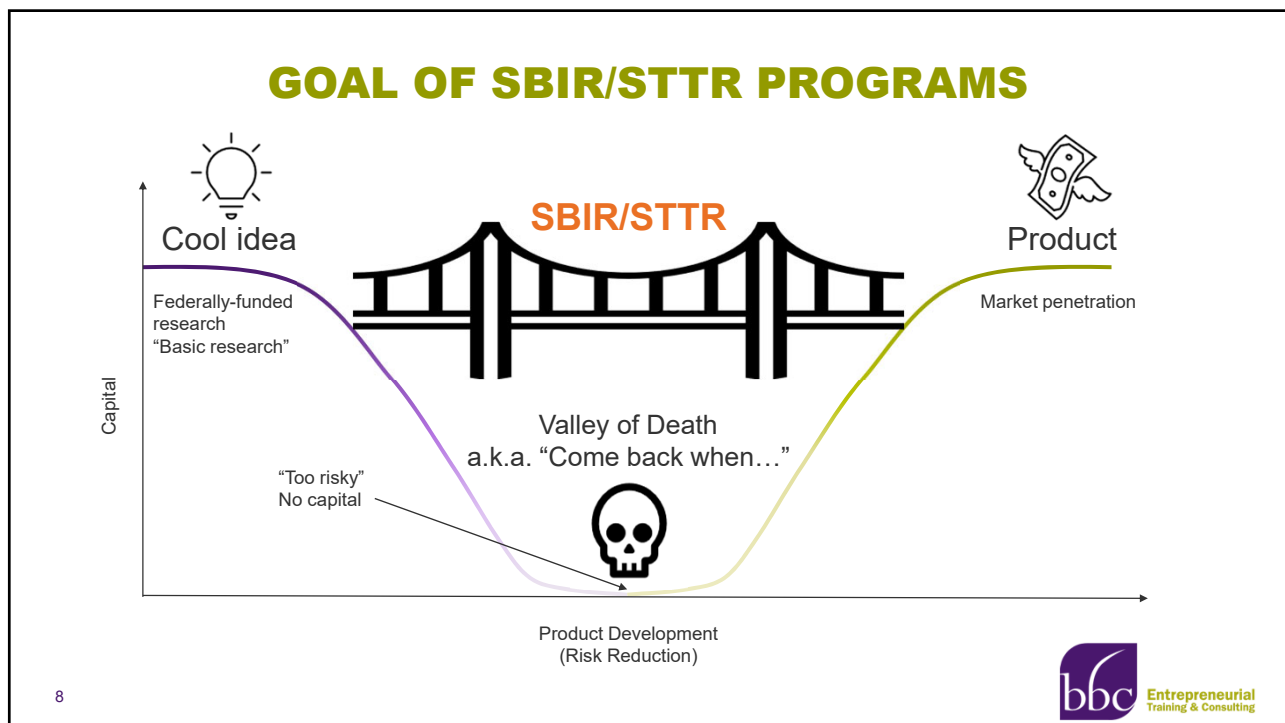
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Equity

