



SBIR/STTR Outreach Program

FY2023 Application

Administered by: **BioConnect Iowa**
666 Walnut Street, Suite 1285 Des Moines,
Iowa 50309

Your Business Name:

Federal Program:

Federal Agency:

Proposal Due Date:

Application Received:

Application Instructions

- All applicants must complete the SBIR/STTR Outreach Program Application and attach only those additional sections for the components to which the applicant is applying.
- Before filling out this application form, please read all applicable sections of the Iowa Code and Iowa Administrative Code (rules). www.legis.state.ia.us/IowaLaw.html
- Only typed or computer-generated applications will be accepted and reviewed. Any material change to the format, questions, or wording of questions presented in this application will render the application invalid and it will not be accepted.
- Complete the applicable sections of the application fully. If questions are left unanswered or required attachments are not submitted, an explanation must be included.
- Use clear and concise language. Attachments should only be used when requested or as supporting documentation.
- Any inaccurate information of a significant nature may disqualify the application from consideration.

To Submit Your Application via Email:

1. Attach an electronic copy of the application form
2. Ensure you have provided an electronic signature
3. Attach all required documents
4. Email to anne@bioconnectiowa.org

-OR-

To Submit Your Printed Application via Mail:

1. Complete and print one paper application
2. Ensure you have signed and dated your application
3. Attach printed copies of all required documents
4. Mail to:
BioConnect Iowa
ATTN Anne Price
666 Walnut Street, Suite 1285
Des Moines IA 50309

Applications will be received on an ongoing basis.

Public Records Policies

Funding for the SBIR/STTR Outreach Program is provided by an appropriation to the Iowa Economic Development Authority. Any funds awarded will be subject to Public Record Policies as outlined below.

During the application process, the information submitted by you to BCI is exempt from disclosure under the "industrial prospects" exemption found in Section 22.7(8). However, once you receive an award, the industrial prospects exemption no longer applies and *all documents submitted and generated during the application and negotiation process become public records* under Iowa's Open Records Law ([Iowa Code, Chapter 22](#)), unless

- 1) The information belongs to one of the classes of records automatically treated as confidential; or
- 2) You have applied for and received written notice that your information will be treated as confidential.

Automatically Confidential Records

BCI automatically treats the following records as confidential and will withhold them from public inspection even without a request for confidential treatment:

- Tax Records and Tax Liability Information
- *Quarterly Iowa Employer's Contribution and Payroll Report* prepared for the Iowa Workforce Development Department
- Payroll Registers
- Business Financial Statements and Projections (unless those statements are already publicly available elsewhere, e.g., 10-K filings)
- Personal Financial Statements

Exemptions to the Open Records Law

If you wish to have additional information treated as confidential, you must fill out the [confidential treatment request form](#). Under the Open Records Law, BCI may lawfully treat certain information as confidential if that information falls within an exemption to the Open Records Law. The following exemptions represent records which may lawfully be treated as confidential under the Open Records law and which are most often applicable to the information submitted to BCI:

- Release of information would give an unfair advantage to competitors – Iowa Code Sec. 15.118
- Trade secrets – See Iowa Code section 22.7(3), see also Iowa Code Ch. 550
- Information on an industrial prospect with which the IEDA is currently negotiating – See Iowa Code section 22.7(8)
- Communications not required by law, rule or regulation made to IEDA by persons outside the government to the extent that IEDA could reasonably believe that those persons would be discouraged from making them to IEDA if they were made available for general public examination – Iowa Code section 22.7(18)

Non-Confidential Information

Information that is submitted to BCI as part of the application process or that is contained in a contract for program benefits is generally considered material to the eligibility requirements of the program or to the amount of incentives or assistance to be provided. Such information is generally not given confidential treatment. Such information includes but is not limited to, the number and type of jobs incented, the wage levels for the incented jobs, your company's employee benefit information, and your project budget.

Additional Information Available

Copies of [Iowa's Open Record law](#) and BCI's [administrative rules](#) relating to public records are available from the BCI upon request.

