



SBIR/STTR Grant Support Program

Purpose

As part of the state of Oregon's effort to further innovation and entrepreneurship, Oregon's SBIR/STTR Support Program provides funding assistance to help Oregon businesses access federal SBIR and STTR funds. The U.S. Small Business Administration (SBA) administers the SBIR and STTR programs under which federal agencies provide grants to small businesses for research & development and to get innovations ready for marketing and production. The SBIR and STTR programs provide funding in two phases: Phase I (to conduct feasibility research) and Phase II (to expand on Phase I results and develop a commercially-viable product). A Fast Track program also exists that combines the two phases into one.

To assist Oregon businesses in accessing the federal grant funds, Business Oregon's support program includes two types of grants:

- Phase 0 Grant—grant to prepare an application to a federal agency for a SBIR/STTR Phase I grant
- Phase 00 Grant—grant to prepare an application to a federal agency for a SBIR/STTR Phase II or Fast Track grant

Applicants must be targeting an open federal solicitation to receive a Business Oregon Phase 0/00 grant.

Phase 0 Grants

Grants to prepare an application to a federal agency for a SBIR/STTR Phase I grant. The maximum grant award available to an applicant is \$5,000.

Eligible Uses

- Professional fees to develop the SBIR/STTR Phase I application (e.g., technical consultants, writer, reviewer)
- Other professional fees (e.g., legal, accounting) directly related to preparing the SBIR/STTR Phase I application
- Other out-of-pocket costs directly related to preparing the SBIR/STTR Phase I application (e.g., market research, technical database research or statistical analyses)

Ineligible Uses

Staff costs at the applying company and typical costs of doing business are not eligible uses of grant funds. All costs will be reviewed for eligibility and applicability. Decisions as to eligibility will be made by Business Oregon after discussion with the applying company.

Eligibility Requirements

- Applicant must be a traded-sector business. "Traded sector" businesses are defined in Oregon statute as "industries in which member firms sell their goods or services into markets for which national or international competition exists."
- Applicant must be an Oregon-based business. "Oregon-based" is defined as "more than 50% of the company's employees are based in Oregon."

- Applicant must meet all federal SBIR/STTR guidelines:
 - have fewer than 500 employees
 - be independently owned and operated
 - be legally organized as a for profit
 - be at least 51 percent owned by a U.S. citizen(s) or a lawfully admitted permanent resident alien(s)
- Applicant may not receive concurrent funding support from other sources that duplicates the purpose of the Phase 0 grant award.

Meeting the above Eligibility Requirements does not guarantee a Phase 0 Grant. Applications will be evaluated with respect to, among other things, a well-defined scientific problem and/or business opportunity, technical merit and fit to federal solicitation, commercialization potential, qualifications of team, and qualifications of consultant or other firm to be hired. In addition, preference may be given to those applicants that have received fewer than four SBIR/STTR grants in the previous two years.

Phase 00 Grants

Grants to prepare an application to a federal agency for a SBIR/STTR Phase II or Fast Track grant. The maximum grant award available to an applicant is \$5,000.

Eligible Uses

- Professional fees to develop the SBIR/STTR Phase II or Fast Track application (e.g., technical consultants, writer, reviewer)
- Other professional fees (e.g., legal, accounting) directly related to preparing the SBIR/STTR Phase II or Fast Track application
- Other out-of-pocket costs directly related to preparing the SBIR/STTR Phase II or Fast Track application (e.g., market research, technical database research or statistical analyses)

Ineligible Uses

Staff costs at the applying company and typical costs of doing business are not eligible uses of grant funds. All costs will be reviewed for eligibility and applicability. Decisions as to eligibility will be made by Business Oregon after discussion with the applying company.

Eligibility Requirements

- Applicant must be a traded-sector business. "Traded sector" businesses are defined in Oregon statute as "industries in which member firms sell their goods or services into markets for which national or international competition exists."
- Applicant must be an Oregon-based business. "Oregon-based" is defined as "more than 50% of the company's employees are based in Oregon."
- Applicant must meet all federal SBIR/STTR guidelines:
 - have fewer than 500 employees
 - be independently owned and operated
 - be legally organized as a for profit
 - be at least 51 percent owned by a U.S. citizen(s) or a lawfully admitted permanent resident alien(s), and
 - be the primary place of employment of the principal investigator (P.I.)
- Applicant may not receive concurrent funding support from other sources that duplicates the purpose of the Phase 00 grant award.

Meeting the above Eligibility Requirements does not guarantee a Phase 00 Grant. Applications will be evaluated with respect to, among other things, progress made during Phase I, market/job creation opportunity, technical merit, fit with federal solicitation, commercialization potential, qualifications of team, and qualifications of consultant or other firm to be hired. In addition, preference may be given to those applicants that have received fewer than four SBIR/STTR grants in the previous two years.

How to Apply

Applications are accepted year-round. An application must be received by Business Oregon **at least four weeks prior** to the targeted federal agency's application deadline.

Complete an application form, which can be accessed at: <http://www.oregon4biz.com/sbir/>

Submit the signed application **and the required attachments** to Business Oregon, either by:

email: mark.brady@oregon.gov

OR

standard mail: Mark Brady, Innovation Strategist
Business Oregon
121 S.W. Salmon Street, Suite 205
Portland, Oregon 97204

The required attachments are listed on the application form. The attachments do not need to be very long or detailed but must provide enough information to allow a match between the proposed technology or project and the open federal solicitation. In addition, companies must submit some detail on what work would be conducted with the Phase 0 or 00 grant as well as a line-item budget with justification for each item. If contractors have been identified in advance, please submit biographical sketches or CVs for all service providers.

Email submissions must not exceed a total size of 10MB (email plus all attachments). Larger sized emails will not be delivered to the department.

Grant Agreement

Once a grant has been approved, the company will need to enter into a contract with Business Oregon (Oregon Business Development Department). Among other items, the contract will set forth the process that will be used to reimburse for expenses incurred and the reports that will need to be submitted throughout the course of the project.