Small Business Innovation Research

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Small Business Innovation Research Participants

- 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
SBIR/STTR Budget by Agency: FY2016

<table>
<thead>
<tr>
<th>Agencies</th>
<th>Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department of Defense (DoD)*</td>
<td>$1.28 B</td>
</tr>
<tr>
<td>Department of Health and Human Services (HHS)**, including the National Institutes of Health (NIH)</td>
<td>$891.0 M</td>
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<tr>
<td>Department of Energy (DOE), including Advanced Research Projects Agency – Energy (ARPA-E)</td>
<td>$228.6 M</td>
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<tr>
<td>National Science Foundation (NSF)</td>
<td>$187.7 M</td>
</tr>
<tr>
<td>National Aeronautics and Space Administration (NASA)</td>
<td>$183.4 M</td>
</tr>
<tr>
<td>U.S. Department of Agriculture (USDA)</td>
<td>$28.8 M</td>
</tr>
<tr>
<td>Department of Homeland Security (DHS)</td>
<td>$17.0 M</td>
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<tr>
<td>Department of Transportation (DOT)</td>
<td>$11.6 M</td>
</tr>
<tr>
<td>Department of Commerce: National Oceanic and Atmospheric Administration (NOAA)</td>
<td>$9.2 M</td>
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<tr>
<td>Department of Education (ED)</td>
<td>$7.5 M</td>
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<tr>
<td>Environmental Protection Agency (EPA)</td>
<td>$4.9 M</td>
</tr>
<tr>
<td>Department of Commerce: National Institute of Standards and Technology (NIST)</td>
<td>$3.3 M</td>
</tr>
</tbody>
</table>

* Budgeted amount; other Agencies Obligated Amount  
** Provides grants and contracts

Source: www.sbir.gov
Ownership

An SBIR awardee must be more than 50% owned and controlled by one or more individuals or by multiple VCOCs, multiple hedge funds or multiple private equity firms, each of which is more than 50% directly owned and controlled by individuals who are citizens of, or permanent residents of, the United States.
VC Ownership

An SBIR awardee must not have majority ownership and control by a single VCOC, hedge fund or private equity firm.
VC Ownership

Size determination – Affiliation

For the purposes of SBIR, the SBA has created rules which are case specific. VC owned firms should refer to SBA guidelines.
Necessary Minimum Registrations

DUNS Number (Company)
https://fedgov.dnb.com/webform/displayHomePage.do

System for Award Management (SAM)
http://www.sam.gov

Grants.gov (Company)
http://www.grants.gov

SBA Company Registry at SBIR.gov
http://sbir.gov/registration
Considerations

- The PI is not required to have a Ph.D.

- The PI must demonstrate expertise necessary to oversee project scientifically and technically

- Applications may be submitted to different agencies for similar work

- Awards may not be accepted from different agencies for duplicative projects
What Reviewers Look For

- Clear articulation of the innovation
- Identify risks and indicate the mitigation plan
- Detailed work plan and schedule
- What equipment and facilities will be used?
- Clearly state assumptions - do not leave to evaluators
- Not all reviewers are PhD. experts – explain understandably, delve into detail if needed
- Commercialization focus from the start
- Differentiator or Competitive Advantage
Top 10 Reasons for Rejection

- Lack of technical detail in the plan
- Not complying with proposal guidelines
- No “I” - Innovation
- Too ambitious
- Lack of knowledge of prior work or state-of-the-art
- Lack of credibility
- Poorly written
- Missed deadline
- Not “responsive” to topic
- Inadequate Phase II or Phase III potential
Where do I find more SBIR Info?

- http://www.sbir.gov
- http://www.sbir.defensebusiness.org

- Closed Topic Search
<table>
<thead>
<tr>
<th>Title</th>
<th>Agency</th>
<th>Branch</th>
<th>POC</th>
<th>Contact 1</th>
<th>Contact 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Development of vaccines to prevent AIDS</td>
<td>NIH</td>
<td>NIAID</td>
<td>Director: Dr. Margaret (Peggy) Johnston</td>
<td>301-402-0846</td>
<td><a href="mailto:pj7p@nih.gov">pj7p@nih.gov</a></td>
</tr>
<tr>
<td>Process Development and Manufacture of an Antibody-based Therapy</td>
<td>DOD</td>
<td>Chemical and</td>
<td>Mr. Larry Pollack</td>
<td>703-767-3307</td>
<td><a href="mailto:Lawrence.p.pollack2.civ@mil.mil">Lawrence.p.pollack2.civ@mil.mil</a></td>
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<tr>
<td>Against Sudan Ebola Virus</td>
<td></td>
<td>Biological Defense</td>
<td></td>
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Massachusetts Small Business Development Center Network

- Entity Formation
- Business plans
- Marketing strategies
- Equity and debt financing
- Training sessions
SBIR Advisory Program

Request No Cost Assistance at:
http://www.msbdc.org/sbir