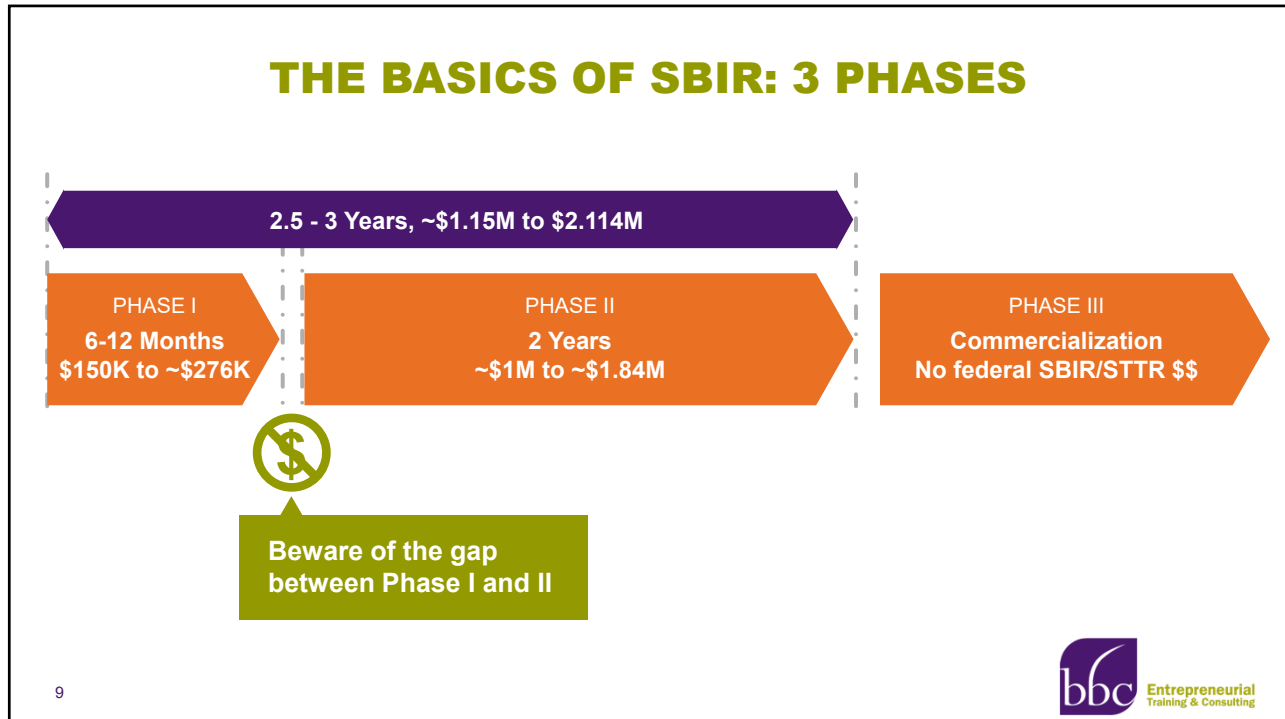
Non-Dilutive

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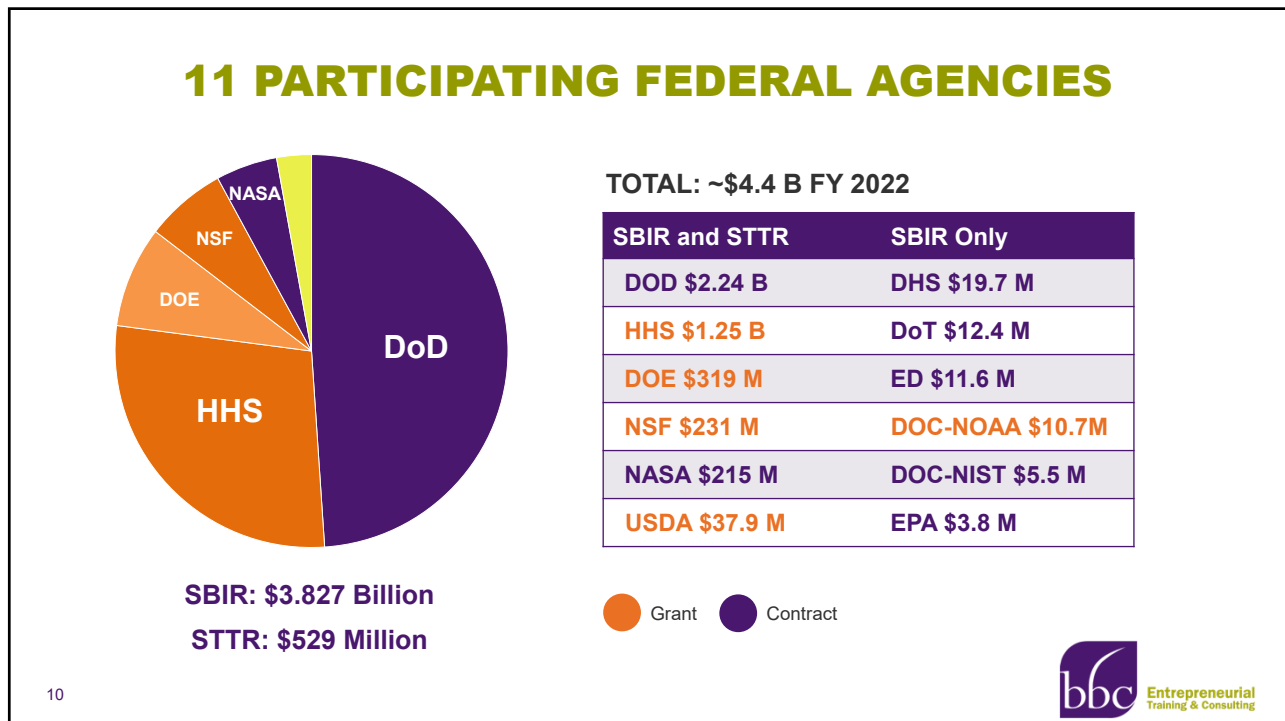
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YOU MUST HAVE A SMALL BUSINESS



