



SBIR/STTR SELF-ASSESSMENT

The Self-Assessment is intended to be an evaluation tool to help you determine your eligibility and your readiness to compete in the federal Small Business Innovation Research (SBIR) and Small Business Technology Transfer (STTR) Programs. The Self-Assessment is aimed at helping you to think critically about your project in order to be competitive in the Programs.

Background

Seed, early stage, emerging and existing companies across industry sectors with multi-disciplinary teams that possess technological innovations with strong commercial or military potential are considered competitive applicants under these Programs. Research projects are competitively selected for funding as either a grant or contract depending on the federal agency.

What is the SBIR Program?

Congress started the SBIR program in 1982. The SBIR program provides funding to small, high-tech businesses to research, design, develop, and test new technology ideas related to specific needs defined in competitive solicitations floated by the federal agencies. The program stimulates technological innovation by funding new ideas that would not otherwise be funded, and helps introduce small business solutions into the market to meet a wide range of Government research priorities from national defense and renewable energy systems to new medical or educational solutions.

What is the STTR Program?

Congress started the STTR program in 1992. The STTR program funds cooperative R&D partnerships between a small business and a research institution such as a university, Federal R&D center, or a non-profit research institution. The STTR program is an effective vehicle for moving ideas from our nation's research institutions to the market, where they can benefit both private sector and military customers.

MN-SBIR

MN-SBIR offers free confidential, one-on-one consulting to qualified companies; those companies that meet the eligibility requirements and the "right stuff" to be competitive in these Programs. MN-SBIR is the Governor's designated organization to assist Minnesota companies to access funding through these programs. MN-SBIR aims to foster a more innovative Minnesota economy by focusing on turning new ideas and inventions into products and technologies that spur job growth and competitiveness while promoting economic development by leveraging these programs. MN-SBIR is funded in part through a Cooperative Agreement with the U.S. Small Business Administration and financial support from MHTA.

Begin Your Self-Assessment

Small Business Eligibility

- Does your business meet the SBIR/STTR eligibility requirements? To review these requirements, visit <https://www.sbir.gov/applicant>.
- In general, the following questions are necessary to make a tentative decision.

Type of Firm

- Is your business organized as a for-profit company?
- Is your principal place of business located in the United States? Yes or No

Ownership and Control

- Is the majority (more than 50%) of your firms' equity (e.g. stock) is directly owned and controlled by one of the following?
 - One or more individuals who are citizens or permanent resident alien of the U.S.
 - Other for-profit small business concerns (each of which is directly owned and controlled individuals who are citizens or permanent resident alien of the U.S.)
 - A combination of (1) and (2).
 - Multiple venture capital operating companies, hedge funds, private equity firms, or any combination of these, so long as no one such firm owns or controls more than 50% of the equity.
 - None of the above.

Size

- Does your business have less than 500 employees, including affiliates?

yes

Scientific and Technical Team

- What are the credentials of the lead researcher (Principal Investigator/Project Director (PI/PD)) in the company?
- Do you need staff with expertise in the technological field of interest to perform the proposed work effort beyond the PI/PD?
- What particular skill set or level of expertise can each staff member contribute to the project?
- Does your PI/PD meet the statutory employment requirements of the SBIR/STTR programs?
- Does the PI/PD have peer-reviewed publications?
- What is the background and expertise of the PI/PD?

Research and Development Resources and Capabilities

- What are the scientific and technical capabilities of the company and the team?
- What research and development capabilities does your company have today? What is needed in the future?
- Will the proposed research be performed in the United States?

The Technology and Market Need

- How does the proposed technology address an existing need in the field of interest?
- Has the need for the technology or application of technology been identified and quantified? (Measuring the need for the technology requires research of current scientific resources.)
- Have you identified the end users of your technology?

Technological Innovation

- Is the technology state-of-the-art?
- How does it compare to existing or alternate technologies?
- Has the technological innovation been reviewed by outside sources and experts to evaluate its scientific and commercial potential?

Research Approach

- What are the technical objectives or specific aims of the proposed research effort?
- Have you outlined an action plan with task-specific due dates and personnel in charge of each task?
- Have alternative technologies or methods for using the proposed technology been identified?

Research Analysis

- Have you conducted a review of scientific literature related to the proposed project?
- Have you studied sample SBIR/STTR proposals? (Google search for SBIR/STTR proposals)
- Have you reviewed the specific SBIR/STTR program criteria for each federal agency of interest?
- Have you investigated previous SBIR/STTR awards given to companies that have conducted similar research in the past? (Searching through previous award winners can reveal specific areas of interest for each federal agency. Go to SBIR.gov for an Award Database)

Facilities, Equipment and Expertise

- Do you have internal facilities, equipment and expertise to carry out the proposed research and development effort?
- Do you have access to external facilities, equipment and expertise to carry out the proposed research and development effort?
- Do you have strategic partnerships with other companies, federal laboratories, universities, etc. to support the proposed project?

Commercialization Opportunity and Strategy

- Where do you intend to market your product?
- What is the potential size of the customer market? Approximately how many people will benefit from this product?
- What kind of relationships have you developed with potential customers?
- Who are the potential competitors in the market? Who are potential partners?
- What steps have you taken towards intellectual property protection?

Funding Potential

- Does the project and company have the potential to receive additional funding by angel groups, venture capitalists, or other financing sources?

Project Timeline (Gantt Chart) (Specific Aim is also called a Technical Objective for some agencies)

SBIR/STTR PROJECT TIMELINE EXAMPLE												
PHASE I PROJECT												
Project Title:												
Overall Goal Statement:												
Month	1	2	3	4	5	6	Facilities	Equipment	External Expertise	Letters of Support	Sub-contractors	Strategic Partnerships/ Collaborators
Specific Aim 1												
Task												
Task												
Task												
Specific Aim 2												
Task												
Task												
Task												
Specific Aim 3												
Task												
Task												
Task												
Outcome Statement:												