

April 20, 2023

1:00 PM to 5:00 PM (CST)

TODAY'S COLLIDER

**Preparing to Do
Business with the
Federal Government**



GEOINT HUB

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T-REX

COLLIDER

AGENDA



- 1:05pm Welcome Address – Michael Fitzpatrick, NGA
- 1:10pm Keynote Speaker – Mr. Phil Chudoba, NGA
- 1:40pm Marketing to the Federal Government – Mr. John Grill, APEX Accelerator
- 2:40pm Short Break
- 2:55pm The Role of OTA Consortia Management Firms – Ms. Elaine Sumera, ATI
- 3:30pm Small Business Innovation Research – Mr. Ed Lahue, MU Extension
- 4:00pm Closing Remarks – Dr. Patricia Hagen, T-REX
- 4:05pm Networking Session



WELCOME ADDRESS



MICHAEL FITZPATRICK

Moonshot Labs Operations Lead
National Geospatial-Intelligence Agency



KEYNOTE MESSAGE



PHIL CHUDOBA

Associate Director for Capabilities
National Geospatial-Intelligence Agency



SEGEMENT SPEAKER



JOHN ("BILLY") GRILL

Southwest Region Associate Director
APEX Accelerator at Ohio University



UNCLASSIFIED



OHIO
UNIVERSITY

Voinovich School of Leadership and Public Service

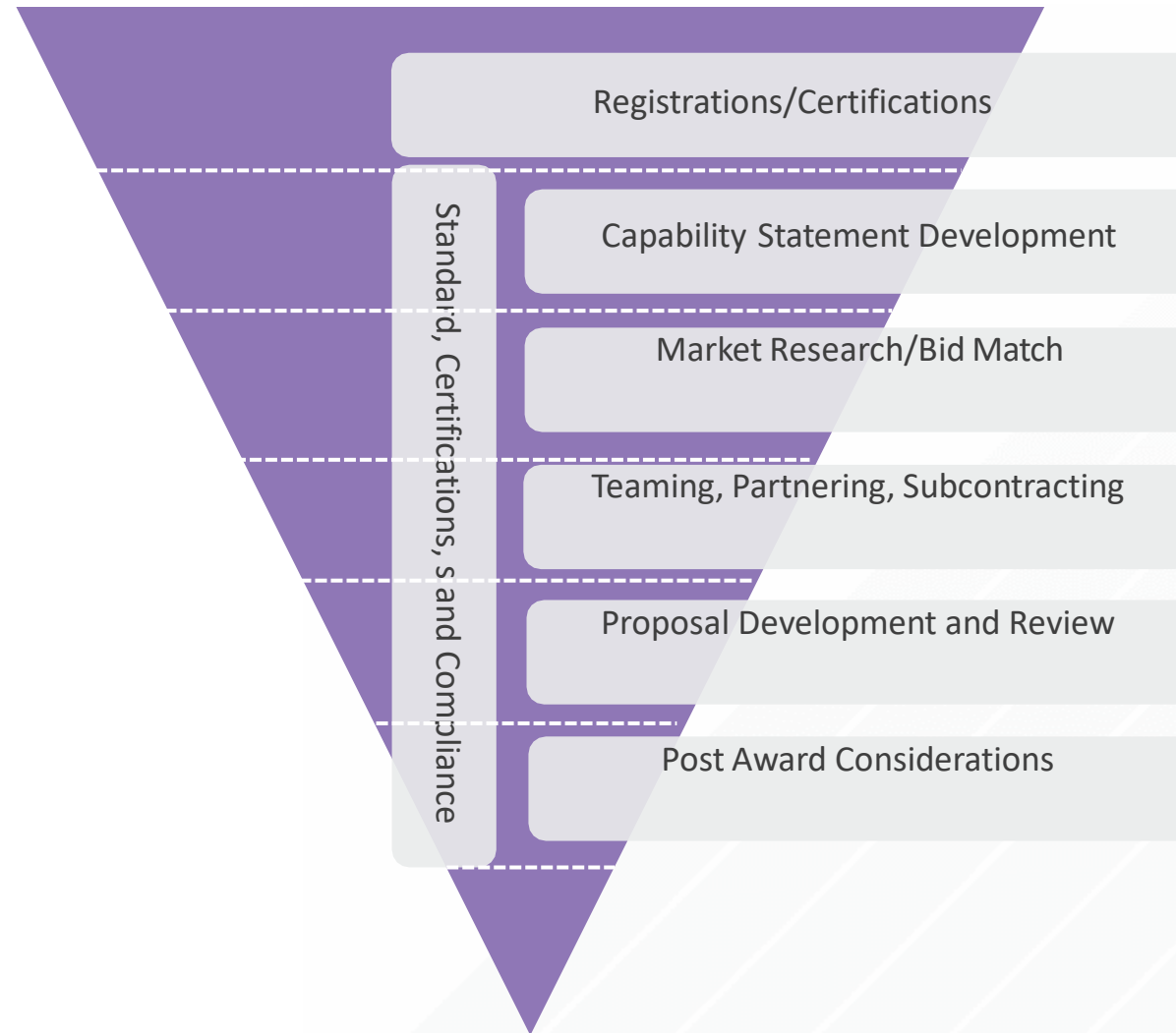
Ohio University Apex Accelerator **Marketing to the Federal Government**

UNCLASSIFIED

What are we covering?

- Overall Federal Market
- Marketing Process
- Tips & Tricks
- Dos and Don'ts

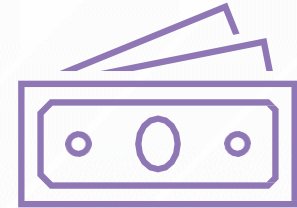
APEX Accelerator Services



Consider This!



- Huge Market (\$600 BILLION!).
- On-time payment.
- Great repeat customer.
- Bring the \$\$\$\$ to your top line.
- Some company somewhere is getting this work, why not you?
- Your state-based APEX Accelerator will help you!



Making the Decision

- What does the Government buy?
 - Practically EVERYTHING
- What is your core competency?
 - Define what you can do best
- Is your commercial market strong?
- Do you have adequate financial resources?
- Are you willing to make the investment?

New Entrants (by Executive Order)



What is an Opportunity?

Requirement + Funding = Opportunity

Business Development Areas of Growth

Current Client
New Capability

New Client
New Capability

Current Client
Current Capability

New Client
Current Capability

- Sealed Bidding
 - Open to all vendors/Awarded to best offer
- RFP/RFQ
 - Evaluation based on several factors incl. price
- Micro-purchases
- Simplified Acquisition Threshold (\$250,000)
- GSA Schedule/IDIQ/BPA
- OTAs/Consortia
- SBIR/STTR



Marketing Approach



Bid to Win – BidMatch, SAM, DIBBS, S&L
RFP/RFQ



Organic – Market Research, Outreach,
Development, Solution Architecture



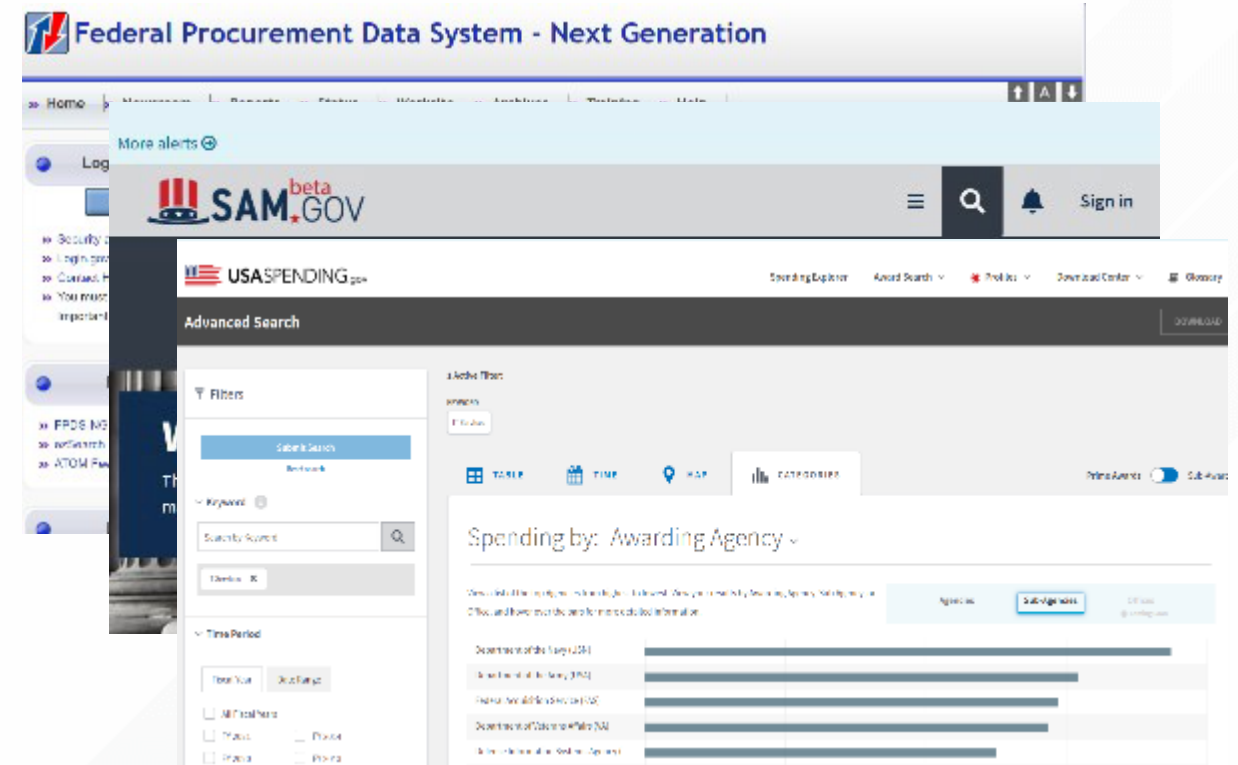
Networking – Industry Association, Industry
Days, Teaming, Subcontracting