- ✓ For-profit
- ✓ US-owned and controlled
 - ✓ > 50% owned by U.S. citizens or permanent residents
- ✓ < 500 employees
- ✓ Located in the U.S.
- ✓ R&D for grant project must be performed in the U.S.
- ✓ Company-controlled research space for grant project

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IN ORDER TO RECEIVE AN SBIR/STTR AWARD...



People



Facilities



Other resources

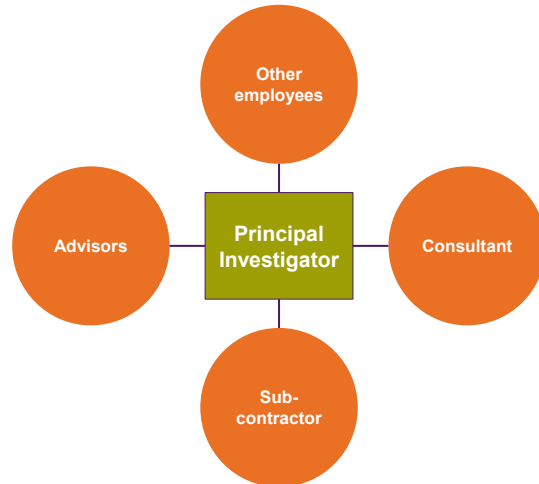
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PROJECT TEAM

- All the expertise required for project success
- Well-defined roles
- Well-defined scope
- Complementary skills

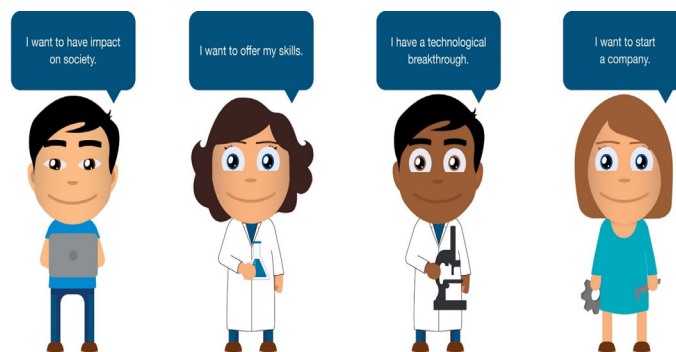


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YOU NEED A PRINCIPAL INVESTIGATOR

- For an SBIR, the PI **MUST** be employed by the small business and have >50% of their professional effort at the small business.
- The PI must perform a minimum amount of effort on the project (typically ~10% but varies by agency)



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YOU NEED COMPANY FACILITIES*

The research work to be performed by the awardee is to be conducted in:

- Company-controlled
- Research space
- Suitable to do the work proposed

Some work may be done in other facilities



* A Just in Time (JIT) requirement

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WHAT DOES SBIR FUND?



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Product Development

Based on Technological Innovation

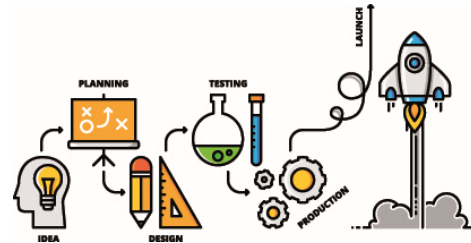
Credible Commercialization Strategy

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THERE MUST BE A PRODUCT

SBIR is *always* about Product Development

- Intended use
- Problem it is solving
- End-user, Customer
- Preliminary work
- Remaining development



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COMMERCIALIZATION

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



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KNOW THE DIFFERENCE BETWEEN SBIR & STTR



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SBIR VS STTR



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



The Applicant/Awardee is always the Small Business.

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SBIR VS STTR: WHO DOES THE WORK?

'Outsourcing' limits:

- SBIR: < 33% in a Phase I and 50% in a Phase II
- STTR: > 40% at small business and > 30% at partner non-profit research institution

The applicant is *always* the small business.

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SBIR VS STTR: WHERE IS THE PI?