SMALL BUSINESS INNOVATION RESEARCH AND TECHNOLOGY TRANSFER (SBIR/STTR) OUTREACH PROGRAM

The Iowa Economic Development Authority (IEDA) has delegated to BioConnect Iowa (BCI) the administration of the SBIR/STTR Outreach Program.

The purpose of the Small Business Innovation Research and Technology Transfer (SBIR/STTR) Outreach Program is to increase the rate of successful grant applications for Iowa's innovative businesses seeking federal grants through the Small Business Administration's SBIR/STTR Phase I & II programs and provide additional financial assistance to businesses that receive these federal grants.

Please indicate which technical assistance services you are applying for:

- ☐ **Third-party Proposal Assistance:** Professional proposal assistance services from an BCI-approved third-party vendor for SBIR/STTR Phase I and II applications.
- o Technical assistance is 100% paid for by BioConnect Iowa

Additional application requirement:

- **Attachment A – Third-party Proposal Assistance**

- ☐ **Financial Assistance:** Financial assistance is available for Phase I SBIR/STTR award recipients and for those that advance to Phase II proposal submission.
- o This component provides **\$25,000 to businesses that receive a Phase I award and an additional \$25,000 to Phase I award winners that progress to submission of a Phase II application.**
 - o Final determination of whether this Financial Assistance will be approved, denied, or deferred will be made by the IEDA.

Additional application requirement:

- **Attachment B – Financial Assistance**

Applicant Information

Business Name:

Address:

City:

State:

ZIP:

Phone:

Contact Person:

Title:

Federal ID
Number:

Does the Business file a consolidated tax return under a different tax ID number? YES NO

If yes, please provide tax ID number:

Is the contact person listed above authorized to obligate the Business? YES NO

If NO, name the company officer authorized to obligate the Business:

Business Overview

Business Structure:

State of Incorporation:

Total Number of Years in Business:

Number of years applicant has been in business in Iowa:

Current number of employees:

Are you working with your local economic development or business development organization?

YES NO If YES, provide name of organization:

Key management personnel:

Full name:

Job Title:

Full name:

Job Title:

Full name:

Job Title:

Full name:

Job Title:

Full name:

Job Title:

Describe the business, its history and products/services currently offered: [<1000 words]

Description of technology area:

SBIR/STTR Previous Experience

Applicants must provide the following information about any previous SBIR/STTR experience:

Number of Phase I applications submitted:

Number of Phase I awards received:

Awarding agencies (if applicable):

Number of Phase II applications submitted:

Number of Phase II awards received:

Awarding agencies (if applicable):

Number of other SBIR/STTR applications (FastTrack, etc) submitted:

Number of other SBIR/STTR awards (FastTrack, etc) received:

Awarding agencies (if applicable):

All Applicants

Federal Agency:

Solicitation number:

Proposal due date:

Proposal Title:

Estimate of federal grant dollars to be requested:

Briefly describe the product, process or service that will be developed as an outcome of SBIR/STTR funding:

Attachment A: Third-Party Proposal Assistance

This component of the program provides technical assistance from BCI-approved third-party services for preparation of SBIR/STTR Phase I and II proposals. The program does not provide funding to reimburse applicant's employees (payroll or contract) for time spent preparing SBIR/STTR Phase I and II proposals.

Additional program information:

- **Funding is only available for SBIR/STTR PROPOSALS NOT YET SUBMITTED. The program does not provide reimbursement for SBIR/STTR proposals submitted prior to approval of this application.**
- Technical assistance costs are 100% covered by BCI.
- Applicant, if approved, will enter into a Technical Assistance Agreement with BCI.
- Technical assistance for Phase II applications will only be provided to companies that utilized BCI-provided assistance for the corresponding Phase I application.

Level of SBIR/STTR proposal Assistance

Assistance Requested:

- ☐ Full Proposal Assistance
 - Full support in proposal preparation and submission
 - Requires application submission at least 10 weeks before deadline.
- ☐ Partial Proposal Assistance
 - Typically consists in a proposal review and potentially assistance submitting
 - Availability dependent on consultant capacity
 - Requires application submission at least 6 weeks before proposal deadline.

