



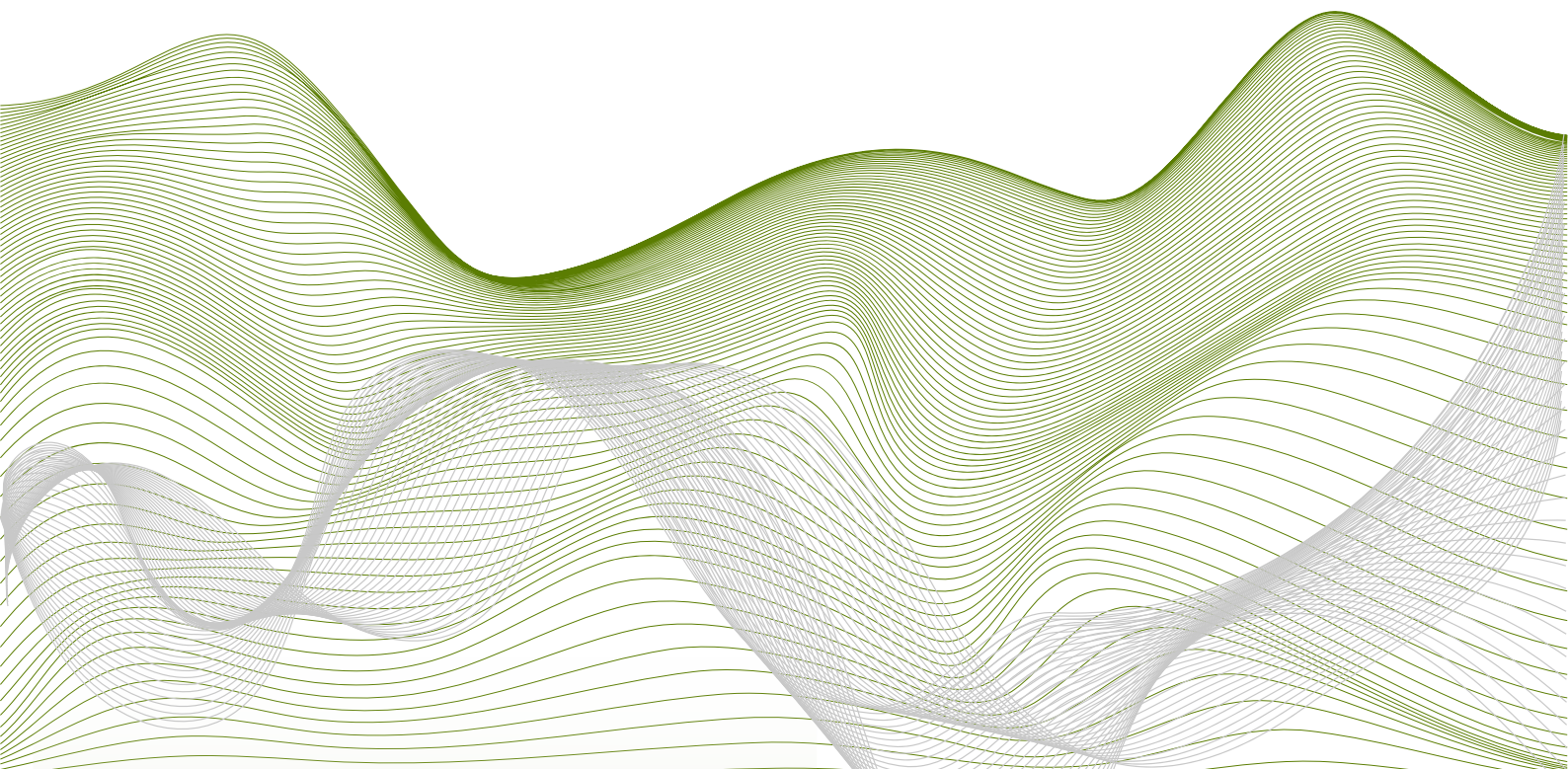
ELEVATE

IDAHO™

*“Idaho’s link to the SBIR/STTR Program”*

S B I R / S T T R  
O V E R V I E W

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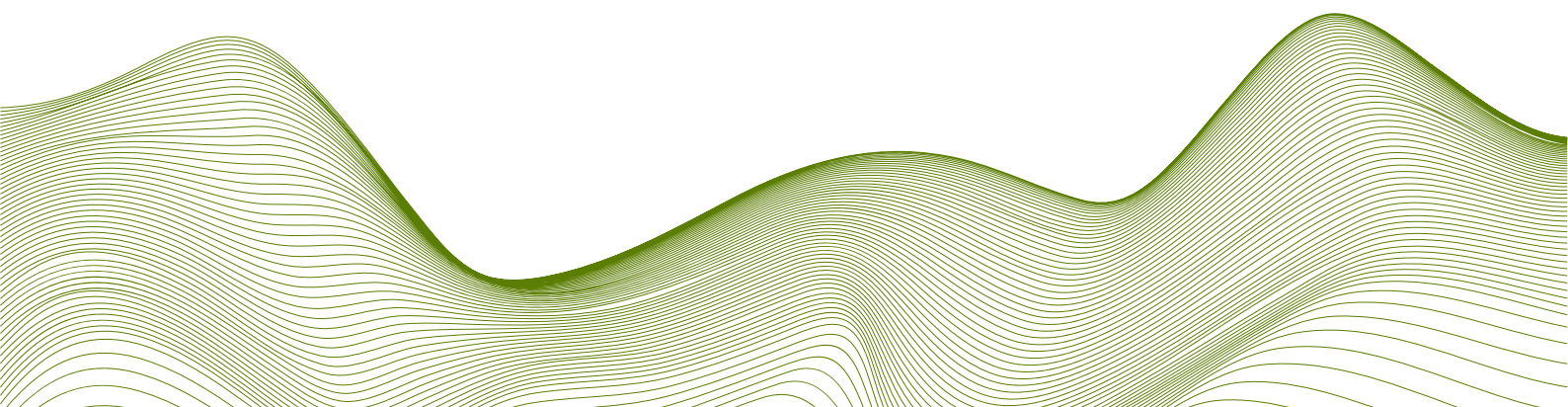
## **Elevate Idaho Overview -**

**Elevate Idaho** helps early-stage Innovators compete for federal research and development funds through the Small Business Innovation Research (**SBIR**) and Small Business Technology Transfer (**STTR**) programs – America's Seed Fund – and connect to resources they need to take their venture to the next level of success!

**Elevate Idaho** is a unique partnership that consists of a strong statewide network of professional regional, state, university and federal mentors with expertise in the **SBIR/STTR** Grant Programs. This unique partnership provides a one-stop solution for Idaho startups and emerging companies working on technology innovations with commercial value.

Through **Elevate Idaho**, **SBIR/STTR** Virtual Innovation Centers were created across the state to provide virtual training and educational workshops, virtual one-on-one consulting, virtual