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*

***NSF: PI must be at Small Business for STTR**



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SBIR VS STTR

SBIR	STTR
Applicant is ALWAYS the Small Business Concern (SBC)	
Allows outsourcing*	Requires outsourcing* <ul style="list-style-type: none"> 1^o subcontractor must be a non-profit research institution
Maximum outsourcing limits <ul style="list-style-type: none"> ≤ 33% of Phase I ≤ 50% of Phase II 	Minimum participation requirements <ul style="list-style-type: none"> ≥ 40% by SBC ≥ 30% by SBC 1^o subcontractor
PI must be employed by SBC <ul style="list-style-type: none"> > 50% of full time equivalent 	PI may be employed by SBC or 1 ^o Subcontractor <ul style="list-style-type: none"> > 50% of full time equivalent ≥ 10 % effort on project
Company MUST have "company-controlled R&D facilities suitable to do work proposed"	

*outsourcing includes work done by subcontractors and consultants

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HOW DO YOU CHOOSE?



- Does the agency offer STTR?
- Conduct a needs-based resource inventory
 - People, experience, expertise
 - Facilities
 - Equipment
 - Budget constraints
- Talk to the Agency – Program Officer

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CHOOSING YOUR AGENCY

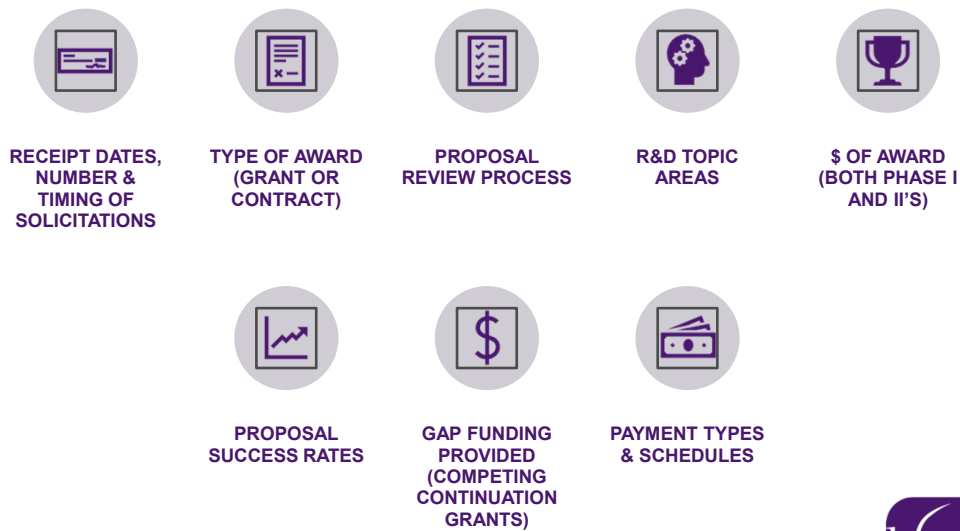


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AGENCY DIFFERENCES

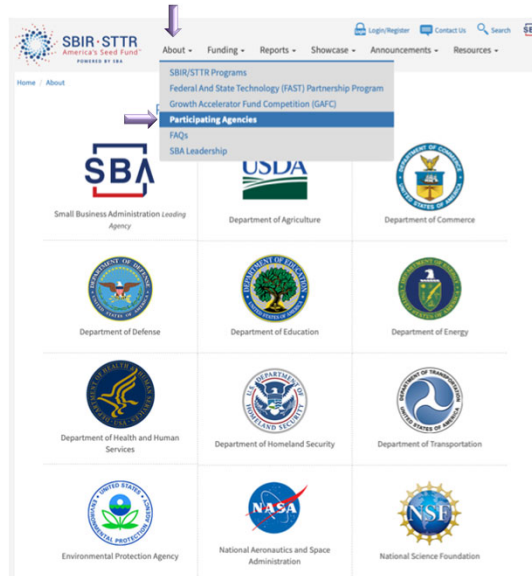


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SBIR.GOV LINKS TO SEARCHABLE DATABASE



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SBIR INFORMATION: SBIR.GOV



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- Links to all 11 agencies
- Current and Past solicitations
- Search past awards



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SBIR.GOV: SEARCH PAST AWARDS

Home • Reports

Award Data View As: List Chart State Map

FILTER BY:

Agency

- Department of Agriculture (2635)
- Department of Commerce (1514)
- National Institute of Standards and Technology (71)
- National Oceanic and Atmospheric Administration (29)
- Department of Defense (85233)
- Air Force (2524)
- Army (1046)
- Defense Advanced Research