Client Profiles

- Government wants Past Performance
 - Recent and Relevant
 - Similar in Size, Scope, and Complexity
- Target prospects using
 - Industry Vertical
 - Capability
 - Mission
 - Technology
- Know Your Goaling
 - SB Goaling Reports
 - Exec Orders on DEI, DIB, and New Entrants

Market Research Tools

- Federal Procurement Data System
- USASpending.Gov
 - Past Contracts
 - Agency Profiles
 - Prime Contractors
 - Set Asides
- Sam.Gov
 - Upcoming Opportunities
 - Upcoming Industry Events
- Fedmine & EZGovOpps
 - Internal Market Research Tools
- Bid Match Emails
 - Proprietary to PTAC
 - Searches Multiple Databases



USASpending Agency Profiles

- 107 Organizations
- Mission
- Budget
- Link to Comptroller Information
- Object Classes
- Federal Accounts

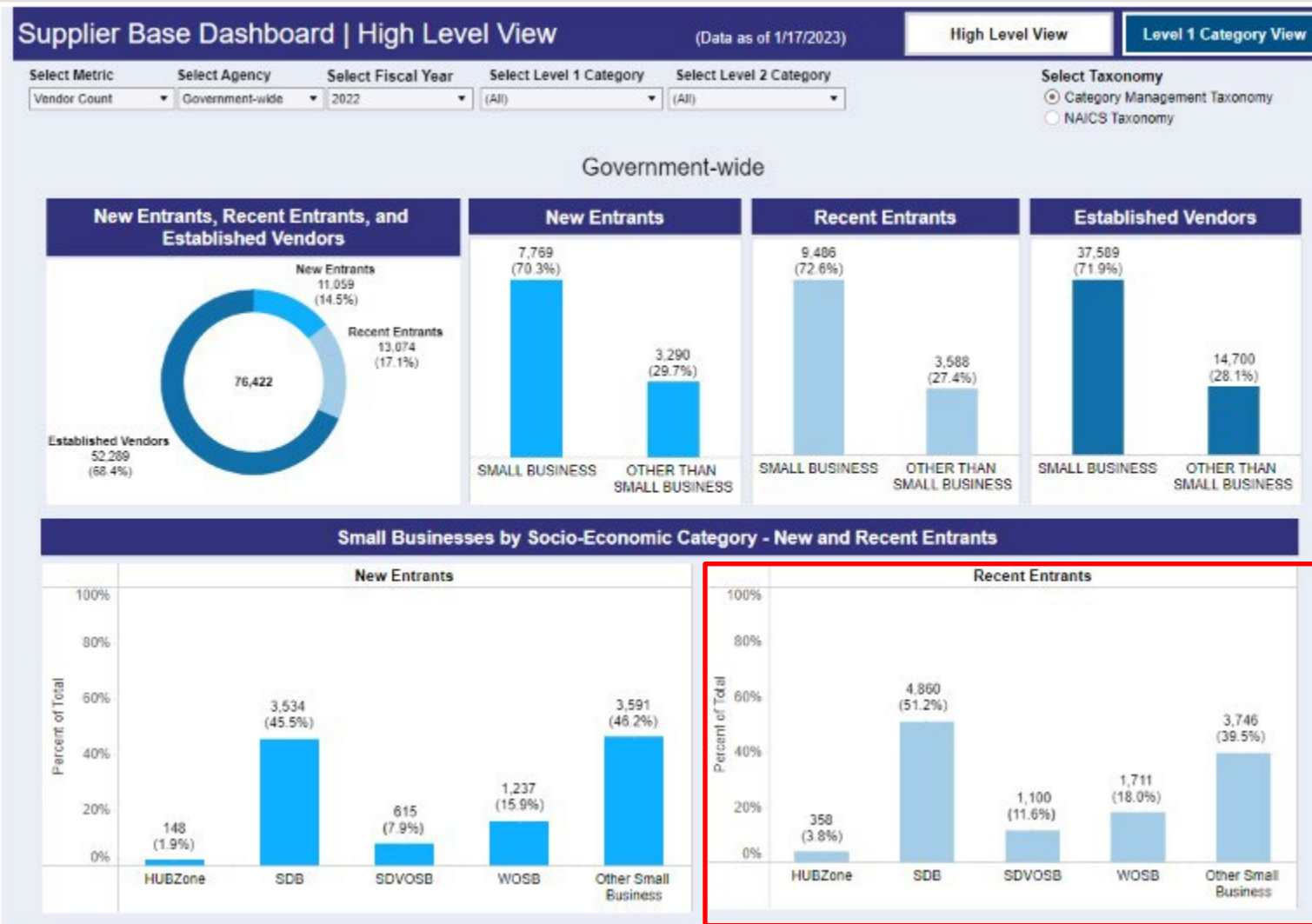
Outreach

- Target Primes and Agencies
- DO YOUR RESEARCH!
 - Budgets
 - Strategic Plans
 - Priority Objectives
 - Past Contracts
 - Patents/Licenses
- Brevity is Key (one-to-two-minute read)
- 3 Tells & 3 Asks
 - Who you are, what you do, what your specific value is
 - Upcoming opportunities, upcoming events/chances to connect with the organization and learn more, people in the organization you should be speaking with

The Steps to Capture

- Identify the opportunity
- Explore the customer's needs and goals
- Determine if the opportunity is a good fit for pursuit
- Evaluate likely competitors and develop pricing
- Define your win strategy and advantages
- Connect with the customer and position your solution

New Entrants (by Executive Order) – Set Asides



- HUBZone
- Service Disabled Veteran Owned
- Small Disadvantaged Business
- Woman Owned Small Business