Attachment B: Financial Assistance

Complete this section only if you are requesting a Financial Assistance grant.

This component of the program provides additional financial assistance to businesses that are awarded SBIR/STTR grants. The application should be submitted in support of a Phase I SBIR/STTR proposal.

Additional program information:

- **Funding is only available for SBIR/STTR PROPOSALS NOT YET SUBMITTED. This program does not provide financial assistance for SBIR/STTR proposals submitted prior to this application approval or previous awards without BioConnect Iowa support or resources.**
- Maximum commitment is a total of \$50,000 across Phase I and Phase II.
- Program awards are in the form of a grant.
- The final determination of whether this financial assistance will be approved, denied or deferred, will be made by the IEDA.
- Allowable costs are those related directly to achieving the SBIR/STTR proposal objectives, such as direct costs for conducting additional technology development work, purchase of necessary equipment, validation of product prototype or technology, market research, and development of a commercialization plan.
- Companies approved for financial assistance will enter into an agreement with BCI regarding use of the matching funds.
- Funds will be disbursed in two phases for a maximum of \$50,000 as follows:
 - \$25,000 upon receipt of an Official Notification of Phase I Award from the Federal funding agency.
 - Phase I award recipients are eligible for an additional \$25,000 award upon submission of a Phase II proposal.

Please provide a brief statement regarding the proposed use of the \$25,000 state award covered by this application:

Certification & Release of Information

YES

NO

Are there any judgments or court actions completed or pending against the applicant entity, or any current or prospective officer, principal, director, or owner?

Has any current or prospective officer, principal, director, or owner been accused or convicted of any wrongdoing or crime, other than a simple misdemeanor?

Have there been any current or past bankruptcies on the part of the applicant entity (or predecessor entities), or on the part of any current (or prospective) officer, principal, owner or in any business dealings of current (or prospective) officers, principals, or owners of the applicant entity?

In the last five years have there been, or are there currently any investigations of potential violations of public health, safety (including workplace safety) or environmental laws by the applicant entity, or any current or prospective officer, principal, director, or owner?

In the last five years have there been, or are there currently any violations of antitrust laws by the applicant entity, or any current or prospective officer, principal, director, or owner?

If YES to any of the above, please provide additional details below:

I hereby give permission to BioConnect Iowa (BCI) to research the Business' history, make credit checks, contact the Business' financial institutions, insurance carriers, and perform other related activities necessary for reasonable evaluation of this application. I also hereby authorize the Iowa Department of Revenue to provide to IEDA state tax information pertinent to the Business' state income tax, sales and use tax, and state tax credits claimed.

I understand that all information submitted to the BCI related to this application is subject to Iowa's Open Record Law (Iowa Code, Chapter 22), unless specifically marked as confidential section.

I understand that BCI reserves the right to negotiate the financial assistance.

I understand this application is subject to final approval by the BCI and that the BCI-supported application process may not be initiated until final approval is secured. Furthermore, I am aware that technical support will not be provided until a contract has been executed and the appropriate terms have been met.

I hereby certify that all representations, warranties, or statements made or furnished to IEDA in connection with this application are true and correct in all material respect. I understand that it is a criminal violation under Iowa law to engage in deception and knowingly make, or cause to be made, directly or indirectly, a false statement in writing for procuring economic development assistance from a state agency or subdivision.

For the Business:

Signature

Date

Full Name

Title

BCI will not provide assistance in situations where it is determined that any representation, warranty, or statement made in connection with this application is incorrect, false, misleading or erroneous in any material respect. If assistance has already been provided prior to discovery of the incorrect, false, or misleading representation, BCI may initiate legal action to recover incentives and assistance awarded to the Business.



Pre-registration requirements

Before applying to BioConnect Iowa's SBIR/STTR Outreach Program, you must:

1. Be an innovative business with 500 or fewer employees.
2. Have a reasonable likelihood of receiving SBIR or STTR grant funds.
3. Be likely to stimulate subsequent investment by industry, venture capital and other sources.
4. Be likely to commercialize some promising technology.