Phase

- Phase I (32946)
- Phase II (33603)

Program

- SBIR (51706)
- STTR (51469)

Year

- 2021 (0)
- 2020 (2813)
- 2019 (9749)
- 2018 (6574)
- 2017 (6696)
- 2016 (9399)
- 2015 (9174)
- 2014 (8271)
- 2013 (9111)
- 2012 (6676)

State

- Alabama (240)
- Alaska (95)
- American Samoa (1)
- Arizona (249)
- Arkansas (523)

For best search results, use the search terms first and then apply the filters

The Award database is continually updated throughout the year. As a result, data for FY20 is not expected to be complete until September, 2023.

Displaying 1 - 10 of 183069 results

Consolidation of Heat Pipes within a U-8Mo Core for High Efficiency and Long-Term Reliability
 SBC: The Pioneering Falcon Corporation Topic: HS
 A key requirement for high efficiency and the long-term reliability of Fusion Power Systems (FPS) is the embedment and metallurgical connection of the heat pipes within the radioactive core material. Creating intimate contact between the heat pipes and the core material with a high thermal conductivity joint enables FPSs to operate at their optimum performance. This proposed Phase II Sequential E ...
SBIR | Phase II | 2021 | National Aeronautics and Space Administration

Electron Beam Delivery System with In-Situ Metrology and Real Time Closed Loop Process Control for Metal 3D printing and welding of large components to high accuracy and verifiable quality
 SBC: COSM Advanced Manufacturing Systems, LLC Topic: HS
 A methodology based on dynamic electron beam imaging of beam-component interactions for in-situ metrology and closed loop real time process control of electron beam wire printing and welding applications in space has been demonstrated at the proof of concept level with hardware, controls and software developed by COSM in Phase I and II programs. A new Electron Beam Delivery Unit (EDU) that has both ...
SBIR | Phase II | 2021 | National Aeronautics and Space Administration

Integrated Photonic Filters for RF Signal Processing
 SBC: OCEANUS, INC. Topic: IS
 In this Project, OCEANUS, Inc. and Georgia Tech propose to research and develop an RF photonic receiver front-end enabling microwave signal processing at a heterogeneously integrated photonic platform. In particular, we propose to develop a new technology for photonic microwave filters based on the new advances in silicon (Si)-based integrated photonics. In this endeavor, we will exploit the expert ...
STTR | Phase II | 2022 | National Aeronautics and Space Administration

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SBIR.GOV: SEARCH PAST AWARDS

Home • Funding • Reports • Showcase • Announcements • Resources

Awards Information View As: List Chart State Map

FILTER BY:

Agency

- Department of Health and Human Services (79)
- National Institutes of Health (76)
- Department of Homeland Security (1)
- Environmental Protection Agency (3)
- National Aeronautics and Space Administration (53)
- National Science Foundation (23)

Phase

- Phase I (376)
- Phase II (218)

Program

- SBIR (465)
- STTR (129)

Year

- 2022
- 2021 (465)
- 2019 (373)
- 2018 (156)
- 2017 (1336)

For best search results, use the search terms first and then apply the filters

The Award database is continually updated throughout the year. As a result, data for FY22 is not expected to be complete until September, 2023.

Download all SBIR.gov award data either: **with award abstracts (290MB)** or **without award abstracts (65MB)**. A data dictionary and additional information is located on the **Data Resource Page**. Files are refreshed monthly.

Displaying 1 - 10 of 594 results

Fully-dense, 6061 Aluminum Additive Manufacturing for Operational Agility
 SBC: ALLOY ENTERPRISES INC. Topic: AF212CS01
 The proposed project focuses on identifying applications within the United States Air Force for a novel aluminum additive manufacturing (AM) technology. The capability to make fully-dense 6061 aluminum parts on-demand will offer a significant supply chain
SBIR | Phase I | 2022 | Department of Defense | Air Force

Additively Manufactured Ultra Compact Heat Exchanger for Aircraft and Pod Cooling
 SBC: Physical Sciences Inc. Topic: AF212CS01
 The Air Force requires reliable, lightweight heat exchangers for a variety of heating and cooling applications. Traditionally manufactured shell tube, microchannel, and plate fin heat exchangers are typically limited to rectangular prism shapes, which pre
SBIR | Phase I | 2022 | Department of Defense | Air Force