writing assistance, virtual proposal reviews, virtual assistance with strategic commercialization planning, and real-time collaboration between researchers, entrepreneurs, innovators, start-ups and tech-based economic development partners across Idaho. The Idaho **SBIR/STTR** Virtual Innovation Centers also provide the means for collaboration opportunities that would not otherwise have taken place, and most important, strengthen Idaho's regional and statewide entrepreneurial and research ecosystem.

The **SBIR and STTR** Programs are non-dilutive funds dedicated to the research and development of new technologies with commercial value. Non-dilutive funds are funds that do not require a business to give up equity or ownership of their company. Whether you are a beginner, or a novice in the grant research and grant writing process, the Elevate Idaho Team is here to assist you every step of the way!



# Small Business Innovation Research (SBIR) Small Business Technology Transfer (STTR) Programs

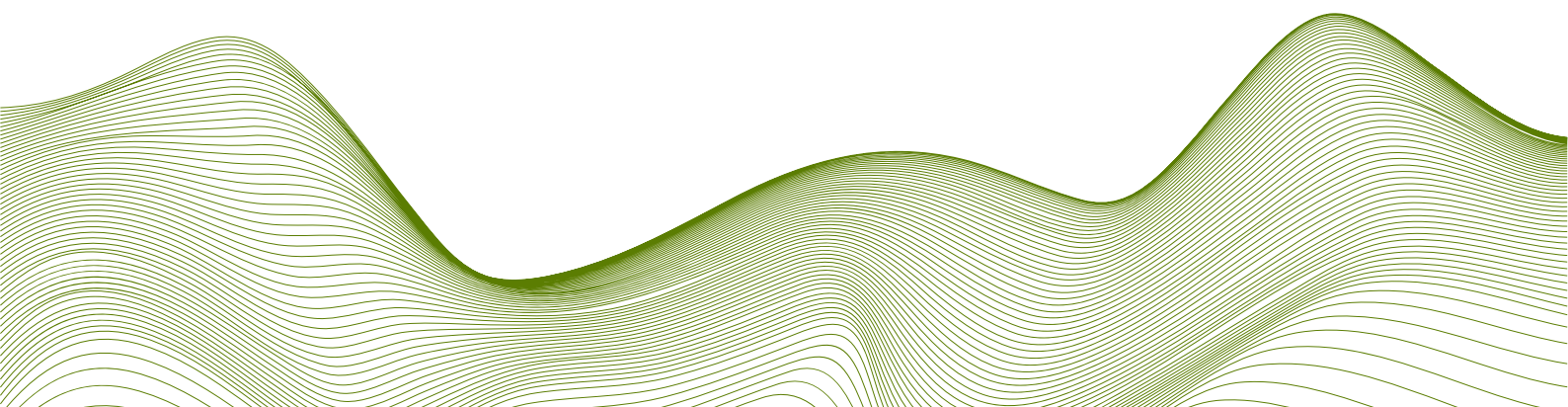
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## SBIR/STTR Program Overview