Program provides technical assistance contracted directly by BioConnect Iowa.

- ⇒ BioConnect Iowa subsidizes 100% of the cost of technical assistance provided to approved applicants.
- ⇒ Applicant, if awarded, will enter into a Technical Assistance Agreement with BioConnect Iowa.
- ⇒ The program does not provide reimbursement for services paid for and contracted by the applicant.
- ⇒ This program does not provide funding to reimburse applicant's employees (payroll or contract) for time spent writing SBIR/STTR Phase I & II proposals.

Matching financial assistance provides \$25,000 to businesses that receive a Phase I award.

The program also provides an additional \$25,000 to those Phase I award winners that progress to submission of a Phase II application, irrespective of whether they're awarded a Phase II grant.

- ⇒ Total financial assistance is limited to \$50,000 per applicant across all components of the SBIR/STTR Outreach program.
- ⇒ Program funds are in the form of a grant.
- ⇒ Applicant, if awarded, will enter into a Technical Assistance Agreement with the BioConnect Iowa.
- ⇒ To receive awarded funds the applicant will submit to BioConnect Iowa verification of SBIR/STTR Phase I award.
- ⇒ Funding is only available for SBIR/STTR proposals not yet submitted. The program does not provide commitment to match funds for SBIR/STTR proposals submitted prior to application approval.



Pre-registration checklist

☐ State Registration

Register your company with the State of Iowa business registration site: <https://sos.iowa.gov/>

☐ EIN

<https://www.irs.gov/businesses/small-businesses-self-employed/starting-a-business>

- ⇒ Use the exact legal business name that you used to incorporate or begin your business in your state.
- ⇒ Keep track of exact name/address that you used to obtain EIN number for DUNS and SAM.
- ⇒ Using a founder's home address will make the registration process easier.

☐ DUNS

<https://fedgov.dnb.com/webform/>

Use the same name/address as EIN, and email or call DUNS (use their "Contact Us" link) if you have not received your DUNS number via email within 48 hours.

☐ System for Award Management (SAM) Registration

<https://www.sam.gov/SAM/>

- ⇒ Fill in Core Data and Points of Contact sections, and ensure it's "submitted."
- ⇒ Start a business bank account, that account information will be required for the SAM registration. Include the bank's phone number and an email contact for the bank.
- ⇒ Your submission is not complete until the IRS validation and CAGE code validation have been completed. Keep checking your application with the SAM system, and look for an "Active" Status.
- ⇒ Write down your MPIN and your Electronic Point of Contact email, & double-check your typing for the Electronic Point of Contact email (E-Biz POC for Grants.gov) before submission to SAM.

☐ Small Business Registration

<https://www.sbir.gov/registration>

- ⇒ Log in with the temporary password sent to you by SBIR.gov upon registration.
- ⇒ Download and save your unique SBC Control ID PDF to be entered where directed for electronic submissions.



Application Timeline

Step 1

Initial call with BioConnect Iowa to review project

Step 2

Email sent out with details of program , eligibility requirements.

DECISION POINT: Registrations must be completed and all indicated documents received at least 5 weeks before the relevant application deadline.

Step 3

Initial call with consultant to discuss project.

DECISION POINT: A go|no-go decision on proceeding with application process is made at this point.

Step 4

BioConnect Iowa accepts application, deposit is received, first round of due diligence is conducted by BioConnect Iowa, VentureNet Iowa & IEDA.

Step 5

Client must respond to reserve a checklist call with consultants two weeks prior to submission deadline.
***This is a first come/first serve basis.*

Step 6

Submit!

NEW APPLICANTS = 10 WEEK TIMELINE

PREVIOUS APPLICANTS = 6 WEEK TIMELINE

Applications are reviewed for funding decisions on a ongoing basis.

A funding decision will be made within two weeks of receipt of a complete application.

Throughout the process, BioConnect Iowa and the consultant may jointly decide to either:

- 1) terminate the application due to insufficient progress made; or
- 2) move the application to the back of the consultant's docket.