

UNITED STATES DEPARTMENT OF AGRICULTURE

Module 1

<https://wisconsinctc.org/>



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CONTENTS

Eligibility, Background and Registration

If you see this button



or **yellow text**

click on them to follow a link.



Eligibility

Registration

Product Fit

Application and Solicitation

Technical Objectives

Checklist



Eligibility

SBIR

- Small business can work alone or with others
- Small Business has a larger R&D role. Partner may only perform up to 33% of the work in Phase I and up to 50% of the work in Phase II
- Primary investigator (PI) must be an >51% employee of the small business

STTR

- Small business must work with a nonprofit research institution
- Partner may only perform between 30-60% of the work in each Phase
- Primary investigator (PI) may be an employee of the small business OR the research institution

TIPS

- Ensure your company is U.S. owned and operated.
- If you have investors, double check venture capital operating company (VCOC) eligibility.
- Begin SAM registration at least 2 months before submission, it takes time.
- STTR benefits researchers who don't want to leave university AND small companies without access to resources or facilities.

What suits you best
SBIR or STTR?



Watch eligibility video



Eligibility

APPLICANTS MUST BE COMPETITIVE

FAQs



TEAMS



A competitive team has more than just a P.I., it requires key personnel that fulfill all areas of need for the small company.

Rolls that should be filled:

- Skilled in science and research in area of project focus
- Skilled in business/entrepreneurship
- Skilled in grant writing

COLLABORATORS



The rolls of your team's key personnel may be filled by contractors or consultants that work for a different company and complete research which you are unable to complete. Examples of these rolls include:

- Software coding
- Animal studies

FACILITIES



Applicants must have legitimate labs or facilities to house research. If an applicant doesn't have their own facility, it's important to note that SBIR/STTR funding doesn't pay for expensive equipment. Partnering with a nonprofit research institution that has an established lab may be the best option. STTRs must be partnered with a non-profit research organization and can use their facility.

SBIR VS STTR

- SBIR allows 1/3 of funding can go outside the company.
- STTR allows 60% of funding to go outside of the company and requires at least 30% to go to a university partner.
- All funding must remain in the U.S.

READ REQUIREMENTS

- U.S. Ownership & PI Eligibility
- Employee Count
- Establish Legal Business Entity

Homework

FILL IN YOUR INFORMATION BELOW

Provide a description of your current facility including it's capabilities and equipment. Include the location and estimated size of your facility.

List the equipment and lab capabilities that are required for your project.

List the gaps in your facilities capabilities and equipment and how you plan to make up for them. For example, if you don't have equipment where will you get it?

Homework

FILL IN YOUR INFORMATION BELOW

List your team members and key personnel. Include their role on the team, experience and area of expertise.	
List your current collaborators, their areas of expertise and the roll and tasks they will complete.	
List collaborator rolls in areas in which your team currently has gaps that will need to be filled.	

Registration

Required to apply

Register ahead of time even if you don't have a topic yet. The registration process takes time and often prevents applicants from making deadlines.

SYSTEM FOR AWARD MANAGEMENT (SAM)

Required to do business with the U.S. government.

SAM will issue a 12-character unique entity identifier (UEI) used to complete your full SAM registration and which serves as the official organization identifier in other federal systems.
3-6 weeks



GRANTS.GOV

Required to submit grant applications through the federal-wide grant portal.

SMALL BUSINESS ADMINISTRATION (SBA) COMPANY REGISTRY

Required to participate in SBIR and STTR federal funding programs.

registration tips 

HOMework

FILL IN YOUR INFORMATION BELOW

UEI	
CAGE code	
SBA Company ID	

What is your product?

IT'S IMPORTANT NOW TO THINK ABOUT YOUR PROJECT AS A PRODUCT

You need to know:

The client (who is going to pay for this product?)

The end user (who is going to ultimately use this product?)

The competition (If you haven't already, research and get an understanding of your competition and take note of the ways you are superior)



FEASIBILITY

What research do you need to do and what goals do you need to reach to show that your idea is feasible?