Agency Goals

Small Business Procurement - FY2023 Small Business Goals - as of 12/15/2022

FUNDING DEPARTMENT NAME	Prime Contract Small Business Goals	Prime Small Disadvantaged Business Goal	Prime Service-Disabled Veteran-Owned Small Business Goal	Prime Women Owned Small Business Goal	Prime HUBZone Small Business	Subcontract Small Business Goals	Subcontract Small Disadvantaged Business Goal	Subcontract Service-Disabled Veteran-Owned Small Business Goal	Subcontract Women Owned Small Business Goal	Subcontract HUBZone Small Business Goal
DEPT OF DEFENSE (9700)	22.43%	10.57%	3.00%	5.00%	3.00%	30.00%	5.00%	3.00%	5.00%	3.00%
ENERGY, DEPARTMENT OF (8900)	5%/17%	7.00%	3.00%	5.00%	3.00%	49.00%	5.00%	3.00%	5.00%	3.00%
HEALTH AND HUMAN SERVICES, DEPARTMENT OF (7500)	22.00%	13.08%	3.00%	5.00%	3.00%	32.00%	5.00%	3.00%	5.00%	3.00%
VETERANS AFFAIRS, DEPARTMENT OF (3600)	27.00%	11.10%	3.00%	5.00%	3.00%	17.20%	5.00%	3.00%	5.00%	3.00%
NATIONAL AERONAUTICS AND SPACE ADMINISTRATION (8000)	16.87%	8.90%	3.00%	5.00%	3.00%	34.20%	5.00%	3.00%	5.00%	3.00%
HOMELAND SECURITY, DEPARTMENT OF (7000)	35.50%	17.90%	3.00%	5.00%	3.00%	43.00%	5.00%	3.00%	5.00%	3.00%
GENERAL SERVICES ADMINISTRATION (4700)	33.00%	21.90%	3.00%	5.00%	3.00%	21.00%	5.00%	3.00%	5.00%	3.00%
AGRICULTURE, DEPARTMENT OF (1200)	55.00%	22.40%	3.00%	5.00%	3.00%	21.00%	5.00%	3.00%	5.00%	3.00%
JUSTICE, DEPARTMENT OF (1500)	33.00%	15.90%	3.00%	5.00%	3.00%	38.00%	5.00%	3.00%	5.00%	3.00%
INTERIOR, DEPARTMENT OF THE (1400)	49.37%	30.50%	3.00%	5.00%	3.00%	43.80%	5.00%	3.00%	5.00%	3.00%
STATE, DEPARTMENT OF (1900)	25.50%	21.00%	3.00%	5.00%	3.00%	38.00%	5.00%	3.00%	5.00%	3.00%
COMMERCE, DEPARTMENT OF (1300)	39.00%	20.90%	3.00%	5.00%	3.00%	30.00%	5.00%	3.00%	5.00%	3.00%
TREASURY, DEPARTMENT OF THE (2000)	40.00%	12.00%	3.00%	5.00%	3.00%	20.00%	5.00%	3.00%	5.00%	3.00%
TRANSPORTATION, DEPARTMENT OF (6900)	33.40%	21.00%	3.00%	5.00%	3.00%	43.00%	5.00%	3.00%	5.00%	3.00%
OFFICE OF PERSONNEL MANAGEMENT (2400)	50.00%	31.80%	3.00%	5.00%	3.00%	25.00%	5.00%	3.00%	5.00%	3.00%
LABOR, DEPARTMENT OF (1600)	37.85%	28.90%	3.00%	5.00%	3.00%	60.00%	5.00%	3.00%	5.00%	3.00%
ENVIRONMENTAL PROTECTION AGENCY (6800)	44.70%	17.80%	3.00%	5.00%	3.00%	56.50%	5.00%	3.00%	5.00%	3.00%
EDUCATION, DEPARTMENT OF (9100)	14.50%	9.15%	3.00%	5.00%	3.00%	37.00%	5.00%	3.00%	5.00%	3.00%
HOUSING AND URBAN DEVELOPMENT, DEPARTMENT OF (8600)	20.00%	18.90%	3.00%	5.00%	3.00%	28.00%	5.00%	3.00%	5.00%	3.00%
SOCIAL SECURITY ADMINISTRATION (2800)	26.00%	10.20%	3.00%	5.00%	3.00%	50.00%	5.00%	3.00%	5.00%	3.00%
AGENCY FOR INTERNATIONAL DEVELOPMENT (7200)	13.25%	8.30%	3.00%	5.00%	3.00%	14.50%	5.00%	3.00%	5.00%	3.00%
NATIONAL SCIENCE FOUNDATION (4900)	23.68%	12.60%	3.00%	5.00%	3.00%	25.00%	5.00%	3.00%	5.00%	3.00%
NUCLEAR REGULATORY COMMISSION (3100)	41.00%	27.90%	3.00%	5.00%	3.00%	40.00%	5.00%	3.00%	5.00%	3.00%
SMALL BUSINESS ADMINISTRATION (7300)	68.00%	60.00%	3.00%	5.00%	3.00%	39.00%	5.00%	3.00%	5.00%	3.00%

To be eligible for the WOSB Federal Contract program, a business must:

- Be a small business according to SBA size standards
- Be at least 51% owned and controlled by women who are U.S. citizens
- Have women manage day-to-day operations who also make long-term decisions
- To qualify as an EDWOSB within the program, a business must:
 - Meet all the requirements of the WOSB Federal Contract program
 - Be owned and controlled by one or more women, each with a personal net worth less than \$850,000
 - Be owned and controlled by one or more women, each with \$450,000 or less in adjusted gross income averaged over the previous three years
 - Be owned and controlled by one or more women, each \$6.5 million or less in personal assets

SDVOSB

To apply for certification with SBA as a VOSB or SDVOSB, a firm must meet the following requirements:

- Be considered a small business, as defined by the size standard corresponding to any NAICS code listed in the business's SAM profile.
- Have no less than 51% of the business owned and controlled by one or more veterans.
- For certification as a SDVOSB, have no less than 51% of the business owned and controlled by one or more veterans rated as service-disabled by the VA.
- For those veterans who are permanently and totally disabled and unable to manage the daily business operations of their business, their business may still qualify if their spouse or appointed, permanent caregiver is assisting in that management.
- For a full list of eligibility requirements, see the final rule published in the Federal Register.

To qualify for the HUBZone program, your business must:

- Be a small business according to SBA size standards
- Be at least 51% owned and controlled by U.S. citizens, a Community Development Corporation, an agricultural cooperative, an Alaska Native corporation, a Native Hawaiian organization, or an Indian tribe
- Have its principal office located in a HUBZone*
- Have at least 35% of its employees living in a HUBZone*
- You can find the full qualification criteria in Title 13 Part 126 Subpart B of the Code of Federal Regulations (CFR).

You may register your business as a Small Disadvantaged Business if you meet the following criteria set by the Code of Federal Regulations:

- The firm must be 51% or more owned and controlled by one or more disadvantaged persons.
- The disadvantaged person or persons must be socially disadvantaged and economically disadvantaged.
- The firm must be small, according to SBA's size standards.

8(a)

To qualify for the 8(a) program, businesses must meet the following eligibility criteria:

- Be a small business
- Not have previously participated in the 8(a) program
- Be at least 51% owned and controlled by U.S. citizens who are socially and economically disadvantaged
- Have a personal net worth of \$850 thousand or less, adjusted gross income of \$400 thousand or less, and assets totaling \$6.5 million or less
- Demonstrate good character
- Demonstrate the potential for success such as having been in business for two years
- 8(a) certification lasts for a maximum of nine years. The first four years are considered a development stage and the last five years are considered a transitional stage. Continuation in the program is dependent on staying in compliance with program requirements.

The federal government fully defines who qualifies for the 8(a) program — including what counts as being socially and economically disadvantaged — in Title 13 Part 124 of the Code of Federal Regulations.

Tips and Tricks

- Know your customer's language
- Prioritize your targets
 - Use goaling reports
 - Use your network
 - Use forecasts
- Categorize your searches and data
- Do your legwork and investigate

- Do Your Research!
 - Market Research
 - Small Business Goaling report
 - Agency Strategic Plan
 - Opportunity Forecasts
- Use your Capability Statement
 - Email in PDF format
 - NO mass emails
- Agency Contacts
 - Small Business Specialists
 - Contracting Officers
 - Procurement Center Representatives (PCR)
 - Individual Buyers

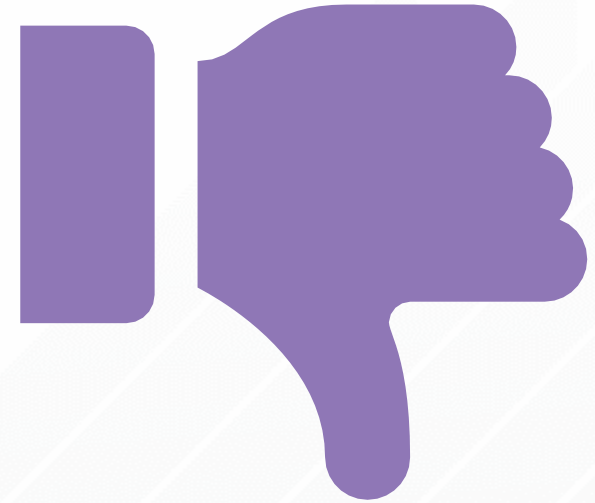


- **Know Your Customer**
 - Who buys your product or service
 - How they buy
 - When they buy
- **Know The Rules**
 - Federal Acquisition Regulations
 - Contract requirements and specifications
 - Contract history
- **Perform As Promised**
 - On-time delivery
 - Quality
 - Price



Don't

- Be afraid to ask questions and get clarification
- Submit your proposal late
- Be late for appointments
- Be unreliable
- Oversell yourself
- Be unprepared
- Drag out your presentations
- Submit sloppy paperwork
- Be demanding or difficult
- Have unrealistic goals





Ohio Apex Accelerator at Ohio University

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GEOINT HUB

SESSION BREAK
WE'LL BE RIGHT BACK

TODAY'S COLLIDER
Preparing to Do Business with
the Federal Government

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SEGEMENT SPEAKER



ELAINE SUMERA

Vice President
Business Development & Communications
Advanced Technology International



