

LOCAL INNOVATION

# Oklahoma SBIR/STTR Collaborative Resource

Oklahoma EPSCoR NSF Grants  
Workshop

May 17, 2012

GLOBAL IMPACT

# Overview

- i2E, Inc. is a private not-for-profit corporation focused on developing high-growth companies in Oklahoma and making a positive impact on the state's economy
- OCAST is Oklahoma's only agency whose sole mission is the development, transfer and commercialization of technology

# SBIR & STTR Overview

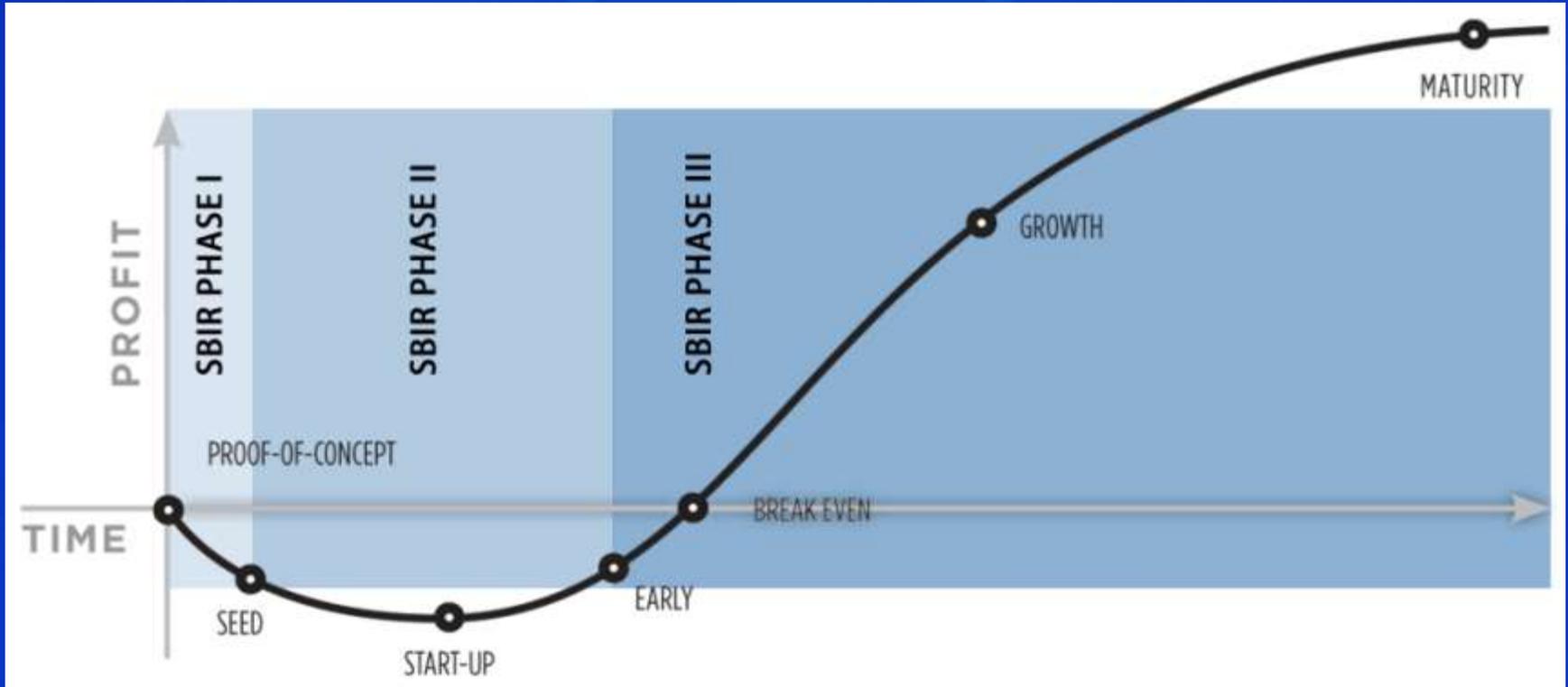
## Small Business Innovation Research (SBIR)

- 11 Federal agencies that award ~\$2.5B
- Two types of projects:
  - Development of new technology
  - New applications for existing technology

## Small Business Technology Transfer (STTR)

- 5 Federal agencies that award ~ \$261.4M
- Small businesses identify a federal lab or university technology and use the STTR program to transfer and commercialize it

# Commercialization Life Cycle



# Statistics

## Total Number of SBIR/STTR Awards Nationally

2008	2009	2010	2011	2012
6,260	6,632	6,966	991	6

## Total Number of Oklahoma SBIR/STTR Awards

	2008	2009	2010	2011	Total
Number of Awards	23	16	16	3	58
Award Totals	\$7.45M	\$7.20M	\$6.40M	\$300K	\$21.35M

# Statistics

## Top Winning States and OK (since inception)

	CA	MA	VA	MD	NY	OK
Number of Awards	27,088	18,443	7,372	6,572	5,866	493
Award Totals	\$6.38B	\$4.35B	\$1.71B	\$1.52B	\$1.45B	\$110.2M

