

Template and Instructions for the West Virginia SBIR/STTR Assistance Program

The following document is a template for use while preparing the WV SBIR/STTR Assistance Program application. Feel free to use the template as a guideline or checklist. A few items of general discussion include:

- Applications will only be accepted from West Virginia-based small businesses that have previously received a Phase I award from one of the Federal agencies that participate in the SBIR and STTR programs.
- This effort is specifically intended for the development of SBIR and STTR Phase II proposals focused on the development, demonstration and delivery of the innovation.
- Please note that the Phase II process may not necessarily complete the total research and development that may be required to satisfy commercial or Federal needs beyond the SBIR.
- Emphasis is placed on the commercialization dynamic.
- The object of Phase II is to continue the R/R&D effort from the completed Phase I.
- Each application must be submitted as an attachment electronically.
- The Work Plan must be concise, detailed, and easy to follow. Explain your entire procedure, and do not be general or ambiguous.
- Applications are limited to a maximum length of 20 pages inclusive of a title page and inclusive of attachments.
- The quality of the team, inclusive of strategic partners, is an important ingredient for success.
- Please be fully responsive to all sections of the application. Deviation from this format is not encouraged.
- Please note that applications under this Program are accepted on a rolling basis (there are no associated due dates) and awards will only be made while funding is available to support the program.

Eligibility Requirements

In order to qualify for a grant via the West Virginia SBIR/STTR Assistance Program, the interested applicant must have previously received and SBIR/STTR Phase I on the topic proposed, must be located within West Virginia at the time of submission of the application and the company must meet all the eligibility requirements of the particular federal agency for whom a Phase II application is being prepared. Additionally, the interested applicant must submit evidence that they are in good standing with the WV Tax Department and the WV Secretary of State's Office.

The proposed idea in the West Virginia SBIR/STTR Assistance Program application must be based on the federal SBIR or STTR Phase I award. Only one grant will be awarded to help develop any specific Phase II proposal. A West Virginia-based business may only receive two separate awards under this program in any one calendar year.

Request for Funding

Eligible applicants can request up to \$30,000 to defray any reasonable costs incurred in developing a specific SBIR or STTR Phase II proposal for submission to a federal agency. Please see below for a list of allowable costs.

Scoring and Evaluation

- The evaluation process consists of a review of the Program Application via the following criteria. An average of at least 90 points from the reviewers (3) is required to be successful. Scoring is as follows:

<u>Category</u>	<u>Points Available</u>
Company Information	10 points
Phase I and Phase II Information	10 points
Phase II Commercialization Potential	50 points
Phase II Work Plan	20 points
Allowable Cost Structure and Justification	<u>10 points</u>
Total Points Available	100 pts.

Before starting the online application, please gather the following information.

Applicant/Primary Contact Person:		Applicant/Primary Phone Number:	
Secondary Contact:		Secondary Phone Number:	
Applicant/Primary Contact Email		Secondary Contact Email	
Company Name (full legal name):		Address:	
Website Address:		Fax Number:	
Company Phone Number:	City/State/Zip:	Tax I.D. Number:	
Principal Place of Business (Address):	Municipality:	City/State/Zip:	
Total Number of Employees:	Number of Employees Living in WV:	Number of Full-Time Employees:	
State of Incorporation:	Month of Incorporation:	Year of Incorporation:	

Section 2 – Phase I and II Information:

Federal Department / Agency Name: _____

Topic/Sub Topic Name: _____

Topic Number (if applicable): _____

Project Title: _____

University Partner (if applicable): _____

Phase I Application Submission Date: _____

Phase I Award Amount: _____

Phase I Award Date: _____

Phase II Application Submission Date: _____

Requested Phase II Fund Amount: _____

Section 3 - Phase II Commercialization Potential

As the SBIR and STTR Phase II award decision process requires, among other things, consideration of a proposal's commercial potential. Commercial potential includes the potential to transition the technology to private sector applications, Government applications, or Government contractor applications. Commercial potential in a Phase II proposal may be evidenced by the following:

- The SBC's record of successfully commercializing SBIR/ STTR related projects or other research;
- The existence of Phase II funding commitments from private sector or other non-SBIR/STTR funding sources;
- The existence of Phase III, follow-on commitments for the subject of the research
- Other indicators of commercial potential of the idea.

In response to this Section of the application, please describe, at a minimum, the following issues and dynamics:

- A. What is the objective of the Phase II proposed research?
- B. What is the significance of the technical problem or opportunity that will be addressed in Phase II?
- C. What is innovative about your approach?
- D. Please describe the size and applicable attributes associated with the market for your innovation?
- E. What do you know about associated research or existing products already in the field?
- F. Please describe the prioritized distribution and/or sales channels for your innovation.
- G. Please identify potential sources of funding for Phase III.
- H. Please describe prior success in the commercialization of technologies or innovative products.

Section 4 – Phase II Preparation Work Plan

Please include a brief workplan describing the use of the potential WV SBIR/STTR Assistance funds with detailed milestones of how the grant will be used.

Section 5 – Allowable Cost Structure and Justification

Please include a description of the anticipated Phase II development costs noting the following classifications around what the Program allows and does not allow. Please note the funds will not be provided to cover salaries for individuals employed by the applicant's small business or for salaries of principal or co-principal investigators of the proposed project. If the grantee will issue subcontracts to other participating organizations, please provide a separate detailed expenditures budget for the prime contract and each subcontract.

Allowable uses of WV SBIR/STTR Assistance Program Funds

- Direct costs such as costs to gather information (e.g. literature search, patent search, market research, commercialization plan, etc.)
- Registration fee (not travel costs) for SBIR proposal writing workshops or conferences
- The fees of external technical consultants, a technical writer, or a proposal reviewer to help develop a high-quality competitive proposal
- Travel (detailed justification required) to develop partnerships for the proposal
- Costs associated with further technology development or refinement
- Printing and supplies funds (max \$150)

Exceptions to these allowable costs will be considered on a case by case basis.

Unallowable uses of WV SBIR/STTR Assistance Program Funds - Indirect costs

- Purchase of equipment
- Salaries for individuals employed by the applicant company
- Salaries of the principal or co-principal investigators of the proposed project
- Travel to meet with personnel from the Federal Agency for which the SBIR/STTR application is being prepared; or
- Travel costs to attend a SBIR/STTR workshop or a conference