Awards by agency

- USDA = 6
- DOC = 3
- DOD = 328
- DOE = 98
- DHS = 1
- EPA = 3
- NASA = 53
- NIH = 79
- NSF = 23

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REGISTRATIONS REQUIRED BY AGENCY

Registration Type	Agency										
	NIH	DoD	NSF	NASA	DoE	USDA	DoT	EPA	DoC	DoEd	DHS
EIN	X	X	X	X	X	X	X	X	X	X	X
SBIR.gov (company registration)*	X	X	X	X	X	X	X	X	X	X	X
SAM (System of Award Management)	X	X**	X	X	X	X	X	X	X	X	X
Grants.gov	X				X	X				X	
eCommons	X										
FastLane / Research.gov			X***								
DoD's sbir.defensebusiness.org		X									
PAMS (DOE Portfolio Analysis & Mgmt System)					X						
FedConnect					X			X			
EHB (Electronic Handbook)				X							

*SAM registration is not required to complete SBIR.gov registration

**DoD does not require SAM registration until time of award but encourages it before submission

***Starting in 2023, NSF will no longer use FastLane for submission of SBIR/STTR proposals. Instead, Research.gov will be used.

For registration links, visit BBC's website:

<http://bbcetc.com/capabilities/sbir-sttr-research-grant-assistance/registration-help/>



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REGISTRATION TIPS FOR SUCCESS

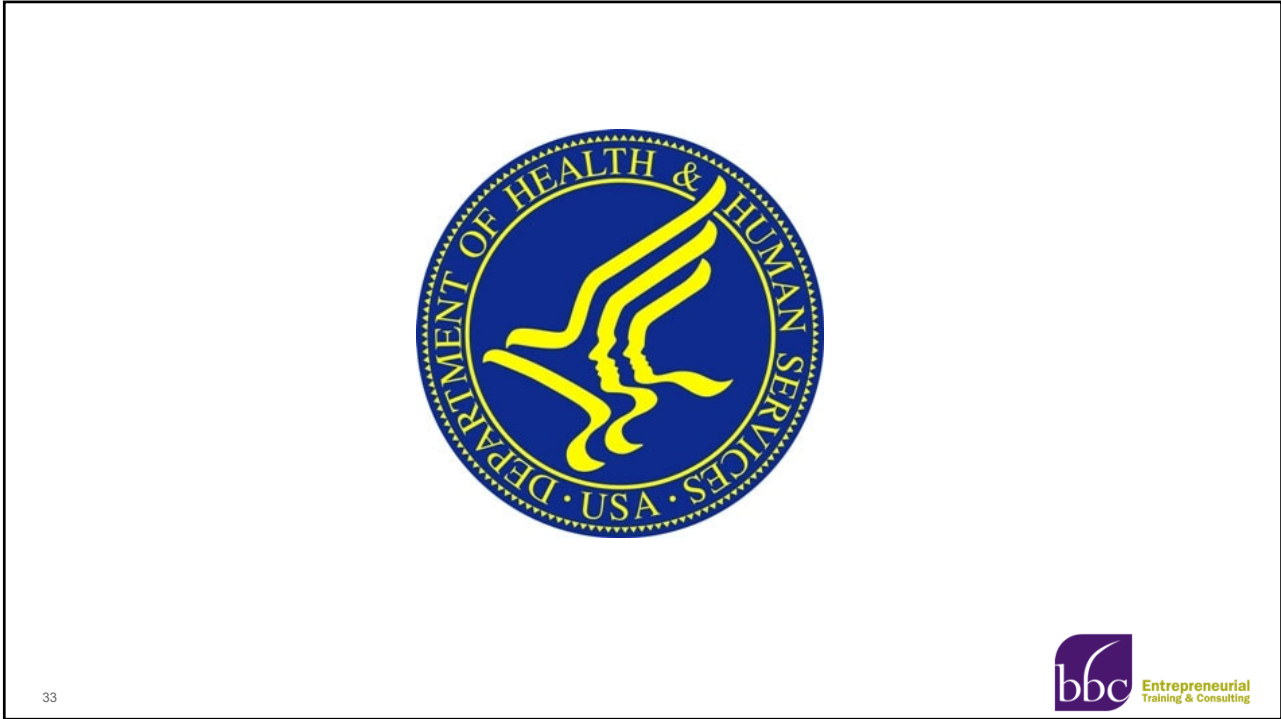
- Begin at least 6 weeks before the deadline
- Log in to accounts prior to deadline to check your access
- Update SAM information annually
- Maintain a centralized record of all logins, passwords and emails associated with each registration

DO NOT PAY FOR ANY REGISTRATION!



