

SBIR · STTR

America's Seed Fund

Deborah Mansfield, MS, MBA

DMBS

“Background”



- Pre-Award Grants Manager



- 13+ Years, Director Texas Largest Accelerator: Energy, IT, Life Sciences, Advanced Materials & Aerospace

Resources Championed – Small Business Administration (SBA)

- **SBA Federal Commercialization Grants**
- **SBA Loan Program**
- **Small Business Development Centers**
- **SBA Special Programs**
 - **SBIC – Equity & Debt**
- **www.sba.gov**

Resources Championed

- **SBA Federal Commercialization Grants**
 - SBIR – Small Business Innovation Research
 - STTR – Small Business Technology Transfer
- **SBA Loan Program**
- **Small Business Development Centers**
- **SBA Special Programs**

URL Handout

SBIR STTR Programs

- www.sbir.gov
- Overview Dec 2016
 - www.sbir.gov/sites/default/files/SBIR%20Overview-%20DEC%202016.pptx

SBIR STTR Programs

- www.sbir.gov/about
- **Eligibility Criteria**
 - For-profit US small biz
 - 500 or less employees
 - work done in US
 - Greater than 50% US-owned by individuals & independently operated
 - See rules for VC ownership of small biz

SBIR & STTR Program

- **SBIR – 3.2% of agencies' extramural research budget, with budget >\$100M**
- **STTR – 0.45% of agencies' extramural research budget, with budget >\$1B**

SBIR & STTR Program

- **Supports R&D and financing of cutting edge technologies**
- **Per 2016 Overview**
- **@ \$2.5 billion Federal annual set aside**
- **@ 160,000 awards granted**
- **@ 10 patents per day**

SBIR Program

- **www.sbir.gov/about/about-sbir**
- **Goals**
 - **Stimulate technological innovation**
 - **Meet Federal research & development needs**
 - **Participation by women socially and economically disadvantaged in innovation & entrepreneurship**
 - **Increase private-sector commercialization**
- **12 Federal Agencies**

STTR Program

- www.sbir.gov/about/about-sttr
- **Goals**
 - Stimulate technological innovation
 - Foster tech transfer cooperative R&D between small biz & research institutions
 - Increase private-sector commercialization
- **5 Federal Agencies**

SBIR & STTR Program

- **Small Biz Companies apply**
- **Non-dilutive**
- **3 Phases**
 - **Phase I – concept development**
 - **Phase II – prototype development**
 - **Phase III – commercialization; no funding**
- **Principal Investigator (PI)**
 - **Employed by small biz applicant >50% - SBIR**
 - **Employed by small biz or research institution**

SBIR & STTR Program

SBIR Federal Agency Program Links	
<p>Dept. of Agriculture: USDA SBIR Home Page</p> <p>Dept. of Commerce: DOC-NOAA SBIR Page DOC-NIST Home Page</p> <p>Dept. of Defense: DOD SBIR Home Page Air Force SBIR/STTR Army SBIR/STTR Navy SBIR/STTR</p> <hr/> <p>CBD - Chem-Bio Defense DARPA SBIR Program Home Page DHP - Defense Health Program DLA - Defense Logistics Agency DMEA - Defense Microelectronics Activity DTIC-Defense Technical Information Center DTRA - Defense Threat Reduction Agency MDA SBIR Program Home Page NGA - National Geospatial-Intelligence Agency SOCOM-Special Operations Command ASD (R&E)</p>	<p>Dept. of Education: ED IES ED OSERS / NIDDR</p> <p>Dept. of Energy: DOE SBIR Home Page</p> <p>Dept. of Health & Human Services NIH SBIR Home Page</p> <p>Dept. of Homeland Security DHS S&T Directorate DHS DNDO</p> <p>Dept. of Transportation: DOT SBIR Home Page</p> <p>Environmental Protection Agency: EPA SBIR Home Page</p> <p>National Aeronautics & Space Administration: NASA SBIR Home Page</p> <p>National Science Foundation: NSF SBIR Home Page</p> <p>Small Business Administration: SBA SBIR Home Page</p> <p>SBIR.gov Portal SBIR.gov</p>
Return to SBIR Home	

- www.zynsys.com/sbir/
- **12 Agencies**
- **Differ!!!!!!**
- **STTR**
 - DOD
 - DOE
 - HHS
 - NASA
 - NSF
- www.sbir.gov/about

SBIR & STTR Program

- Differ
 - Registration(s)
 - Solicitations, topics
 - Funding amounts
 - Deadlines
 - Application process
 - Combining or skipping phases
 - May be a grant or a contract
 - Program manager/director, Etc.

