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Purpose

• To inform USDA Employees, Partners and Stakeholders on the specifics of the USDA Small Business Innovation Research (SBIR) Program.

• Ensure that Extension is aware of the SBIR program and provide information to small businesses that reside within Extension service areas.

• Ensure that USDA Partners are aware of the SBIR program so they can provide a resource to small businesses that they work with.
SBIR Program Description

- Established under the Small Business Innovation Development Act of 1982
- Authorized by the National Defense Authorization Act through September 2017
- 11 federal agencies offer SBIR programs
  - In FY 2014, 4,805 awards given totaling $2.4 Billion
  - 23% went to women and minority-owned or HUB zone-located small businesses
SBIR Objectives are to:

- Stimulate technological innovation in the private sector
- Strengthen the role of small businesses in meeting federal research/development needs
- Increase private sector commercialization of innovations
- Foster and encourage participation by women-owned and socially and economically disadvantaged businesses
SBIR/STTR Estimated Budgets by Agency for FY 2015

- Department of Defense (DOD): $1.070 B
- Department of Health and Human Services (HHS), including the National Institutes of Health (NIH): $797.0 M
- Department of Energy (DOE), including Advanced Research Projects Agency – Energy (ARPA-E): $206.1 M
- National Aeronautics and Space Administration (NASA): $180.1 M
- National Science Foundation (NSF): $176.0 M
- U.S. Department of Agriculture (USDA): $20.3 M
- Department of Homeland Security (DHS): Science and Technology Directorate (S&T) and Domestic Nuclear Detection Office (DNDO): $17.7 M
- Department of Commerce: National Oceanic and Atmospheric Administration (NOAA) and National Institute of Standards and Technology (NIST): $8.4 M
- Department of Transportation (DOT): $7.9 M
- Department of Education (ED): $7.5 M
- Environmental Protection Agency (EPA): $4.2 M

~ $2.5 B in FY15 across all agencies
SBIR Awards Across the U.S. for Past Four Fiscal Years

Top total award dollars went primarily to 10 states: CA, MA, VA, MD, NY, CO, TX, PA, OH, and FL.

- CA: $1,333,573,513.20
- MA: $532,377,340.20
- VA: $634,710,717.00
- MD: $467,026,829.68
- NY: $543,594,132.06
- CO: $452,770,411.58
- TX: $2,283,767,814.83
- PA: $433,781,861.53
- OH: $543,979,650.33
- FL: $3,790,314,574.23

All Other States & US Territories: $3,790,314,574.23
USDA SBIR Outreach to Rural Communities

• Outreach and awareness of the SBIR program in rural communities is a priority area for USDA SBIR.
  
• Looking to increase SBIR outreach to Rural Communities where many small business reside.

• Looking to see more SBIR applications submitted by small businesses in rural communities and underserved states.

  • 27 states (AK, AR, DC, DE, HI, IA, ID, KS, KY, LA, ME, MO, MS, MT, ND, NE, NV, OK, PR, RI, SC, SD, TN, UT, VT, WV, WY) with the lowest success in the SBIR program.

• Looking to see more USDA SBIR applications submitted by Women owned, minority owned and disadvantaged small business.
USDA SBIR Priority Areas and Subtopics

• *Rural and Community Development
  • Development of services and information and managerial systems that improve the efficiency and effectiveness of local governments and public and private sector institutions
  • Development of technologies and services that protect or enhance the environment while promoting economic development
  • Reducing the vulnerabilities of rural communities from hazards (excluding intentional acts such as terrorism)
  • Development of technologies and services that specifically address the needs of youth, the elderly, military, veterans, and the low-income sector of the rural population
  • Increasing opportunities for employment and income generation in rural communities.

*The items listed are examples of subtopics and are not exclusive.
• Phase I

  • Purpose is to determine scientific or technical feasibility of ideas submitted by applicant
  • Awards up to $100,000 for period of eight months (periods of up to 20 months may be considered under special circumstances)
  • Should concentrate on research that will contribute to proving scientific or technical feasibility of idea proposed (feasibility study)
  • It is a prerequisite to Phase II
USDA SBIR Program Phases (cont.)

• Phase II
  • Promote completion and commercialization of the idea funded in Phase I
  • Awards up to $600,000 of the cost for two years

• Phase III
  • Stimulate technological innovation and national return on investment from research
  • No federal Small Business Innovation Research (SBIR) funds may be used for this phase.
  • Applicants seek out new investment opportunities from investment communities, sales, or other financing.
USDA SBIR Phase I Eligibility

- Small business must be located in the U.S. and organized for profit
- 50%+ owned/controlled by one or more individuals who are citizens or permanent residents
- No more than 500 employees including affiliates
- If a parent company of a subsidiary is not a small business entity, then the subsidiary is not eligible.
- For detailed eligibility information visit: https://www.sbir.gov/sites/default/files/elig_size_compliance_guide.pdf
Application Process

- Typically, small business applicants focuses on research and development
- Average applicant business size is 9 employees
- Focus is not on equipment acquisition, nor commercializing an already developed technology
- **Deadline for Phase I is typically in early October each year. Refer to the RFA for this year’s due date.**
- Allow 6-8 weeks to prepare an application
• Prior to submitting an application, confirm your business/organization is registered with:

1. **Grants.gov**

2. **System for Award Management (SAM)**
   [https://www.sam.gov/portal/SAM/##11](https://www.sam.gov/portal/SAM/##11)

3. **Data Universal Numbering System (DUNS) Number**

• If not, you will need to create user accounts in each system

• Get registered early in your application timeline
Application Process (cont.)