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HEALTH AND HUMAN SERVICES (HHS)


To enhance the health and well-being of all Americans, by providing for effective health and human services and by fostering sound, sustained advances in the sciences underlying medicine, public health, and social services.



National Institutes of Health
SBIR and STTR \$1.2 billion



Centers for Disease Control and Prevention
SBIR \$12 million



Food and Drug Administration
SBIR \$2 million



Administration for Community Living
SBIR \$3 million



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NIH IS ORGANIZED INTO:

27 Separate Institutes & Centers each with different:

- Missions
- Priorities
- Budgets









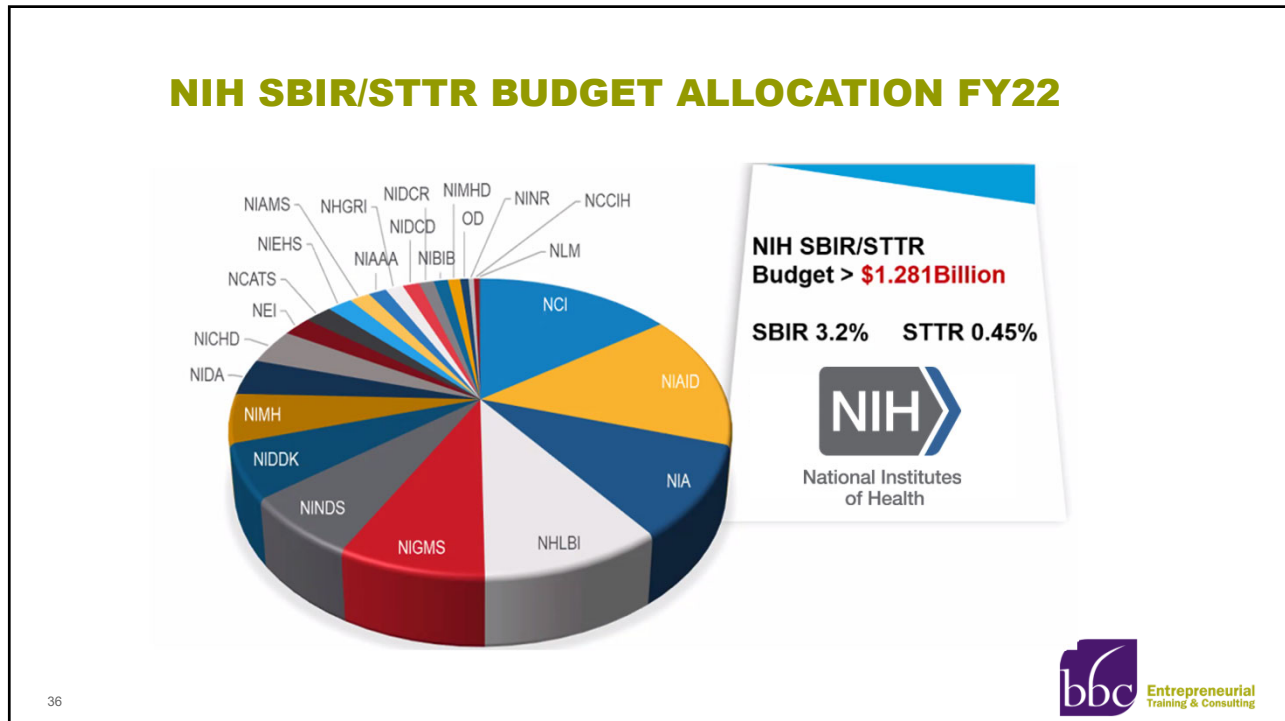









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NIH SBIR/STTR SOLICITATIONS

SBIR/STTR Omnibus Solicitation

Investigator-initiated Research

3 deadlines per year: April, September, January

Budget Caps

- Phase I: \$275,766, 6-12 months
- Phase II: \$1,838,436, 2 years

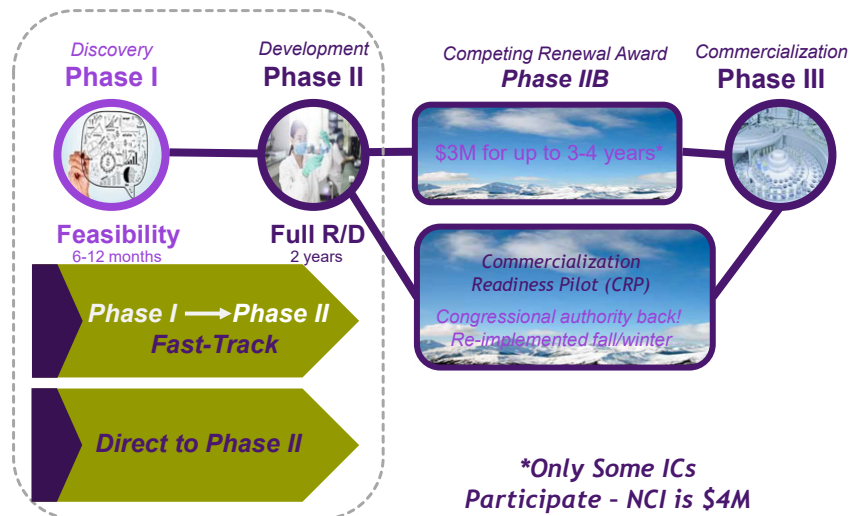
Special Opportunities targeted to fill the gaps

NIH Contract Solicitation



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NIH SBIR/STTR 3-PHASE PROGRAM



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SCHEDULING BASICS

Give yourself at least **12 weeks** (SAM.gov is experiencing delays).

- **Confirm eligibility and registrations**
 - SAM.gov can take 4 weeks or more to activate (*right now, it's taking much longer!*)
- **Understand the solicitation cycle and deadline**
- **Assemble a complete team with adequate resources**
- **Speak to the Agency program staff**
 - Be aware of when you can and cannot talk with Agency staff
- **Customer discovery & market validation letters**
 - This process can take months
- **Finalize team & resource requirements**
 - Give University / National labs partners 4 weeks to complete paperwork
 - Contingent hires
 - Consultants & Advisory Board
- **Have someone outside your organization read the proposal**

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TYPICAL SOLICITATION TIMING

TYPICAL PHASE I RELEASE AND CLOSE DATES

Agency	Solicitation	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
DOC	NIST		☒		☒								
	NOAA			☒									☒