NSF Program Directors (11)

- National Science Foundation
- <https://seedfund.nsf.gov/contact/>



[Henry Ahn](#)

— Biomedical Technologies (BM)

[Send email](#)



[Peter Atherton](#)

— Information Technologies (IT)

[Send email](#)



[Anna Brady-Esteviz](#)

— Chemical and Environmental Technologies (CT)

[Send email](#)



[Nancy Kamei](#)

— Digital Health (DH) and Medical Devices (MD)

[Send email](#)



[Steve Konsek](#)

— Advanced Materials and Instrumentation (MI)

[Send email](#)



[Rajesh Mehta](#)

— Educational Technologies and Applications (EA)

[Send email](#)

It's a Federal Grant

- Forms – electronic www.grants.gov
- Registration – NIH has 4
- Program managers
- Proposal
 - Principal Investigator (PI)
 - Work
 - Budget
- Regulations
- Submission – mail or electronic
- Reporting

SBIR & STTR Program

- **How to find funding**
 - www.grants.gov
 - www.sbir.gov – “Funding”
- **How to do**
 - www.sbir.gov – “Tutorials”
 - Agency specific instructions

SBIR & STTR Program

- **SBIR STTR awarded**
 - www.sbir.gov/sbirsearch/award/all
 - **Report: List, Chart or Map**
 - **Search: 2017, TX, SBIR Phase I – All Agencies: \$21 M+**

State Summary

State	# of Phase I Awards	Total Phase I Obligation	# of Phase II Awards	Total Phase II Obligation	Total Awards	Total Obligation
TX	128	21485478.13	0	0.00	128	21485478.13

- www.usaspending.gov

Assistance for Small Biz

- **Federal**
 - www.sba.gov
 - **SBDCs**

- **Texas**
 - **University of Houston Small Business Development Center**
 - www.sbdc.uh.edu/sbdc/default.asp

- **Research Institution**
 - **Grants or Sponsored Programs Office**

Assistance for Small Biz

- **Federal**

- **I-Corps Program (Local: UH, MDA)**

- **NSF**

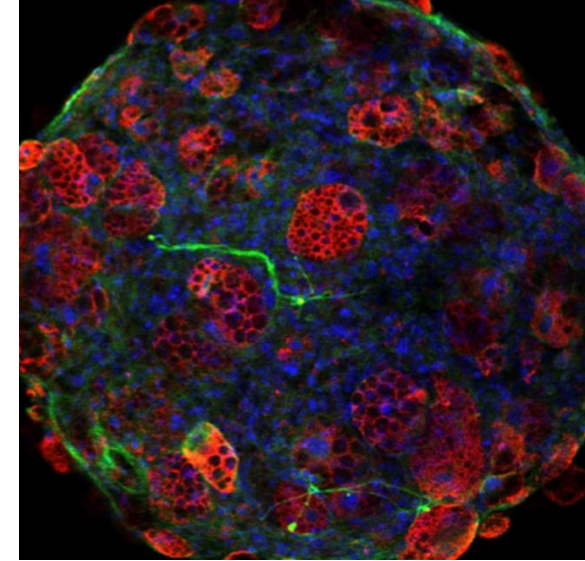
- https://www.nsf.gov/news/special_reports/i-corps/

- **NIH/NCI**

- <https://sbir.cancer.gov/programseducation/icorps>



- www.usaspending.gov
- 16 grants: HHS, NSF & NASA
- \$2.4 million +



Recipient ▲	Award ID ⇅	Award Amount ⇅	Award Date ⇅	Award Type ⇅	Awarding Agency ⇅	Funding Agency ⇅
NANO3D BIOSCIENCES INC.	0945954	\$50,000	6/9/2010	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES INC	R41HD081795	\$190,468	9/22/2014	Grants	Department of Health and Human Services	N/A
<u>NANO3D BIOSCIENCES INC</u>	R43ES024644	\$150,000	7/28/2014	Grants	Department of Health and Human Services	N/A
NANO3D BIOSCIENCES, INC.	1127551	\$100,000	12/18/2012	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES, INC.	1127551	\$16,000	4/2/2014	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES, INC.	1127551	\$10,000	5/27/2015	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES, INC.	1127551	\$5,000	11/14/2013	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES, INC.	1127551	\$40,000	4/7/2014	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES, INC.	1127551	\$100,000	5/4/2015	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES, INC.	R41HD081795	\$0	2/1/2017	Grants	Department of Health and Human Services	N/A
NANO3D BIOSCIENCES, INC.	1127551	\$500,000	8/10/2011	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES, INC.	0945954	\$149,489	10/19/2009	Grants	National Science Foundation	N/A
NANO3D BIOSCIENCES, INC.	GA-2014-140	\$299,888	7/16/2014	Sub-Grant	National Aeronautics and Space Administration	N/A
NANO3D BIOSCIENCES, INC.	5-20936	\$33,095	8/1/2016	Sub-Grant	Department of Health and Human Services	N/A
NANO3D BIOSCIENCES, INC.	R44ES024644	\$623,123	7/25/2017	Grants	Department of Health and Human Services	N/A
NANO3D BIOSCIENCES, INC.	1127551	\$500,000	9/27/2013	Grants	National Science Foundation	N/A

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