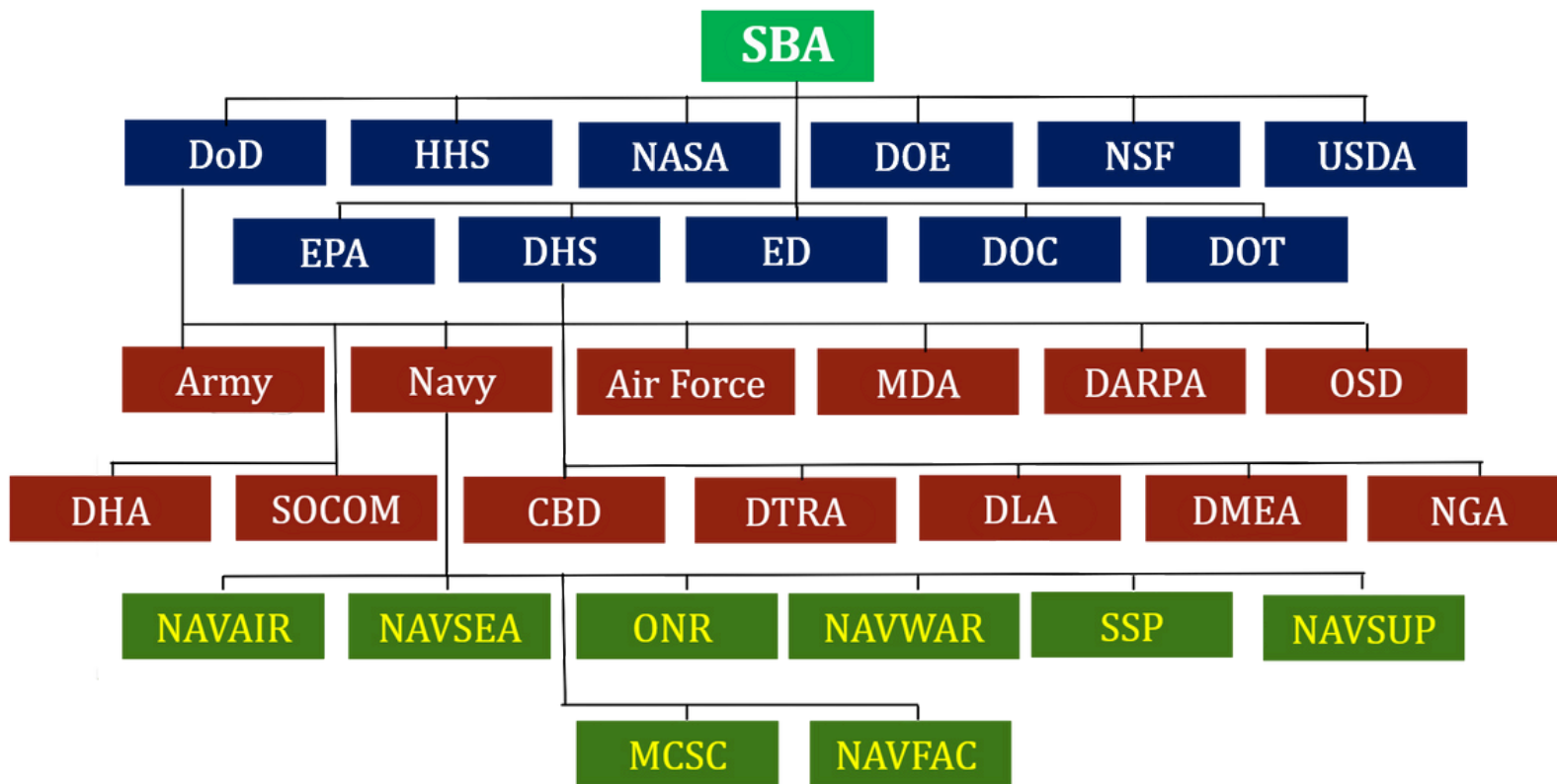
The **SBIR and STTR programs** provide funding to a varied range of startups and small businesses, spanning technology sectors and target markets. The aim is to encourage technological progress, address federal research and development (R&D) prerequisites, and facilitate commercialization for successful R&D translation into economic impact.