Advanced Technology International

Accelerating Innovation for the Nation

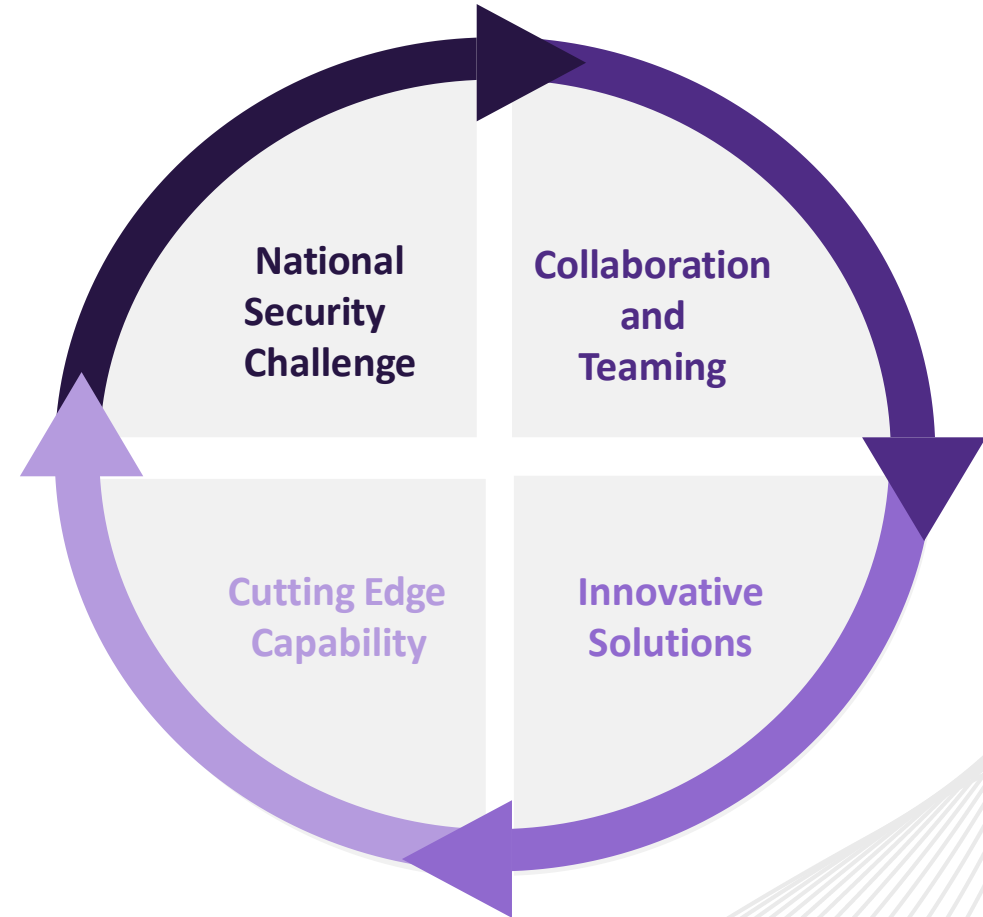
Elaine Sumera

April 2023

WE ACCELERATE IMPACT

Who We Are

- 501(c)3 public service nonprofit based in Summerville, SC
- 25 years managing Federal Government RDT&E programs (\$27B to date)
- Provides largest source of non-traditional innovators with an innovation ecosystem of 80K organizations and 27 countries
- Support the largest number of prototype development in the nation (1,300 prototype projects)



Whom We Serve

- DOD - Department of Defense
- DHS - Department of Homeland Security
- HHS - Department of Health and Human Services
- NSF - National Science Foundation
- SC DoC – South Carolina Department of Commerce
- Industry/Academia Innovators
- Emerging Technology and Solution Providers

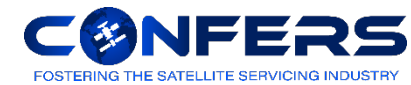
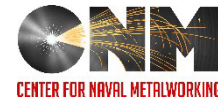


South Carolina
Department of Commerce

Just right for business.