- Follow application instructions and submission requirements in the RFA.

- To be considered for funding, **ALL** required forms **must** be submitted as part of a complete application package.

- Your application will **NOT** be considered if all required forms are not submitted together.

- All of your documents and forms must be submitted as PDFs.
Application Process (cont.)


- Grants.gov issues emails to the applicant providing:
  - Submission Receipt Number
  - Submission Validation Receipt
  - Grantor Agency Retrieval notification
  - NIFA sends confirmation of grant application receipt

- Maintain these for your records
Qualities of a Strong Proposal

- Strong skills of PI and team
- Strong potential to commercialize
- Provides clear details on how/why the approach addresses the agencies needs and the priority area
- Describes how the business/firm will move the technology through Phase I with the goal to receive a Phase II grant and ultimately reach full commercialization
- Use SBIR.gov and other resources to help you - https://www.sbir.gov/
Successful Applicants

• Network with potential partners

• Talk with potential customers and ask for feedback on what they are proposing

• Understand intellectual property is protected (Bayh-Doyle Act)

• Develop a concept paper summary (200 words) and share it with the grant program manager for feedback in advance of writing their proposal
Examples of Successful Proposals

• Qualities of a strong proposal include:

1. Strong potential to commercialize
2. Provides clear details on how/why the approach addresses the agencies needs and the priority area
3. Includes proprietary information and data (All USDA Reviewers complete a NDA under the peer review process)
4. Describes how the business/firm will move the technology through Phase I with the goal to receive a Phase II grant and ultimately reach full commercialization

• Read funded project information
  • https://www.sbir.gov/sbirsearch/award/all
  • Look for SBIR Phase I proposals similar to your proposed technology to determine if work has been already funded
• Three additional webinars are being developed to assist applicants with navigating the USDA SBIR application and proposal-writing process.

• Webinar announcements will be sent in advance and recorded for on-demand viewing.

• Today’s webinar has been recorded and will be available for on-demand viewing within 24 hours.

• To view the webinar, visit http://wrdc.usu.edu/htm/sbir
Resources

SBIR NIFA Program
https://nifa.usda.gov/program/small-business-innovation-research-program-sbir

About SBIR
https://www.sbir.gov/about/about-sbir

Guide to SBIR/STTR Program Eligibility

Grants.Gov
http://www.grants.gov/web/grants/applicants.html

System for Award Management (SAM)
https://www.sam.gov/portal/SAM/#11

Data Universal Numbering System (DUNS) Number
http://www.dnb.com/duns-number.html

SBIR Awardee Proposals
https://www.sbir.gov/sbirsearch/award/all
Assessment and Evaluation

1. Was the information presented today useful? [Rate on a scale of 1-5 with 1 being Not Useful and 5 being Very Useful.]

2. Extension personnel: How comfortable are you presenting this material to potential applicants after this webinar? [Rate on a scale of 1-5 with 1 being not at all comfortable and 5 being extremely comfortable.]

3. Business owner: How likely are you to submit an application after receiving the information presented here? [Rate on a scale of 1-5 with 1 being not at all likely and 5 being extremely likely.]

4. What other medium, aside from a webinar, do you think would be helpful to convey this information effectively? For example, short videos, mobile app, self-paced online modules, etc.

5. Overall, this webinar was: Very Helpful; Helpful; Somewhat Confusing; Not at all helpful.
USDA SBIR Technical Training Team

Don Albrecht
SBIR Technical Training Project Leader
Director, Western Rural Development Center
Utah State University
don.albrecht@usu.edu

Charles Cleland
National Program Leader
USDA NIFA
cleeland@nifa.usda.gov

Scott Dockum
SBIR Program Coordinator
USDA NIFA
dockum@nifa.usda.gov

Brent Elrod
National Program Leader
USDA NIFA
belrod@nifa.usda.gov

Roberto Gallardo
Southern Region
Mississippi State University Extension
roberto.gallardo@msstate.edu

José L. García-Pabón
Western Region
Washington State University Extension
garciajl@wsu.edu

John Mann
North Central Region
Michigan State University Extension
mannjoh3@msu.edu

Winifred McGee
Northeast Region
Pennsylvania State University Extension
wwm1@psu.edu