



IDAHO SBIR/STTR PHASE 0 PROGRAM

Introduction and Background

The Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs provide research and development financial resources of more than \$2.5 billion to U.S. small businesses. Through these programs, 11 federal agencies provide funding for a wide range of proposal topic areas. These programs provide excellent opportunities to nurture the development of innovative businesses, provide employment opportunities and enable economic development and diversification in Idaho.

The SBIR/STTR programs are particularly important to Idaho small businesses where innovation capital is in very short supply. Only for-profit proprietorships, small businesses and manufacturers (fewer than 500 employees) qualify for SBIR/STTR funding. Hence, these programs provide a unique source of seed capital for Idaho citizens and small businesses to explore and develop innovative new product concepts. There are few strings attached to SBIR and STTR funding; no loan repayment, no equity sacrifice and most intellectual property rights generated on funded projects remain with the small business.

Proposal Preparation

The Idaho Commerce SBIR/STTR Phase 0 Matching Grant Program assists Idaho small businesses by providing funds for SBIR/STTR proposal preparation. Phase 0 awards are designed to help defer the costs for Idaho small businesses applying for these two federal grant programs. Most importantly, they are intended to help Idaho companies increase their chances of submitting a successful SBIR or STTR proposal.

Program Detail

Experience shows that critical pre-reviews are the key to submitting competitive SBIR/STTR Phase I proposals. Following a Phase 0 award, the recipient is required to submit two complete Phase I draft proposals for review, at least three weeks before submitting the proposal to the SBIR/STTR agency. Each Phase 0 award generally will be aimed at preparation and submission of a Phase I proposal directed to a specific agency on a specific topic.

Appropriate Phase 0 activities include but are not limited to:

- Proposal preparation and review
- Consultant and mentor services for preparation of the Phase I proposal
- Communications with potential customers
- Analyses to support test data preparation
- Acquisition of test data for inclusion in the Phase I proposal

Eligibility

All individuals and small businesses resident in the state of Idaho who are eligible to participate in the federal SBIR and STTR programs are also eligible to participate in the Idaho SBIR/STTR Phase 0 Program. One of the primary goals of the Program is to enlist first-time SBIR/STTR participants from as broad a demographic and geographic cross-section of the state as possible. Priority will be given to businesses in under-represented sectors: those new to SBIR and STTR, in rural and socially/economically disadvantaged areas and minority and women-owned businesses.

In addition:

- Applicants must be Idaho based small businesses
- Applicants must meet all federal SBIR or STTR eligibility requirements
- Applicants may not receive concurrent funding support from other sources that duplicates the purpose of this award
- Applicants must conduct at least 51% of the research described in the federal proposal in Idaho

Phase 0 Grant Process

Pre-Qualification

1. **Self-Evaluation.** See the attached form at the end of this document

2. **Solicitation Match.** All applicants must identify a specific SBIR/STTR solicitation topic to which the research/technology idea can be applied, which can be found at www.sbir.gov/solicitations and www.zyn.com/sbir.

Application/Review

3. **Application.** Applicants must complete and submit all application materials. Incomplete applications will not be reviewed.

4. **Assessment.** The Idaho Commerce SBIR/STTR program specialists along with a qualified team of reviewers will evaluate the Phase 0 applications from eligible entities and make recommendations for Phase 0 applications awards. All final proposal award decisions will be made by the SBIR/STTR Program Manager at Idaho Commerce.

The criteria to be used in evaluating and ranking the Phase 0 proposals are as follows:

- a. Identification of a solution to a compelling scientific problem with commercial potential
- b. Technical merit, relevance to an SBIR/STTR solicitation, response to an agency need and/or relevance to agency mission
- c. Commercialization potential
- d. Key personnel and qualifications and credibility of the research team
- e. Strong commitment to developing a solid Phase I proposal

5. **Award.** Upon successful review and award, timelines and deliverables will be negotiated for each specific Phase 0 award and a grant contract prepared with Idaho Commerce.

Further Information

Direct any questions about the Idaho Commerce SBIR/STTR Program to:

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Self-assessment tool: Are you ready for the SBIR/STTR program?

Before conducting a self-assessment, review the frequently asked questions (FAQs) for SBIR/STTR guidelines and definitions.

Small Business:

Does your business meet the SBIR/STTR program requirements for size, annual revenue, and ownership limitations and restrictions?

Will the proposed work be conducted in the United States?

The Need:

How does the proposed technology address an existing need in the field of interest?

Has the need for the technology or application of technology been identified and quantified? Measuring the need for the technology requires research of current, scientific resources.

Have you identified the end users of your technology?

Technological Innovation:

Is the technology state-of-the art? How does it compare to existing or alternate technologies?

Investigator(s):

Is the ability of the principal investigator clearly established through his or her education and research/work background?

Do you need staff with expertise in the technological field of interest to perform the proposed work effort beyond the PI?

What particular skill set or level of expertise can each staff member contribute to the project?

Does your PI meet the statutory employment requirements of the SBIR and STTR programs?

Approach:

What specific objectives of the project can be completed in six months for \$100,000?

Have you outlined an action plan with task-specific due dates and personnel in charge of each task?

Have alternative technologies or methods for using the proposed technology been identified?

Research:

Have you conducted a review of scientific literature related to the proposed project?

Have you studied sample SBIR/STTR proposals?

Have you reviewed the specific SBIR/STTR program criteria for each federal agency of interest?

Do the aims of your proposal match with agency missions?

Have you investigated previous SBIR/STTR awards given to companies that have conducted similar research in the past? Searching through previous award winners can reveal specific areas of interest for each federal agency.

Commercialization:

Where do you intend to market your product?

What is the potential size of the customer market? Approximately how many people will benefit from this product?

What kind of relationships have you developed with potential customers?

Who are the potential competitors in the market? Who are potential partners?

What steps have you taken towards intellectual property (IP) protection?

Funding Potential:

Does the project have the potential to receive additional funding by angel groups, venture capitalists, or other sources?

Review:

Has the technological innovation been reviewed by outside sources to evaluate its potential?

Proposed Benefits:

What are the anticipated commercial and societal benefits of the proposed activity?

If the objectives of the project are achieved, how will scientific knowledge be enhanced?