DOD	Release .1/.A		☒										☒
	Release .2/.B				☒		☒						
	Release .3/.C								☒		☒		
DOEd				☒									☒
DOE	Release 1								☒		☒		
	Release 2		☒									☒	
DHHS	Omnibus 1						☒			☒			
	Omnibus 2	☒					☒						
	Omnibus 3				☒		☒						
	Special Topics (varies)												
	Contracts								☒		☒		
	NIDILRR					☒	☒						
DHS	S&T and DNDO joint	☒										☒	
DOT				☒							☒		
EPA													
NASA		☒		☒									
NSF	Release 1			☒									☒
	Release 2				☒								
	Release 3						☒			☒			
	Release 4										☒		☒
USDA								☒			☒		

<https://bbctc.com/capabilities/sbir-str-research-grant-assistance/solicitation-dates/>

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*Estimated based on past schedules. All dates subject to change without notice. Updated 10.20.20



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HOW TO BE COMPETITIVE IN SBIR/STTR

- ✓ Understand the goals of the Agency
- ✓ Understand and address the agency's review criteria
- ✓ Convene a strong team
- ✓ Identify appropriate facilities and resources
- ✓ Develop and follow a strategic plan
- ✓ Follow the rules
- ✓ Complete your registrations
- ✓ Submit Early!

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Questions?



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- **Grants/Contracts Management**
- **Tech-Based Economic Development Programs**

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HOW BBCetc CAN HELP YOU

One-on-One Proposal Assistance

- Access to BBCetc agency-specific proprietary tools and templates
- Detailed timeline and workplan for on-time submission
- Iterative reviews of your proposal components
- Verification of compliance with all solicitation requirements
- Budget development and review
- Assistance with proposal uploading and submission
- Post-mortem analysis of agency summary statements and reviews
- Resubmission planning

Commercialization Planning

- Development and iterative review of Phase II Commercialization Plans
- Access to BBCetc proprietary tools and templates

Post Award Grant Management

- Just-in-Time and pre-award requirements
- Administrative management of awards
- Accounting and pre-audit reviews



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WORKING WITH BBCetc

<https://bbcetc.com/>

Complete and submit our online Assessment Form.