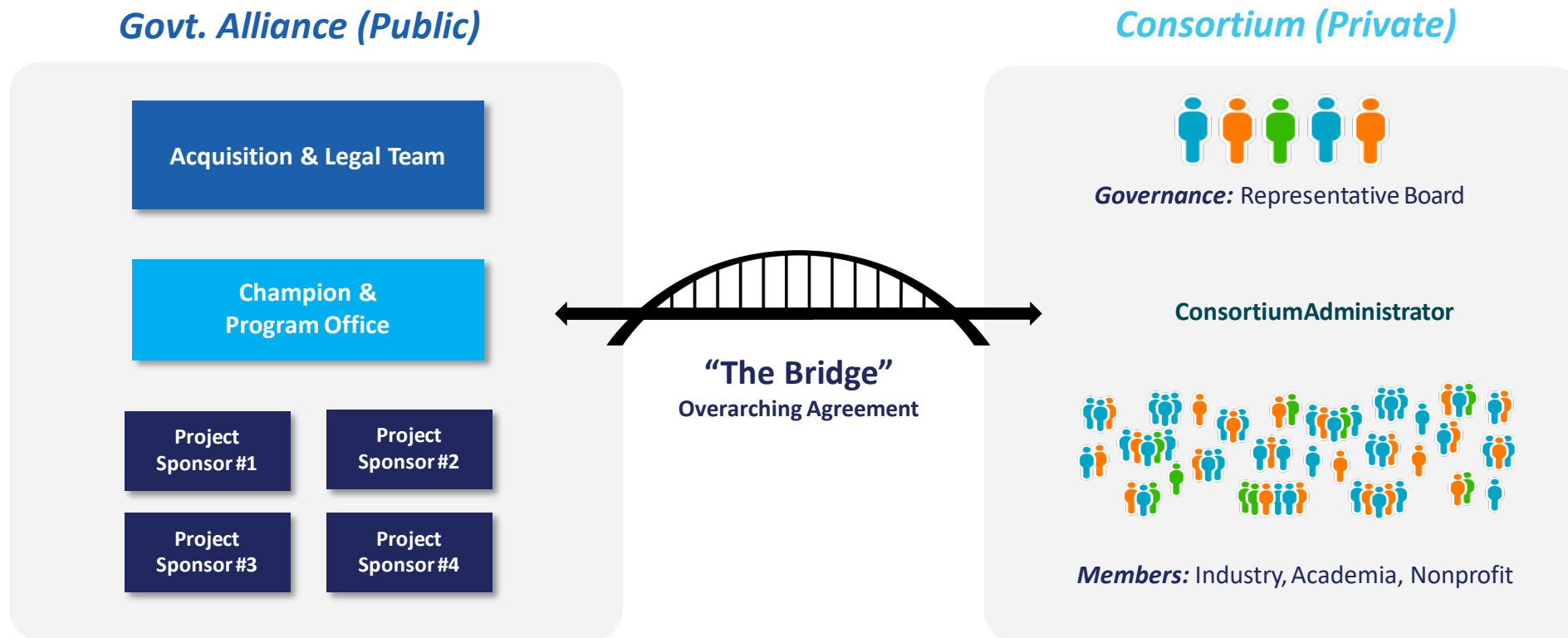


How We Do It



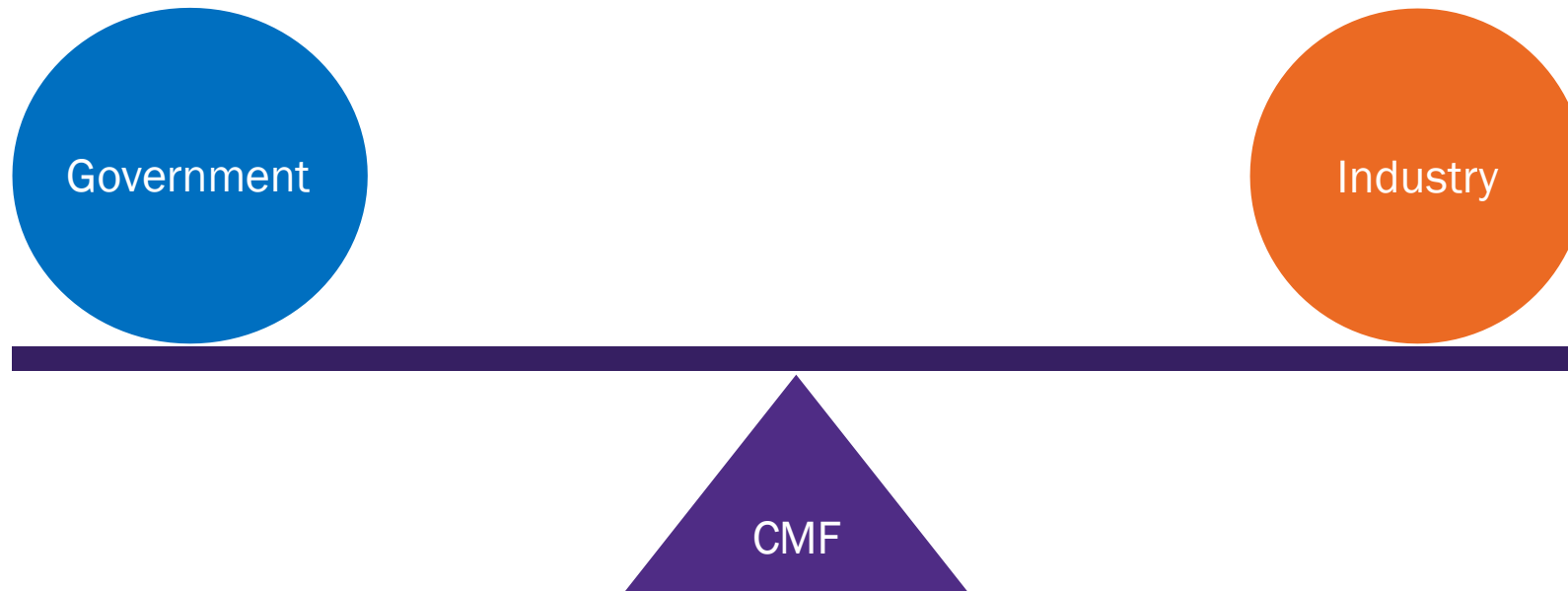
ATI's Consortium Management Model

Federally Sponsored R&D Consortia are Public Private Partnership



ATI's Role

ATI supports as a Consortium Management Firm - the critical pivot point between Government and Industry.



ATI ensures the needs of both are balanced and met in an efficient and expeditious manner.

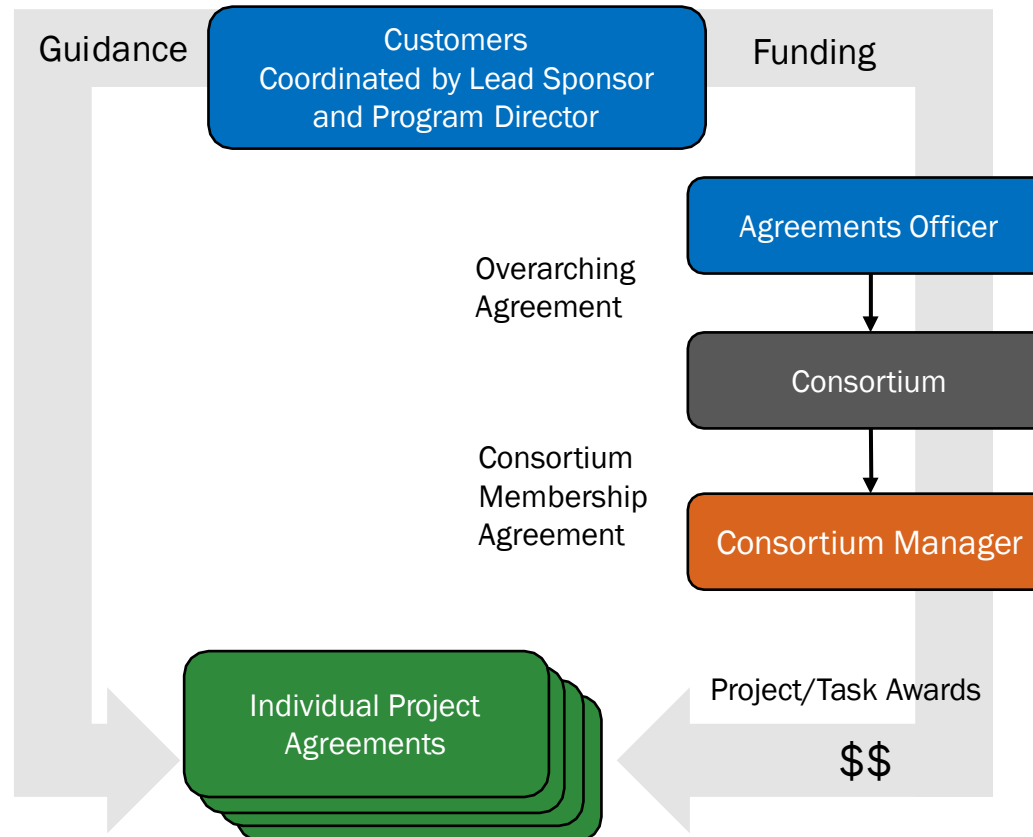
How Does the Model Work

Key Roles and Responsibilities

ATI amplifies sponsor actions and impact by delivering results at the speed of need and relevance.

Sponsor Control

- Selects projects
- Sets Contractual Terms and Conditions
- Approves Statement of Work / Cost / Milestones / Deliverables
- Provides Technical Oversight
- Conducts Project / Program Reviews
- Redirect / Cancels Projects, If Needed



ATI Provides:

- Consortium Membership Management
- Event Management
- Program Management (Cost / Schedule Performance)
- Contract Management (Streamlined Solicitations, Project Awards, Compliance Screening, Cost Analyses, Project Modifications, Closeouts)
- Financial Management – DCAA Audited Compliant CAS
- Security Management – Physical, IT, and Cybersecurity
- Engagement / Recruitment / Outreach

Why Other Transaction R&D Consortia

- Provide simplified access to an innovative class of technology providers who may be reluctant to work with the Government.
- Facilitate strong collaboration among Government, industry and academic partners throughout the process.
- Can lead to shorten procurement timelines.
- Provide risk mitigation while allowing the government to lean forward and push for greater innovation
- Reduce the administrative burden on the federal workforce, allowing more R&D to happen with a smaller, more efficient footprint

Better, faster, more innovative R&D

Consortium Model Benefits

Benefit	Industry/Academia	Government
Expanded Access	<ul style="list-style-type: none"> - Access to Government stakeholders - Networking with potential Industry/Academia partners. 	<ul style="list-style-type: none"> - Access to non-traditionals. - Wider net for capturing new ideas and innovations
Improved Information Exchange	<ul style="list-style-type: none"> - Provides better understanding of Government needs, requirements and priorities - Enables more focused internal investments. 	<ul style="list-style-type: none"> - Permits greater collaboration with Industry/Academia. -Affords greater understanding of the “art of the possible” for technology and capability.
Greater Opportunity & Better Solutions	<ul style="list-style-type: none"> - “Push vs pull” identification of opportunities - Relationship opportunities allow them to be more successful. 	<ul style="list-style-type: none"> - Broader range of potential solutions = more ideas to choose from in a competitive environment - Improved solutions development.
Managed Complexity and Compliance	<ul style="list-style-type: none"> - Nontraditionals supported by collaboration manager - Levels playing field for those that want to participate. 	<ul style="list-style-type: none"> - Reduced administrative burden on the Government technical, contracting, and finance teams - Inherently governmental control and compliance maintained
Flexible & Fast Contracting	<ul style="list-style-type: none"> - Quick, responsive task negotiations and awards: dollars on contract sooner, improves cash-flow challenges. - Flexible IP provisions 	<ul style="list-style-type: none"> - Allows multiple tasks with a single set of terms and conditions. - Less time spent on contract admin means technical managers can focus on developing and deploying better solutions, faster

ATI Capabilities

Collaboration & Program Management

- Stakeholder Engagement (strategy, roadmapping, etc.)
- Leadership Support (governance, charters, elections, etc.)
- Enhanced recruitment and onboarding support
- Membership management (process applications, vetting, training, communication tools, dues, etc.)
- Member Resource Concierge Service (e.g., legal, financial, etc.)
- Speed Networking/One-on-One Engagements
- Matchmaking Services (proposal specific and beyond)
- Technology Scouting Sprints/Trend Forecasting

Contract and Financial Management

- Solicitation and Pre-Award Process Management
 - Need/Requirement Definition & Refinement
 - Proposers Conferences
 - Submission Forms or Secure Submission Portal
 - Submission Receipt/Compliance Review (24 hr turn)
 - Cost Analysis Support & Negotiations
- Post-Award Project Management
 - Contract Modifications
 - Project Invoice Receipt/Payment
 - Tracking and Reporting (Deliverables, Technical, Financial, Nontraditional Use, Government Property)
 - Project Close-out Activities
- Program Financials (Budget/Forecast, Expenditures, Invoices)

