

STTR Program Objectives

- Stimulate and foster scientific and technological innovation through cooperative research and development carried out between small businesses and research institutions
- Foster technology transfer between small businesses and research institutions



Key Differences Between the SBIR and STTR Programs

- Research Partner

SBIR: Permits research institution partners

(Outsource ~ 33% Phase I and 50% Phase II R&D)

STTR: Requires research institution partners
(e.g., universities)

[40% small business concern (for-profit) and
30% U.S. research institution (non-profit)]

Funding is always awarded to the small business



Key Differences Between the SBIR and STTR Programs

- **Principal Investigator Employment**
 - SBIR:** Primary (>50%) employment **must** be with small business concern
 - STTR:** Primary employment **stipulated by agency**
(PI can be from research institution and/or from small business concern for DoD, NIH, and NASA)



Agency Differences: Type of Award

- **Contracting Agencies**
 - Agency establishes plans, protocols, and requirements
 - Highly focused topics
 - ***Procurement mechanism*** for DoD and NASA
 - More fiscal requirements
- **Granting Agencies**
 - Investigator initiates approach
 - Less-specified topics
 - ***Assistance mechanism***
 - More Flexibility

- DoD, NASA, EPA, DOC, HHS/NIH, DOT, ED, DHS

- HHS/NIH, ED, NSF, USDA, DOE



Improving Your Odds

- Need an innovative idea
- Need credibility as a researcher and a company
- Understand the agency's mission and needs
- Respond to the appropriate solicitation or topic
(unsolicited proposals are ***not*** accepted)
- Follow the rules



Agency Differences: Funding Levels

- Phase I SBIR (up to 6 months duration)
 - \$70,000: EPA, NASA
 - \$75,000: DOC, ED (grants)
 - \$80,000: USDA
 - Up to \$100,000: DoD, NIH, DOE, DOT, DHS, ED (contracts)
 - Up to \$150,000: NSF
- Phase II SBIR (up to two years duration)
 - \$300,000: DOC
 - \$345,000: EPA (with options)
 - \$350,000” USDA
 - \$500,000: NSF, ED (grants)
 - \$600,000: NASA
 - \$750,000: DoD, NIH, DOE, DOT, DHS, ED (contracts)



Agency Differences: Deadlines

- There is no single deadline for submitting SBIR or STTR applications
- Some agencies have multiple deadlines per year
- Some agencies have one deadline per year
- Deadlines vary as to the date and *time*



Agency Differences: Contact

- Contacting program officials:
 - Look through solicitation or guidelines first
 - Be prepared: have “elevator speech” that briefly describes your technology or idea
 - Have a prioritized list of questions
 - Spend about 10-15 minutes on the phone: many others are also contacting them
 - Do not pester



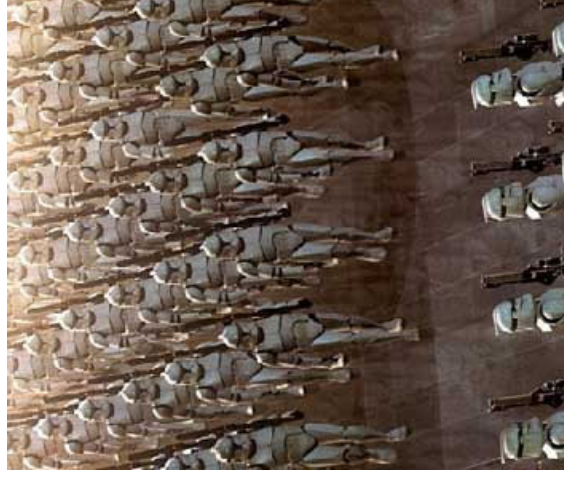
Review Process

- Many agencies use administrative review to screen proposals
 - May reject proposals without further review if they fail to adhere to proposal preparation guidelines or other screening criteria
 - Page limitations
 - Font sizes
 - Specified elements (in order)
 - Technical merit
 - “Responsiveness”



Duplicate Proposals

- Can you submit duplicate proposals?



Duplicate Proposals

- Can submit essentially duplicate proposals to different agencies (but not to different components within an agency)
- However, ***duplicate proposals will not be funded***
- Can submit multiple proposals related to a “platform” technology, provided the projects are substantially different



Advantages of Participating

- **No pay-back requirement!**
- **Visibility**
- **Credibility**
- **Opportunity to develop R&D projects that may attract strategic partners or future investment**
- **Small and isolated companies compete on equal footing**



Previously Funded USDA Projects

- “Poly (Lactic Acid)/Starch Blend for a Degradable Agricultural Mulch Film” (Biofuels and Biobased Products)
- “Rural Iowa Dialysis Patient Record Management and Transfer Method” (Rural Development)
- “Feasibility of Carrot-Based Whole Food Supplements to Support Health” (Food Science and Nutrition)
- “Non-Leachable Boron-Based Wood Preservative for Ground Contact and Exterior Applications” (Forests and Related Resources)
- “A Marketing Model for Small Family Farms Selling Niche Products to Supermarkets” (Small and Mid-Size Farms)
- “Feasibility of Heat Exchanger Designs to Preheat Grain Using Dryer Exhaust Air” (Plant Production and Protection)
- “A New Application for Finely Ground Rubber in the Control and Abatement of Odors Emitted from Livestock Manure Storage Structures” (Animal Manure Management)



Previously Funded NSF Projects

- “Compacting Fly Ash to Make Bricks”
- “Formulation of Environmentally Friendly Lubricants Based on Polymeric Materials for Cold Forging Process”
- “Automation of the Crosscut Operation in a Wood Processing Mill”
- “Robotic Scrub Technician”
- “Implementation of Sex Pheromone-Based Systems to Suppress Populations of Soybean Aphids”
- “Microbial Enhancement of Soybeans for Salmonid Diets”
- “Toxic Mold Sniffer”
- “Manufacturing Workforce - Novice to Expert - Training Program”



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Questions?