SBIR/STTR programs strive to promote and facilitate innovation and entrepreneurship among all individuals, irrespective of gender, race, disability, or geographic location. These efforts promote diversity and inclusivity and support entrepreneurs across all 50 states and U.S. territories.

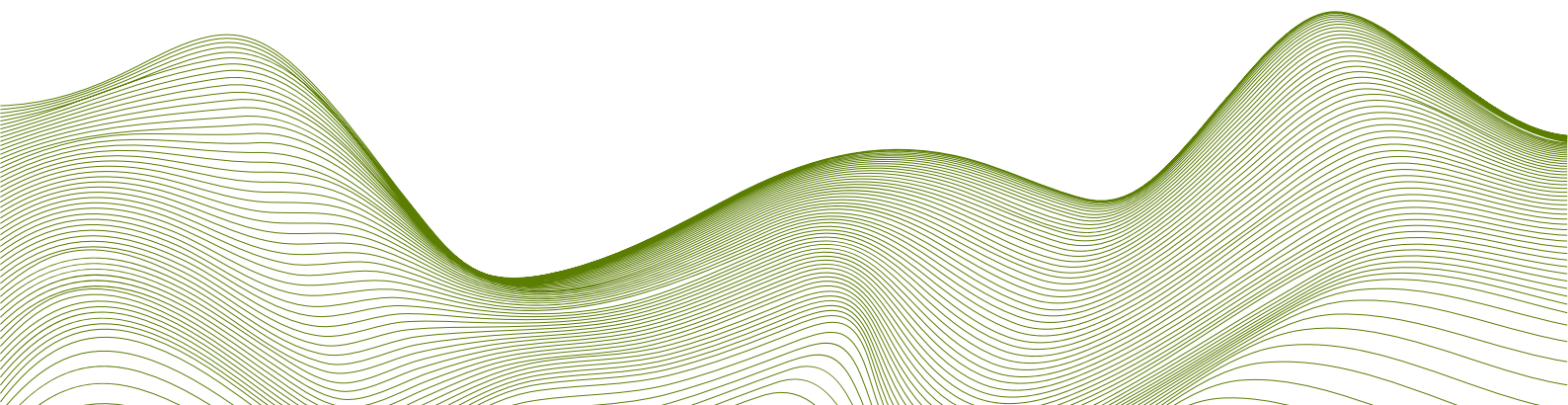
- [About SBIR/STTR Programs](#)
- [Registrations](#)
- [SBIR/STTR Program Benefits](#)
- [Multiple Phase I Awards](#)



# SBIR-STTR Overview



Source: <https://www.sbir.gov/solicitations> and <https://www.sbir.gov/solicitations/open>



# About SBIR/STTR Programs

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## Mission

The mission of the SBIR/STTR programs is to support scientific excellence and technological innovation through the investment of Federal research funds in critical American priorities to build a strong national economy.

## Goals


- Stimulate technological innovation.
- Meet Federal research and development needs.
- Foster and encourage participation in innovation and entrepreneurship by women and socially or economically disadvantaged persons.
- Increase private-sector commercialization of innovations derived from Federal research and development funding.

In addition, the STTR program aims to:

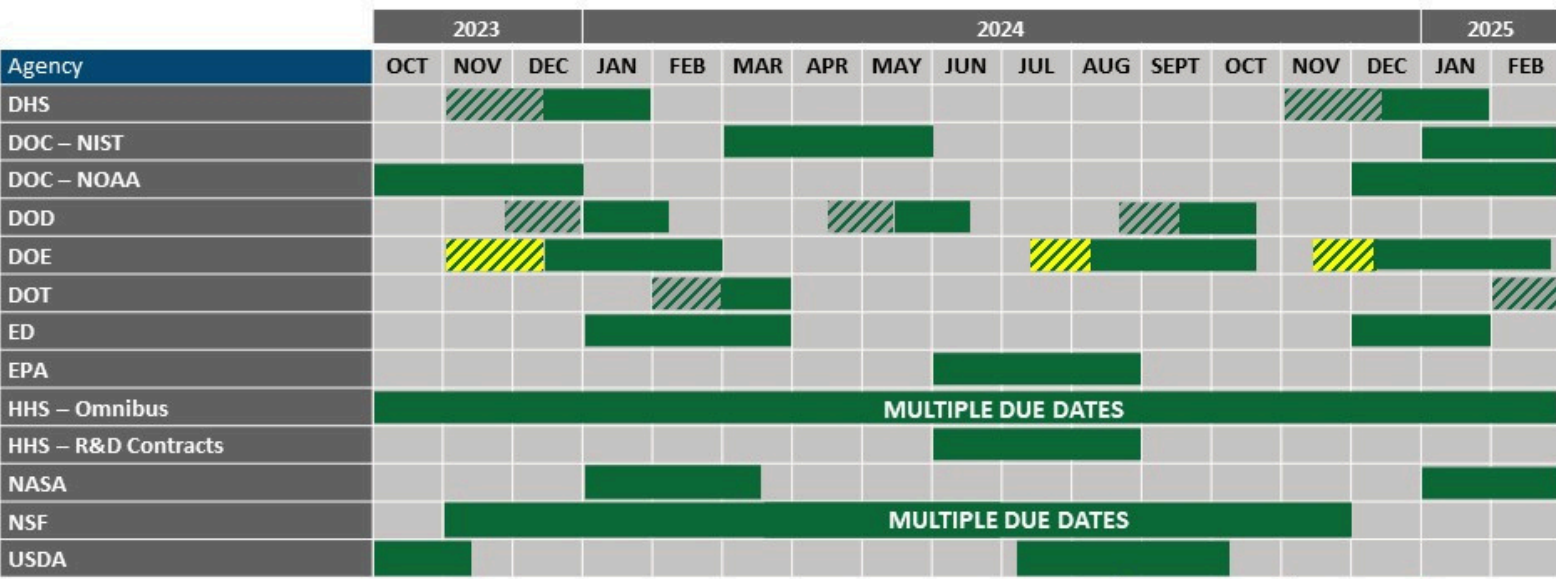
- Foster technology transfer through cooperative R&D between small businesses and research institutions.