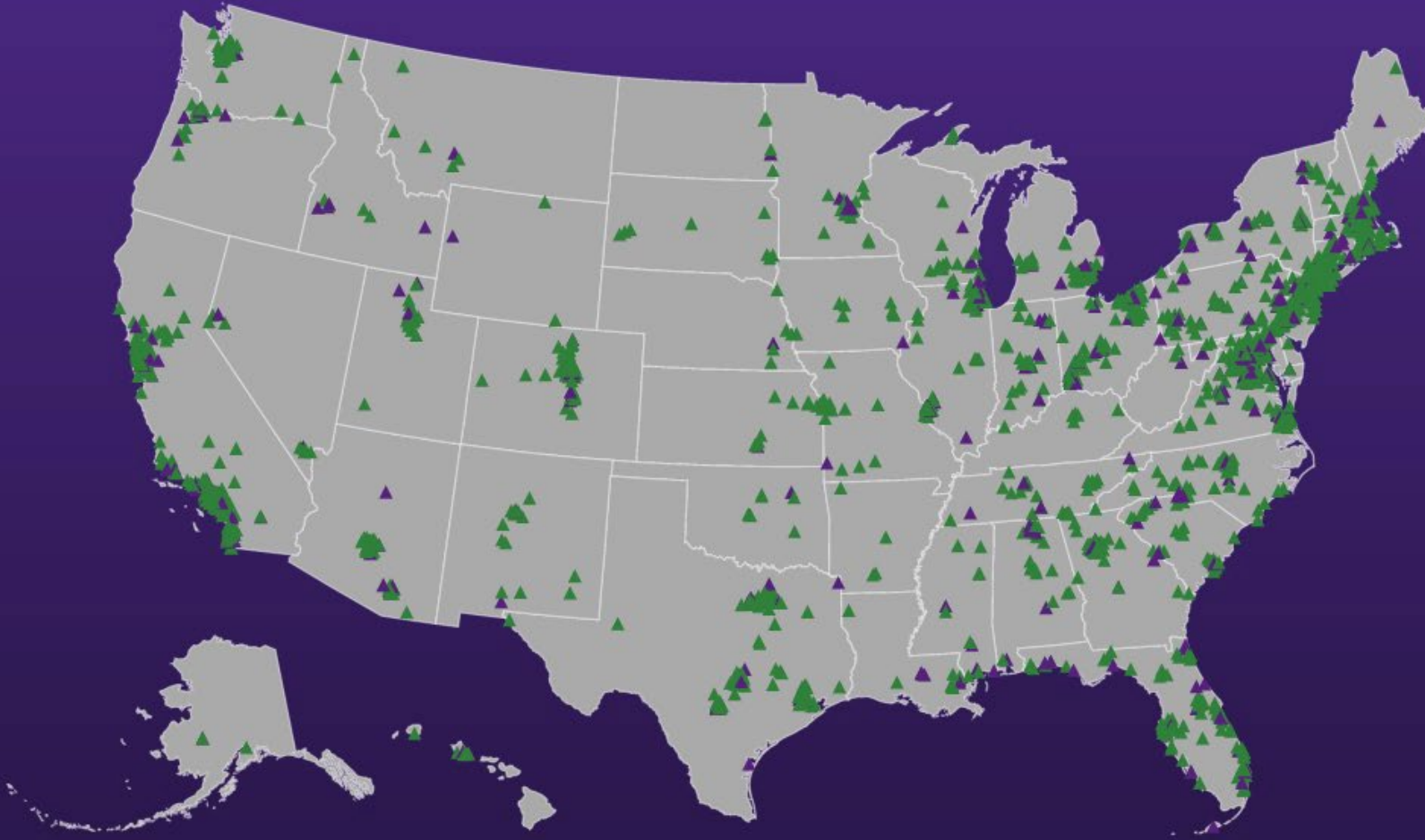
Event Management

- Cradle to grave event planning and execution, with professional event planners
 - Event Websites, with built-in registration
 - Venue and support vendors (identification, contracting)
 - Collateral development (logos, brochures, booth design, etc.)
- Pitch/Prize Challenge Events
- Conferences/Exhibits (exhibit arrangements, onsite manning)
- National Innovation Conferences (can be leveraged by ATI programs)

Websites & Data Management

- Public websites (design/host/maintain) and social media platforms
- Secure websites with restricted access, user management
- Collaboration Databases (searchable member profiles for teambuilding)
- Real-time dashboards/reporting of program data and metrics (members, award process, projects, financials)
- Web-based education and training tools
- Email distribution and Survey Tools
- NIST 800-171 compliant systems

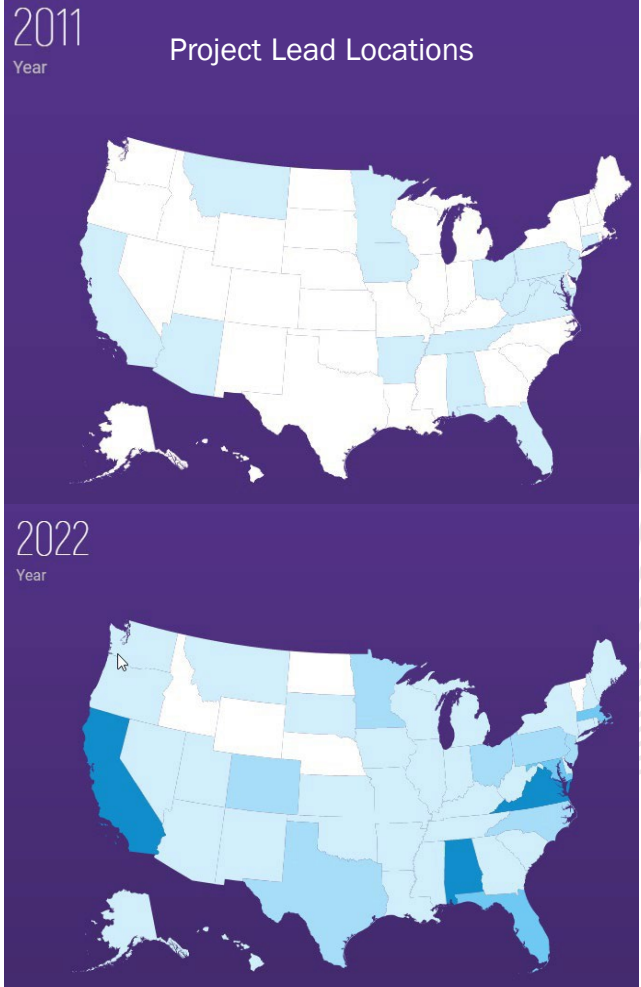
ATI Collaborations Offer Broad Access to Innovation



ATI Proprietary

OTAs are Expanding Access to Nontraditional Sources

FY22 Project Awards for ATI-Managed Consortia	
# of Awards Non-Traditional Project Leads	72%
# of Awards to Traditional Project Leads with Significant Nontraditional Participation	28%
FY22 Total Awarded Ceiling for ATI-Managed Consortia	
Total Ceiling Awarded to Non-Traditional Project Leads	64%
Total Ceiling Awarded to Traditional Project Leads with Significant Nontraditional Participation	36%



How We Delivered Results in FY22

30+

**Innovation Sprints,
Challenges and
Award Programs**

1300

Active Projects

\$3.7B

**Total Funding
Award**

\$2.7B

**New Projects
Awarded**

4100+

Members

11000+

**Participants in
125**

Collaboration Events

Elaine Sumera
Vice President
Business Development & Communications
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WE ACCELERATE IMPACT

Federal Agencies with OT Authority

AGENCY	R&D AUTHORITY	PROTOTYPE AUTHORITY	PERMANENT AUTHORITY	OTA DATA IN FPDS	AUTHORIZING STATUTE
NASA	O	O	O	X	51 U.S.C. §20113(e)
Defense	O	O	O	O	10 U.S.C. §§ 4021 ; 10 USC §4022
Air Force	O	O	O	O	10 U.S.C. §§ 4021 ; 10 USC §4022
Army	O	O	O	O	10 U.S.C. §§ 4021 ; 10 USC §4022
Marine Corps	O	O	O	O	10 U.S.C. §§ 4021 ; 10 USC §4022
Navy	O	O	O	O	10 U.S.C. §§ 4021 ; 10 USC §4022
Energy	O	X	Expires 9/30/30	X	42 U.S.C. §7256
Advanced Research Projects Agency – Energy	O	X	O	X	42 U.S.C. §16538
Transportation	O	X	O	X	49 U.S.C. §5312
Federal Aviation Administration	O	X	O	X	49 U.S.C. §106(l)
Homeland Security	O	O	X	O	P.L. 117-263 §7227 (authority renewed annually in appropriations bills)
U.S. Coast Guard	O	O	O	X	14 U.S.C. §1158 (New Provision from NDAA FY23, Section 11205)