## State Rankings (since inception)

	HI	MT	OK	NV	ME
State Rank	30	31	32	33	34
Award Totals/#	\$119.9M /549	\$115.1M /508	\$110.2M /493	\$103.2M /420	\$93.1M /417

# Statistics

Number of Phase I FY09 Proposals Received & Awarded  
(in thousands)

	USDA	DOC	DOD	ED	DOE	HHS/ NIH	DHS	DOT	EPA	NASA	NSF
Received	350	250	12,280	198	1,674	3,927	293	157	379	1,403	1,533
Awarded	70	40	2,018	18	373	739	52	16	23	348	311

Success rates for Phase I FY09 Proposals

USDA	DOC	DOD	ED	DOE	HHS/ NIH	DHS	DOT	EPA	NASA	NSF
20%	16%	16.4%	9%	22%	18.8%	17.7%	10.2%	6%	24.8%	20.3%

# Statistics

Number of Phase II FY09 Proposals Received & Awarded (in thousands)

	USDA	DOC	DOD	ED	DOE	HHS/ NIH	DHS	DOT	EPA	NASA	NSF
Received	56	35	1,672	31	263	739	30	7	27	258	234
Awarded	31	28	922	13	154	339	23	5	8	164	114

Success rates for Phase II FY09 Proposals

USDA	DOC	DOD	ED	DOE	HHS/ NIH	DHS	DOT	EPA	NASA	NSF
55%	80%	55%	42%	58.6%	45.9%	76.7%	71.4%	30%	63.6%	48.7%

# Statistics

## Agency Success Rate of all 2010 Phase 1 Awards (%)

	USDA	DOC	DOD	ED	DOE	HHS/ NIH	DHS	DOT	EPA	NASA	NSF
SBIR	17.1	7.9	16	13.6	14.4	19.7	16.5	8.8%	6.7%	21.5	17.5
STTR			23.3		19.8	20				37.2	13.4

## Agency Success Rate of all 2010 Phase II Awards (%)

	USDA	DOC	DOD	ED	DOE	HHS /NIH	DHS	DOT	EPA	NASA	NSF
SBIR	62.9	40.5	73.2	23.4	32.7	41.8	66.7	128	61.1	50.1	29.1
STTR			86.3		59.5	39.8				58.1	73.1

# Statistics

Average dollar amount of all 2010 SBIR Phase I & II Awards (in thousands)

	USDA	DOC	DOD	ED	DOE	HHS	DHS	DOT	EPA	NASA	NSF
P1	87.02	92.92	87.26	89.20	100.2	266.7	106.7	99.29	69.09	99.51	155.9
P2	382.4	308.1	690.4	230.8	979.0	1,409	898.3	644.3	224.9	355.6	487.9

Average dollar amount of all 2010 STTR Phase I & II Awards (in thousands)

	DOD	DOE	HHS	NASA	NSF
Phase I	88.057	81.740	231.608	79.539	149.487
Phase II	594.789	520.67	1,436.00	191.846	496.133

# SBIR Eligibility

- Small business with  $\leq 500$  employees
- Must be a for profit entity
- PI must be principally employed by the business
- 51% owned and controlled by U.S. citizens
- Subcontractor participation up to 33%

*Requirements/qualifications may differ between agencies*

# STTR Eligibility

- Only small, for-profit business can participate
- PI may be fully employed by the research institution
- 40% of the work must be done within the business
- Subcontractor participation up to 60%
- IP ownership can reside with either the business or research institution

*Requirements/qualifications may differ between agencies*

# Benefits of SBIR/STTR

- Company retains ownership of all IP
- Grants/contracts are a non-dilutive source of project funding – not a loan, no repayment
- Funding for risky endeavors
- Provides third party technology validation
- Attracts follow-on investment and commercialization partners
- May lead to publication

# Challenges of SBIR/STTR

- Identifying a topic
- Understanding that each agency has different application requirements
- PI and management team qualifications
- Online submission and DCAA compliance
- Funding timeline
  - Short time lapse from solicitation notice to application deadline
  - Project and funding needs require forethought

# OSCR Overview

- Collaborative partners
- Helps organizations successfully compete for SBIR/STTR funding
- Guides organizations from beginning preparation steps all the way to a commercialized product
- Helps organizations navigate through the complex variables of each funding agency

# OSCR Services

- External Proposal Review
- Proposal writing workshop
  - August 28-29, 2012 – Oral Roberts University, Tulsa
- Matching innovations with open topics
- \$25k funding for Phase II proposal submission
- Provides assistance with identifying strategic partners and building collaborations
- Proposal preparation services
- Expert coaching and mentoring

# Access to Proposal Preparation

- Online Pre-application
- Identification of one or more topics
- Eligibility screening
- i2E client engagement
- Execution of OSCR agreement
- DCAA compliance audit for contracts
- Mush share a copy of final application, and if successful the agency's award letter

# Contact Information



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