## Eligibility

Only United States small businesses are eligible to participate in the SBIR/STTR programs. A small business must meet the eligibility requirements set forth in [13 CFR 121.702 "What size and eligibility standards are applicable to the SBIR and STTR programs?"](#) at the time of Phase I and II awards, which specify the following criteria

- Organized for profit, with a place of business located in the United States
  - More than 50% owned and controlled by one or more individuals who are citizens or permanent resident aliens of the United States, or by other small business concerns that are each more than 50% owned and controlled by one or more individuals who are citizens or permanent resident aliens of the United States; and
  - No more than 500 employees, including [affiliates](#)
- 
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# Planner and Participating Agencies



Planner last updated on 09-12-2023

■ Topic Release 
 ▨ Pre-Release 
 ■ Open Period

### Schedule: Phase I

- \* Agencies with multiple Phase I solicitations within a Fiscal Year include DOD(3), HHS(4), NSF (4), DOE(3), and DOC(2).
- \* Phase I Solicitation dates with a MMM-DD-YYYY are actuals; dates with a MMM-YYYY are estimated based upon an agency's past solicitations.

AGENCY	AGENCY FULL NAME	SOLICITATION	PRE-RELEASE (IF APPLICABLE)	OPENS	CLOSES
DOD	Department of Defense	24.2 and 24.B BAA	Apr-17-2024	May-15-2024	Jun-12-2024
		24.3 and 24.C BAA	Aug-21-2024	Sep-18-2024	Oct-16-2024
		24.4 and 24.D BAA		Multiple Dates	Multiple Dates
HHS	Department of Health and Human Services	NIH Standard Due Dates		Multiple Dates	Multiple Dates
NSF	National Science Foundation	Submission Windows		Jul-2024	Nov-2024
USDA	Department of Agriculture	Phase I		Jul-2024	Sep-2024
DOC	Department of Commerce	NOAA SBIR		Oct-2024	Dec-2024
		NIST-SBIR		Mar-2024	May-2024
DHS	Department of Homeland Security	24.1	Nov-2023	Dec-2023	Jan-2024
ED	Department of Education	SBIR Phase I RFP		Jan-2023	Mar-2024
DOE	Department of Energy	Phase I Release 1	Jul-2024	Aug-2024	Oct-2024
		Phase I Release 2	Nov-2023	Dec-2023	Feb-2024
		ARPA-E		Multiple Dates	Multiple Dates
NASA	National Aeronautics and Space Administration			Jan-2024	Mar-2024
DOT	Department of Transportation	24SBIR1		Feb-2024	Mar-2024
EPA	Environmental Protection Agency	Phase I Solicitation		Jun-2024	Aug-2024

\*Table last updated on 01-22-2024.

## Eligibility - STTR Specifics

For STTR, the partnering nonprofit research institution must also meet certain eligibility criteria:

- Located in the US
- Nonprofit college or university
- Domestic nonprofit research organization
- Federally funded R&D center (FFRDC)

See the [Eligibility Guide](#) for more detailed information.

## How STTR Differs from SBIR

STTR differs from SBIR in three important aspects:

- The small business awardee and its partnering institution are required to establish an intellectual property agreement detailing the allocation of intellectual property rights and rights to carry out follow-on research, development or commercialization activities.
- STTR requires that the small business perform at least 40% of the R&D and a single partnering research institution perform at least 30% of the R&D.
- The STTR program allows the Principal Investigator to be primarily employed by the partnering research institution.