HOMework

FILL IN YOUR INFORMATION BELOW

Describe your product.

What is the issue that your product solves and explain how it's currently resolved.

List measurable ways in which your product is better than current competition.

Significance

WHY IS YOUR PRODUCT IMPORTANT?

Your SBIR proposal must communicate strong significance, but many proposals fall short in this area.

Your technology must solve a problem – Just studying or optimizing something is not interesting to USDA SBIR Reviewers unless it is solving a serious problem that someone, and preferably a lot of somebodies care about.

What problem does this solve, and who cares, and why?
SBIR projects may advance science but that is not the primary objective.

Demonstrate:

- Significant science
- Significant need in the market
- Avoid the golden hammer problem

Keep in mind:

The objective of the SBIR/STTR program is to solve a problem in a way that is commercially and societally significant.



Watch video



Market Gaps & Problems

Think about:

- Size of the Problem
- Size of the Opportunity
 - how much of the Problem can your technology impact?
- Advantages of your approach
 - how you overcome the shortfalls of the alternatives
 - benefits to the users of your technology
- Not just the features that you think make it special
- Aggregate impact
 - To economy, public health, society, etc.
- Commercial Merit
 - Show a reasonable path to commercialization

Questions to consider:

- Current market solutions: What existing products are in market? Who sells them? Why are those not meeting the need?
- Stating that there is no competition is not realistic.
- Current 'Good Enough' solutions: Customers may use their own 'duct tape' solutions or do nothing. What are these approaches? Why are existing approaches poor?
- Investment and Research: What emerging solutions via startups and research attempt to address need? Why might yours be better?

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BRAINSTORM MARKET GAPS (SBIR PROBLEM) AND CURRENT SOLUTIONS

Current market solutions: What existing products are in market? Who sells them? Why are those not meeting the need?	
Current ‘Good Enough’ solutions: Customers may use their own ‘duct tape’ solutions or do nothing. What are these approaches? Why are existing approaches poor?	
Investment and Research: What emerging solutions via startups and research attempt to address need? Why might yours be better?	

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FILL IN YOUR INFORMATION BELOW

Problem to be solved	
Gap in current solutions	
Prelim studies	

Move on to work on your Specific Aims

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FILL IN YOUR INFORMATION BELOW

How important is your problem?	
How many people are concerned or affected by this problem?	
What is the current cost of the problem?	
What are the barriers to addressing this problem?	

Include evidence for each answer in the form of links or pdfs

Strategies for finding a topic

Find a USDA Topic that fits your technology [HERE](#)

Identify a target components likely interested in your future solution

- Which issues will your product address?
- Note special budget limits and allowance of TABA (Technical and Business Assistance)

OR

Search by keyword [HERE](#)

Copy key words/phrases from Institute that indicates your solution addresses one of their chief concerns.

If your product is unique and doesn't fit current topics, search past topics [HERE](#) to indicate if USDA has ever had an interest.



Finding your agency and topic



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FILL IN YOUR INFORMATION BELOW

List the specific USDA topic related to your technology.	
List the specific national program leader for that topic.	

Include evidence for each answer in the form of links or pdfs

Prepare Technical Objectives Approach

Put together the information that you found researching funded topics to begin thinking about possible technical objectives. Be sure that your technical objectives have measurable outcomes and milestones.



Specific aims video



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PREPARE 2-3 SPECIFIC AND MEASURABLE TECHNICAL OBJECTIVES.

CHECKLIST

At the end of module one you should have to following checklist completed. Don't move on to session two until this checklist is complete.

- **Online registrations**
- **Select topic with shared focus**
- **Eligibility confirmed including PI and collaborators**
- **2-3 technical objective ideas**
- **Decide on STTR or SBIR strategy**

HAVE QUESTIONS?

Reach out to the CTC with questions or concerns [here](#).

FINISHED WITH SESSION ONE?

It's time to reach out and check in with your CTC consultant to discuss the overview summary.

Todd Strother



Rob Baranowski