Sources: [R45521](#), "Department of Defense Use of Other Transaction Authority: Background, Analysis, and Issues for Congress," February 22, 2019; U.S. Code [website](#); DOE, [FAL 2021-03](#) "Implementation of the Consolidated Appropriations Act," March 2021; [PL117-263](#), "James M. Inhofe National Defense Authorization Act for FY23," December 23, 2022; Certain links require subscription to [GovWin IQ Agency Profiles](#)

Federal Agencies with OT Authority

AGENCY	R&D AUTHORITY	PROTOTYPE AUTHORITY	PERMANENT AUTHORITY	OTA DATA IN FPDS	AUTHORIZING STATUTE
Countering Weapons of Mass Destruction Office	O	O	O	O	6 U.S.C. §596
Transportation Security Administration	O	X	O	O	49 U.S.C. §114(m)
Health and Human Services	O	X	O	X	42 U.S.C. §282
Biomedical Advanced Research and Development Authority (within HHS ASPR)	O	X	O	X	42 U.S.C. §247d-7e
Department of Commerce	O	O	O	X	15 USC §7432
National Institute of Standards and Technology	O	O	O	X	15 USC §278h-1
National Oceanic and Atmospheric Administration	O	O	O	X	15 USC §8531
Office of the National Cyber Director (Executive Office of the President)	O	O	O	X	6 U.S.C. §1500
Agriculture Advanced Research and Development Authority (AGARDA)	O	O	O	X	7 USC §3319k
Director of National Intelligence (DNI) (Executive Office of the President)	O	O	O	X	50 USC §3024

Sources: [R45521](#), "Department of Defense Use of Other Transaction Authority: Background, Analysis, and Issues for Congress," February 22, 2019; U.S. Code [website](#); [PL117-263](#), "James M. Inhofe National Defense Authorization Act for FY23," December 23, 2022; Certain links require subscription to [GovWin IQ Agency Profiles](#)



SEGEMENT SPEAKER



ED LAHUE

Innovation & Technology Counselor
University of Missouri Extension
Missouri Small Business Development
Center - St Louis

Small Business Innovation Research

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WHAT IS THE MISSOURI SBDC?

- Missouri SBDC (Small Business Development Centers) serves all 114 counties and the city of St. Louis
- Funded in part through a Cooperative Agreement with the U.S. Small Business Administration
- Additional funding provided by the University of Missouri Extension, universities/colleges, economic development organizations, and other private and public partnerships

WHAT DOES THE SBDC DO?

- Help Missouri business owners and startups make confident decisions with personalized assistance
- Serve for-profit existing businesses and start-ups with business planning, financial projections/analysis, identifying customers, marketing, QuickBooks, plus more*
- Provide one-on-one assistance by appointment and training/events on topics to meet small business needs
- Specific expertise and services in technology development & commercialization, international trade, agri-business, business growth strategies, and exit planning

* The Missouri SBDC does NOT provide legal or tax advice.



What is SBIR and STTR?



- A **\$4.282 Billion** Federal Funding Program mandated by legislation in 1982.
- Purpose to increase and support **scientific excellence** and **technological innovation** through investment of federal research funds.
- SBIR – Small Business Innovation Research
- STTR – Small Business Technology Transfer
- Support for Small Business to:
 - Stimulate **new technology & innovation**
 - Develop products with **commercial merit** and social good
 - **Create Jobs**

What is SBIR and STTR?



A mechanism to fund best early-stage high-risk innovation ideas
(Ideas that are too high risk for the private sector)



Startups that got SBIR Funding



www.sbir.gov/showcase

The difference between SBIR and STTR

	SBIR	STTR
Partnering Requirement	Permits partnering	Requires a non-profit research institution partner
Principal Investigator	Primary employment (>50%) must be with the small business	PI may be employed by either the research institution partner or small business (check solicitation)
Work Requirement	May subcontract up to: 33% (Phase I) 50% (Phase II)	Minimum: 40% Small Business 30% Research Institution Partner
Program Size	3.2% (FY19 - \$3.28B)	0.45% (FY19 - \$453M)
Majority VC ownership	Allowed by some agencies	Not allowed
Participating Agencies	11 agencies (extramural R&D budget > \$100M)	5 agencies (extramural R&D budget > \$1B)

SBIR & STTR Participating Agencies

Department of Agriculture
(USDA)

Department of Commerce
(DoC)
NIST, NOAA

Department of Defense
(DoD)

Department of Education
(ED)

Department of Energy
(DOE)

Dept of Health and Human
Services
(HHS)
NIH, FDA, CDC, ACL

Department of Homeland
Security
(DHS)

Department of
Transportation
(DOT)

Environmental Protection
Agency
(EPA)

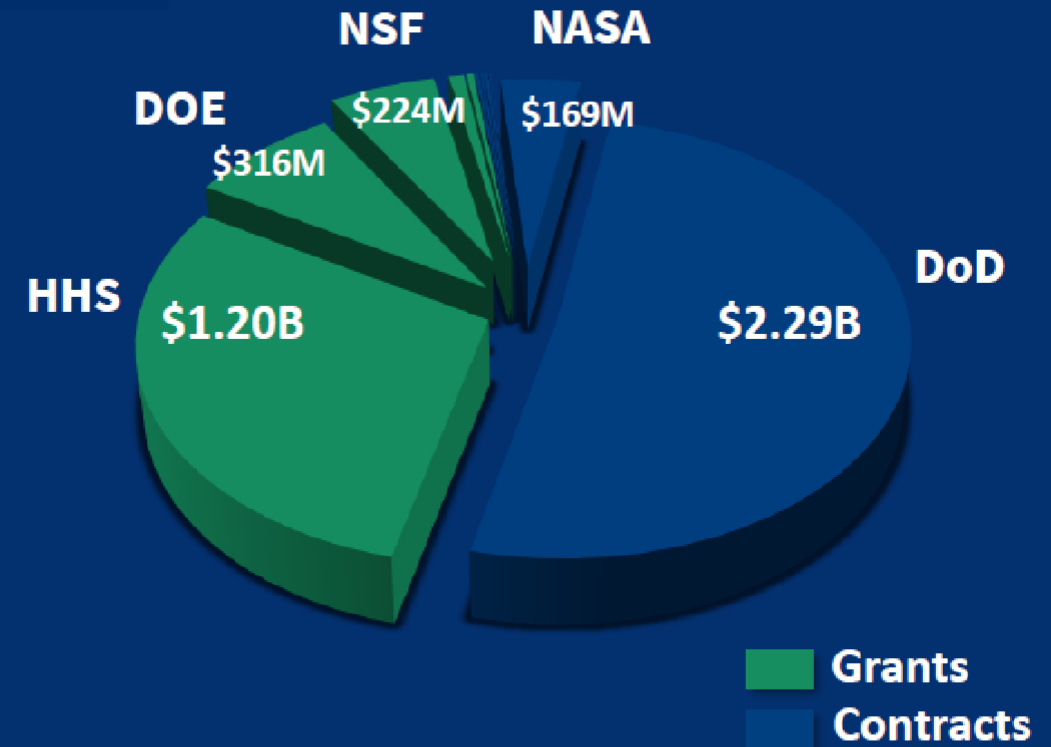
National Aeronautics and
Space Administration
(NASA)

National Science
Foundation
(NSF)

Blue is SBIR only and Green is both

FY2021 SBIR/STTR Budgets by Agency

Agencies	Budget
Department of Defense (DoD)	\$2.29 B
Department of Health and Human Services (HHS)*, including the National Institutes of Health (NIH)	\$1.20 B
Department of Energy (DOE), including Advanced Research Projects Agency – Energy (ARPA-E)	\$316 M
National Science Foundation (NSF)	\$224 M
National Aeronautics and Space Administration (NASA)	\$169 M
U.S. Department of Agriculture (USDA)	\$32.2 M
Department of Homeland Security (DHS)**	\$15.0 M
Department of Education (ED)	\$11.8 M
Department of Commerce: National Oceanic and Atmospheric Administration (NOAA)	\$10.7M
Department of Transportation (DOT)	\$6.5 M
Department of Commerce: National Institute of Standards and Technology (NIST)	\$4.6 M
Environmental Protection Agency (EPA)***	\$4.1 M



Total: \$4.282 Billion

SBIR: \$3.765 Billion

STTR: \$518 Million

* Provides grants and contracts

** Estimated from prior years

*** Budgeted Amount; other Agencies Obligated Amount

Phases and Funding



Why consider SBIR and STTR?