## The Three Phases of SBIR/STTR

The SBIR Program is structured in three phases:

- **Phase I.** The objective of Phase I is to establish the technical merit, feasibility, and commercial potential of the proposed R/R&D efforts and to determine the quality of performance of the small business awardee organization prior to providing further Federal support in Phase II. SBIR/STTR Phase I awards are generally \$50,000 - \$250,000 for 6 months (SBIR) or 1 year (STTR).
- **Phase II.** The objective of Phase II is to continue the R/R&D efforts initiated in Phase I. Funding is based on the results achieved in Phase I and the scientific and technical merit and commercial potential of the project proposed in Phase II. Typically, only Phase I awardees are eligible for a Phase II award. SBIR/STTR Phase II awards are generally \$750,000 for 2 years.
- **Phase III.** The objective of Phase III, where appropriate, is for the small business to pursue commercialization objectives resulting from the Phase I/II R/R&D activities. The SBIR/STTR programs do not fund Phase III. At some Federal agencies, Phase III may involve follow-on non-SBIR/STTR funded R&D or production contracts for products, processes or services intended for use by the U.S. Government.

## Small Business Administration Role

The US Small Business Administration serves as the coordinating agency for the SBIR program. It directs the agencies' implementation of SBIR, reviews their progress, and reports annually to Congress on its operation. SBA is also the information link to SBIR program.

## Participating Federal Agencies

- Small Business administration
- Department of Agriculture
- Department of Commerce
- Department of Defense
- Department of Education
- Department of Energy
- Department of Health and Human Services
- Department of Homeland Security
- Department of Transportation
- Environmental Protection Agency
- National Aeronautics and Space Administration
- National Science Foundation

Although certain aspects of solicitations remain consistent across the SBIR/STTR programs, there are significant differences in the guidelines established by different agencies, particularly between those that offer grants versus those that employ contracts. To access the official solicitation version and relevant forms and regulations, kindly visit the agency SBIR program websites. Additionally, Elevate Idaho can provide assistance in researching the most recent information.

## Planner

Interested in learning more about the SBIR and STTR Programs? We encourage you to attend one of the following Elevate Idaho Workshops in 2024. For more information, contact [Bam Omotowa](#) to register for the monthly SBIR/STTR workshops or to be added to the e-distribution list.



# Registration

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## Registrations overview

Prior to applying for the SBIR or STTR at any federal agency, registration with specific databases, websites, or web portals is mandatory. The number and type of registrations required will depend on the agency or agencies to which you plan to apply. However, three registrations are universally necessary:

1. Employer Identification Number (EIN)
2. System Award Management (SAM)
3. Small Business Administration's Company Registration (sbir.gov)

To ensure your SBIR/STTR proposal(s) is successfully submitted, you must have all these registrations activated beforehand. The EIN and SAM registrations may take several weeks to complete, whereas sbir.gov can be done in under an hour, and all of these registrations are free. We suggest initiating the registration process early and revisiting them annually to keep them active and updated. If you require any assistance, please don't hesitate to contact the Elevate Idaho representatives.

## EIN

For small businesses, acquiring an Employer Identification Number (EIN) or a Tax Identification Number (TIN) is necessary to establish a unique business identity. This service is provided by the IRS free of charge, and you can apply for it online, by fax, or by post. The processing time varies from one day to four weeks, depending on the application method used. It's important to note that an EIN is a prerequisite for registering with SAM.gov. Before registering with SAM.gov, the first step is to validate with the IRS. When registering at SAM.gov, use the same address provided during the IRS and Security of State registrations. However, keep in mind that SAM.gov is a public database, so refrain from entering a P.O. Box address, and note that your home address will be searchable.

## **SAM.gov**

Every organization must complete a one-time registration process with the System for Award Management (SAM). The following items are required to complete the process:

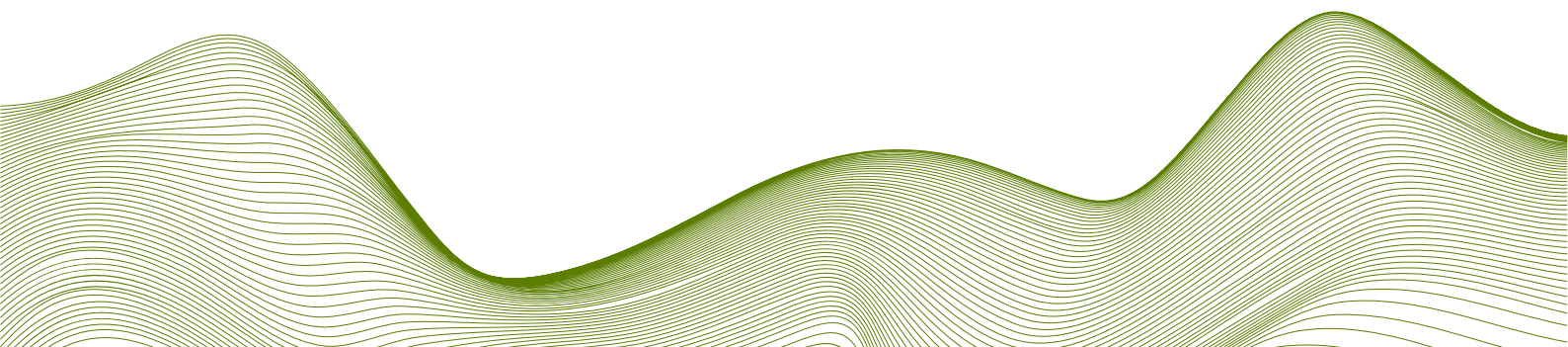
- EIN
- NAICS code(s)
- Physical mailing address (excluding P.O. Box, and home addresses)
- Company bank account
- Statistical information pertaining to the business
- CAGE Code (in case you do not have one, it will be assigned during the registration process)

After submitting your SAM registration, it's probable that it may take a few weeks for it to become active. It's essential to note that there are additional steps that need to be taken, which can be found on [SAM.gov](https://sam.gov).

## **SBIR.gov System Company Registration**

The SBA Company Registration is the third step in the process and requires registration to gain access to the SBIR.gov systems. It is intended for small businesses to register and acquire a unique SBC Control ID for submission at any of the 11 participating agencies in the SBIR or STTR programs.

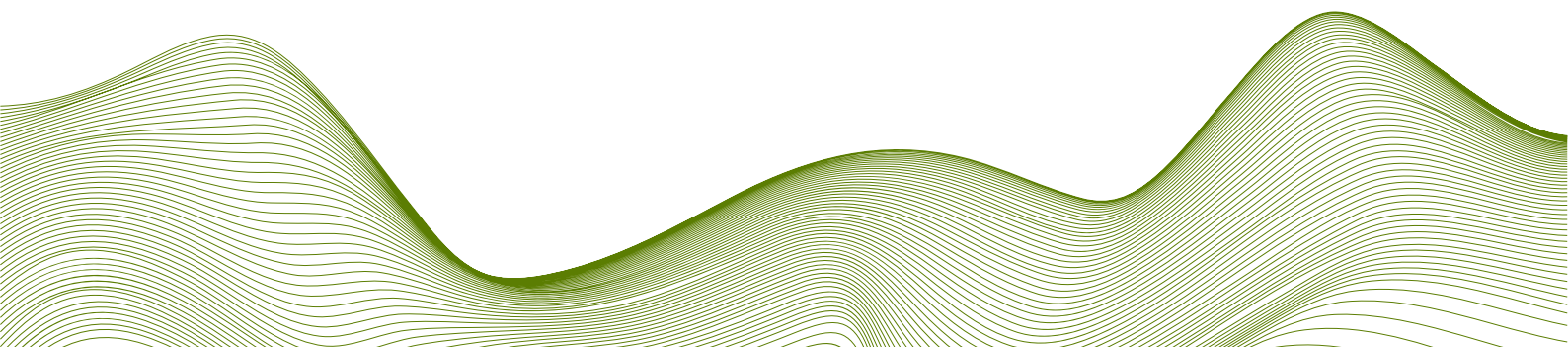
During the registration process, you will need to provide your EIN and contact information for various company officials. Please ensure that you have this information readily available. Note that the email address used for the registration must match the email address of the E-Biz POC at SAM. This process should take no more than 10 minutes, and upon completion, you will receive an SBC Control ID in a PDF format. Save the SBA Registration Documentation as proof of registration, with a name similar to "SBC\_001234567."



## **Grants.gov**

Grants.gov offers a shared platform for federal agencies to publish discretionary funding opportunities, and for potential grantees to locate and apply for them. While certain agencies possess their in-house application portals for SBIR/STTR submission, others mandate submission through Grants.gov.

Grants.gov can be utilized as an SBIR/STTR agency award search engine. However, it's essential to note that it only searches for agencies that grant awards. It's worth mentioning that less than half of all SBIR/STTR awards are grants, with over 50% awarded as contracts. To maximize your visibility of potential SBIR/STTR opportunities, it's advisable to search SBIR.gov or inquire from an Elevate Idaho representative.



