Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR)
What we fund:

• High technical risk R&D (unproven, early-stage) for the purpose of feasibility/viability of a new product, process or service
• Validated market need and high commercialization potential if the R&D works
• Almost zero topical focus/restriction

How we fund:

• R&D grants to small businesses (mostly start-ups)
• Proposal-driven external merit review process (technical + commercial focus)
• Phase I ($150k/$225k), Phase II ($750k), plus supplemental opportunities (> $500k)

Funding rate varies – 2013, e.g.:

• Phase I – 385 awards, typically ~15-20% award rate
• Phase II – 101 awards, typically ~33-50% award rate
NSF SBIR at 60,000 feet

Who we fund:
• 86% of awardees have 10 or fewer employees
• 90% of awardee companies were incorporated within the past 5 years
• 73% of awardees had never had a prior Phase II award from any agency
• Several dozen Phase I awardees each year are incorporated based on our funding

Commercialization Results:
• About 10-15 acquisitions of Phase II grantees per year
• Leverage: for FY2013, 52 supplemental matching awards made, based on $83 M in third-party investment

www.nsf.gov/eng/iip/sbir/
A Few Things to Know about NSF SBIR
## A Wide Range of Topics

<table>
<thead>
<tr>
<th>Topic</th>
<th>Program Director</th>
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<tbody>
<tr>
<td>Educational Technologies and Applications (EA)</td>
<td>Glenn H. Larsen, <a href="mailto:glarsen@nsf.gov">glarsen@nsf.gov</a></td>
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<td>Information and Communication Technologies (IC)</td>
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<td>Semiconductors (S) and Photonic (PH) Devices and Materials</td>
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<td>Advanced Manufacturing and Nanotechnology (MN)</td>
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<td>Smart Health (SH) and Biomedical (BM) Technologies</td>
<td>Jesus V. Soriano, <a href="mailto:jsoriano@nsf.gov">jsoriano@nsf.gov</a></td>
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Nearly any innovation with commercial potential fits somewhere!
You Define the Fit

- The small business decides what product or service best allows them to create commercial outcomes and broad societal impacts.

- NSF *NEVER* buys anything from grantees and has no preference what they decide to make.
We measure success not by “commercial potential”, but by actual commercialization results at funded companies:

- Commercial revenues
- Company growth
- Follow-on investment / deals
- Exits (mergers/acquisitions)

We track all of these at Phase II companies for over a decade post-award
What We Don’t Fund

Projects lacking technical risk or innovation
- X If there’s no technical risk, why fund R&D?
- X If there’s no innovation, it’s not appropriate for NSF – our goal is to bridge the early-stage funding gap

Projects where we don’t see a strong chance of resulting commercial outcomes
- X This applies to the project AND the proposing company/team

Projects where our funding won’t move the needle
- X If we can’t make a big impact on the company’s prospects, there are usually better ways to raise $
Everyone with responsibility for SBIR/STTR is exclusively focused on these programs.

These people write the solicitations, handle all grantee/applicant communications, organize the reviews, make the award recommendations, and manage the resulting projects.

They are available to discuss or answer questions at any point during the process.
Key takeaways

- NSF places much less importance on “topical fit” – we are more or less “topic agnostic”

- Communication is encouraged throughout the process – and we spend a lot of our time working POST-award

- NSF is not a customer, we are more like an investor

- Funding is ONLY for R&D, so successful proposals stress the importance of R&D on company/product viability

- Long-term success metrics for our program (and therefore grantees) are largely commercial: revenues, job growth, etc.
What goes into a proposal?

- Summary (no more than 1 page)
- The Market Opportunity (recommended 2-4 pages)
- The Innovation (recommended 1-3 pages)
- The Company/Team (recommended 1-3 pages)
- Technical Discussion and R&D Plan (minimum 5 pages, recommended 5-7 pages)

- Total page limit for project description is 15 pages
- References Cites, Bio Sketches, etc – uploaded elsewhere!

Think of your proposal as an “investment pitch” rather than as just a technical proposal
Basic information


Current Solicitations – on the home page under “How to Apply” and then “Most Recent Call for Proposals”

**Small Business Innovation Research (SBIR):** NSF 14-603

Proposals Due by 5:00 PM on December 2, 2014

**Small Business Technology Transfer (STTR):** NSF 14-608

Proposals Due by 5:00 PM on December 5, 2014

Helpful videos on eligibility and how to apply can be found on our YouTube channel (NSFInnovationIIP)
If you’ve decided to submit...

- Send an executive summary to the cognizant Program Director for your proposed topic area

- Register your company in 4 required systems!
  - FastLane registration for company and PI required (www.fastlane.nsf.gov)
  - Dun and Bradstreet Data Universal Numbering System (DUNS) number required - including subawardees (www.dnb.com)
  - System for Award Management (SAM) registration required (www.sam.gov)
  - Small Business Administration (SBA) Company Registry registration required (http://sbir.gov/registration)

- **SUBMIT EARLY!** Proposals must be submitted via FastLane no later than 5:00 pm (submitter time zone) on the deadline date. Late submissions will be “Returned Without Review” by NSF. On average 10% of NSF Phase I proposals are returned without review by for being submitted late.
Connect with NSF SBIR/STTR

Funding and webinar announcements, news, and success stories

Online:  
http://www.nsf.gov/eng/iip/sbir/

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