- Fills the gap between new start-up with no capital to build prototype and an investable business that has a product and revenue.
- Non-dilutive cash.
- Largest source of non-dilutive.
- Award helps validate technology prior to investment.
- Enables early transfer of technology from academia to start-up companies.
- Attracts commercialization partners and funding.
- Small business retains ownership of intellectual property (with some exceptions, see <http://sbir.us/library/SBIRpatn.html>).
- Government can't share reports or data with anyone outside of the federal government for 20 years.

SBIR – More Defined

- **Small** – Has not more than 500 employees.
 - Is at least 51% owned and controlled.
- **Business** – For profit proprietorship, partnership, LLC, corporation.
- **Innovation** – Must be innovative with breakthrough technology (more revolution than evolution).
- **Research** – Establish the technical and scientific merit and feasibility of the proposed research efforts.

Who qualifies?

- You must have a small business
- For-profit
- US-owned and controlled
- > 50% owned by U.S. citizens or permanent residents
- < 500 employees
- Located in the U.S.
- R&D for grant project must be performed in the U.S.
- Company-controlled research space for grant project

What is involved with SBIR Phase 1 Submission?

- **Innovative/Novel Concept** that matches a research topic of one of the federal agencies (NSF allows broad topics)
- A good **understanding of the current state** and how your technology pushes beyond the current state
- **Research plan** that demonstrates how you will prove your concept
- Identification of the **project team members** who can carry out this research plan
- **Market estimate and customer segment** (significance) and possibly social good
- Time and effort – **150 hours over 10 weeks for 15-20 page work plan (6 months to get funds after submission)**

What is needed for SBIR Phase 1 Submission?

- Set up as small business (registered with the state)
- An address
- A company bank account
- Employer Identification Number (EIN) with IRS
- Required registrations ([Registration Tutorial](#)) (can take up 6 weeks)
 - System for Award Management (SAM) <https://sam.gov/SAM>
 - SBIR.gov (will need the above first)
 - Specific registrations for that agency (grants.gov, research.gov, eRA Commons)
- For assistance with SAM, Jaymie Mitchell, APEX Accelerators mitchelljl@missouri.edu

Your chances of being awarded

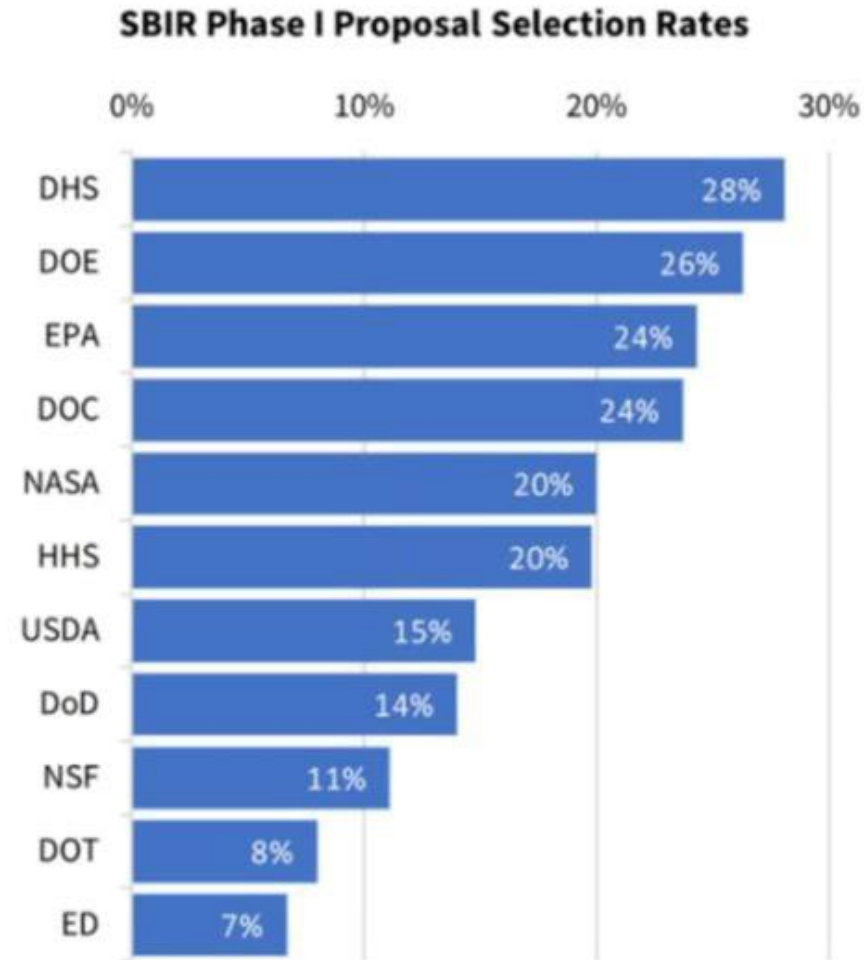
- In 2019, 21,299 SBIR Phase 1 proposals were submitted and 3,946 were awarded resulting in a **19% success rate.**
- Phase 2 had 3,682 with 2,135 awards for a **59% success rate.**
- STTR have similar success rates.
- **40% of the awardees are first time submissions.**

Your chances of being awarded

SBIR Success Rates

FY 2018

- Phase I:
 $3,135 / 19,197 = 16\%$
- Phase II:
 $3,114 / 1,703 = 55\%$



National Science Foundation (NSF)

- Another option is the National Science Foundation (NSF) Seed Fund, which has very broad topics and they are issued on a rolling quarterly basis.
- There are 3 submission windows in 2023:
November 22 - March 1
March 2 - July 5
July 6 - November 1
- <https://seedfund.nsf.gov/portfolio/>
- NSF submissions are done by invitation only via a Project Pitch which is a brief description that is reviewed in about 3 weeks. Once selected you have 1 year to submit your full proposal.
- **1 in 3 Project Pitches get invited** to submit a full proposal.

Key Resources

- Ed Lahue, Innovation & Technology Counselor
elahue@missouri.edu
- SBA has SBIR tutorials <https://www.sbir.gov/tutorials>
- Missouri SBDC Training Events
<https://sbdc.missouri.edu/training/events>
- Phase 0 FAST Grant to Fund up to \$2500 for grant writing



missourisbdc.org



The Missouri SBDC is funded in part through a Cooperative Agreement with the U.S. Small Business Administration.



CLOSING REMARKS



DR. PATRICIA HAGEN

Executive Director
Technology Entrepreneur Center (T-REX)



Download Materials



Preparing to Do Business with the Department of Defense

Thursday
April 20, 2023

An introduction to government contracting, small business certification, registration in the System for Award Management (SAM), & other related topics.

EVENT DETAILS

OTHER UPCOMING AND PAST EVENTS

Pursuing Government Contracts & Funding Opportunities

Jun 22, 2023

An overview of where & how to search for, find, & pursue contracts & funding opportunities sponsored by the Department of Defense.

Leveraging Resources & Small Business Assistance Programs

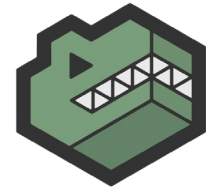
Aug 24, 2023

Exploring local & regional resources & service providers available to assist small businesses with pursuing, winning, & managing government contracts.

Exploring Small Business Programs with the Department of Defense - Completed

Feb 23, 2023

An introduction to government contracting, small business certification, registration in the System for Award Management (SAM), & other related topics. Resources from the event available for [download here](#).



T-Rex



GEOINT HUB

Speaker's Materials

<https://downtowntrex.org/the-geoint-hub>



MacBook

2023 COLLIDER EVENT SCHEDULE



**Feb
23**

Exploring Small Business Programs with the Department of Defense

An orientation to the small business programs, services, and capability needs of the Department of Defense and its agencies.

**Jun
22**

Pursuing Government Contracts and Funding Opportunities

An overview of where and how to search for, find, and pursue contracts and funding opportunities sponsored by the Department of Defense.

**Apr
20**

Preparing to Do Business with the Federal Government

An introduction to government contracting, small business certification, registration in the System for Award Management (SAM), and other related topics.

**Aug
24**

Leveraging Resources and Small Business Assistance Programs

Exploring local and regional resources and service providers available to assist small businesses with pursuing, winning, and managing government contracts.



T-REX

Venue for all collider events

Technology Entrepreneur Center (T-REX)
911 Washington Avenue, Suite 500
St. Louis, MO 63101



GEOINT HUB

NETWORKING

SESSION