# SBIR/STTR Program Benefits

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## Program Benefits

The SBIR and STTR programs are among the most significant sources of funding for early-stage companies in the United States. Securing SBIR or STTR funding offers several advantages, including:

- Funding for research and development of your product or service.
- Guaranteed, predictable, and non-repayable funding.
- Non-dilutive capital, meaning that the company does not have to give up equity.
- Retention of intellectual property rights by small businesses.
- Rigorous peer-review that provides recognition, validation, and visibility to early-stage companies.
- Increased prestige that can attract additional funding or support, such as venture capital or strategic partners.

## Cross-Program or Cross Agency Awards


It's worth noting that recipients of STTR Phase I grants are eligible to receive SBIR Phase II awards, and vice versa. Furthermore, Phase I awardees from one agency may be eligible for a Phase II award from a different agency.

## Applying for Multiple Awards

It is possible to apply for various awards, provided that you fulfill the qualifications for each applicable agency and abide by the guidelines for each award.

## Applying for Multiple Awards

Several agencies provide the option of Phase II SBIR awards to small businesses that did not receive Phase I awards for the relevant research and development. If a small business has already conducted research similar to that of Phase I using other funding sources, they can submit a "Direct to Phase II" SBIR application.

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# Multiple Phase I Awards

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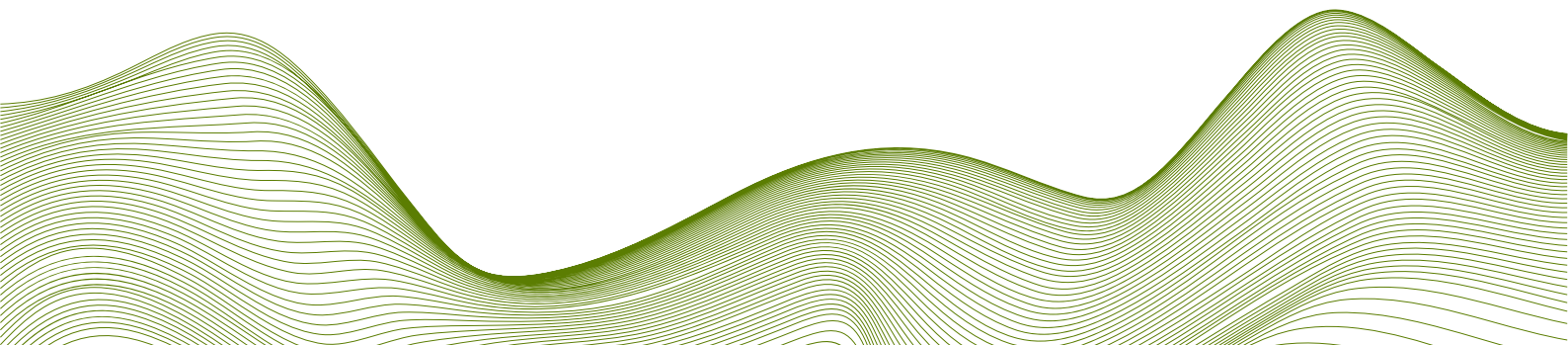
## Performance Benchmark Requirements

For companies that have received multiple SBIR/STTR awards, it's mandatory to fulfill minimum performance obligations to remain eligible to apply for a new Phase I or Direct-to-Phase II award. The primary objective of these prerequisites is to ensure that prior SBIR/STTR award winners are making headway toward commercializing their previous work.

The Phase I to Phase II Transition Rate evaluates the awardee's progress in advancing a project from Phase I to Phase II. Meanwhile, the Commercialization Benchmark assesses the awardee's progress beyond Phase II work, specifically their efforts towards commercialization.

## Phase I to Phase II transition Rate

The rate requirement for transitioning from Phase I to Phase II only pertains to SBIR and STTR Phase I applicants who have received 21 or more Phase I awards during the last five fiscal years, excluding the current year. Such candidates must meet the prescribed benchmark rate for transitioning from Phase I to Phase II. If you are subject to this requirement, please visit [www.sbir.gov/performance-benchmarks](http://www.sbir.gov/performance-benchmarks) to review the performance benchmark requirements or seek assistance from the representatives at Elevate Idaho.



# Contact Us

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The Idaho SBIR/STTR Virtual Innovation Center Satellite Offices are strategically located across the State of Idaho. Partners include:

- Boise State University Technology Transfer Office - [Brett Atkins](#)
- Hawley Troxell - [Brad Frazer](#)
- Idaho Commerce - [Tom Kealey](#)
- Idaho National Laboratory Tech Deployment Office - [Jason Stolworthy](#)
- Idaho State University Office for Research - [Marty Blair](#) or [Steve Wright](#)
- University of Idaho Technology Transfer Office - [Technology Transfer Office](#)