



**West Virginia SBIR/STTR**  
**Entrepreneurship and Innovation Investment Fund**  
*Administered by*  
**The West Virginia Small Business Development Center**  
**Version 3: March 31, 2023**

**INTRODUCTION AND BACKGROUND**

The Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) Programs provide R&D financial resources to U.S. small businesses of about \$1.2 billion annually. Through these programs, eleven federal agencies provide funding for a wide range of proposal topic areas. These programs provide excellent opportunities to nurture the development of innovative businesses in West Virginia, foster job creation, and enable economic development and diversification.

Only for-profit proprietorships and small businesses (fewer than 500 employees) qualify for SBIR and STTR funding. Hence, these programs provide a unique source of seed capital for West Virginia citizens and small businesses to explore and develop innovative new product concepts and enhance existing product lines. SBIR and STTR funding require no loan repayment, no equity sacrifice, and most intellectual property rights generated on funded projects remain with the small business.

Further information on the SBIR and STTR Programs is available at the U.S. Small Business Administration SBIR website: <http://www.sba.gov/sbir>

Historically, West Virginia and other rural states have been underrepresented in the SBIR/STTR competition. The West Virginia Entrepreneurship and Innovation Investment Fund was created to stimulate and nurture improved SBIR/STTR competition results in West Virginia.

In order to foster job creation and economic development in the state, and stimulate SBIR and STTR results in West Virginia, the West Virginia Legislature enacted WV code §5B-8-1, which initiated the West Virginia Small Business Innovation Research and Small Business Technology Transfer Entrepreneurship and Innovation Investment Fund. This fund is to be used by the West Virginia Department of Economic Development through the West Virginia Small Business Development Center (WV SBDC) to provide grants to eligible small businesses to match funds they receive from Small Business Innovation Research or Small Business Technology Transfer Phase I and Phase II awards. In addition, to further enhance the State's SBIR/STTR grant proposals, the WV SBDC may award a "WV

Phase Zero Grant” of \$2,500 upon submission of a Phase I SBIR/STTR proposal or Fast Track SBIR/STTR proposal. The Phase Zero Grant is designed to help offset a portion of the cost of preparing a competitive Phase I proposal.

## **Eligibility**

In order to be eligible for a grant under this program, a small business must satisfy all of the following conditions:

- (1) The small business must be a for-profit, West Virginia-based business; “West Virginia-based business” means a business that has its principal place of business in the State of West Virginia.;
- (2) For the Phase I and/or Phase II Matching program the small business must have received a SBIR/STTR Phase I or SBIR/STTR Phase II award from a participating federal agency in response to a specific federal solicitation. To receive the full match for the Phase I award, the small business must also have submitted a final Phase I report, demonstrated that the sponsoring agency has an interest in a Phase II proposal, and submitted a Phase II proposal to the agency; To receive the Phase II match, the small business must have submitted the final progress report to the funding agency;
- (3) The small business must satisfy all federal SBIR/STTR requirements;
- (4) The small business shall not receive concurrent funding support from other sources that duplicates the purpose of this article;
- (5) The small business must certify that at least 51 percent of the research described or to be described in the federal SBIR/STTR Phase II proposal will be conducted in this state and that the small business will remain a West Virginia-based business for the duration of the SBIR/STTR Phase II project;
- (6) The small business must demonstrate its ability to conduct research in its SBIR/STTR Phase II proposal.

## **Application process**

The WV SBDC shall accept applications from West Virginia based businesses for potential participation in the West Virginia SBIR/STTR matching funds program during the periods of: January 1-31 and July 1-31 each year.

(a) A small business shall apply, under oath, to the department on forms prescribed by the department that include at least the following:

- (1) The name of the small business, the form of business organization under which it is operated, and the names and addresses of the principals and management of the small business;
- (2) For matching awards, notice of award from the funding agency of the SBIR/STTR Phase I or Phase II award;
- (3) For matching awards, study section evaluation and comments; and

(4) Any other information necessary for the department to evaluate the application.

(b) The department shall review the application, determine whether the applicant satisfies the eligibility requirements, and determine whether to award matching grants.

### **Grant terms**

(a) The department may award a "WV Phase Zero Grant" of \$2500 upon submission of a Phase I SBIR/STTR proposal or Fast track SBIR/STTR proposal. The WV Phase Zero grant shall be remitted to the small business upon notification from the granting agency of the receipt of a submission for an SBIR/STTR Phase I or SBIR/STTR fast track application. The small business must provide satisfactory evidence to the department of the notification of receipt. A small business may receive only one WV Phase Zero Grant per year. A small business may receive only one WV Phase Zero Grant with respect to each federal proposal submission; resubmissions of unsuccessful applications are not eligible. Over its lifetime, a small business may receive a maximum of five WV Phase Zero awards. A grant recipient may assign an award only upon the prior written consent of the department.

(b) The department may award grants to match funds received by a small business through a SBIR/STTR Phase I proposal up to a maximum of \$100,000 paid in two remittances. Fifty percent of the award under this subsection shall be remitted to the small business upon receipt of the SBIR/STTR Phase I award and an application to the department for the funds. The remaining fifty percent of the award under this subsection shall be remitted to the small business upon submission by the small business of a Phase II application to the funding agency, acceptance of the Phase I report by the funding agency, and application to the department for the funds. A small business may receive only one grant under this subsection per year. A small business may receive only one grant under this subsection with respect to each federal proposal submission. Over its lifetime, a small business may receive a maximum of five awards under this subsection. A grant recipient may assign the award only upon the prior written consent of the department.

(c) The department may award grants to match the funds received by a small business through a SBIR/STTR Phase II proposal up to a maximum of \$100,000 per year for up to two years, after application to the department. The second remittance may be made to the small business on the one-year anniversary of the first matching remittance under this subsection, if applicant applies for the funds with documentation from the agency indicating that the grant is to continue for a second year. A small business may receive only one grant under this subsection per year. A small business may receive only one award under this subsection with respect to each federal proposal submission. Over its lifetime, a small business may receive a maximum of five awards under this subsection. A grant recipient may assign the award only upon the prior written consent of the department.



## SBIR/STTR Entrepreneurship and Innovation Investment Fund

WV Dept of Economic Development	
West Virginia Small Business Development Center	
<b>Description</b>	In order to foster job creation and economic development in the state, and to stimulate SBIR and STTR activity in West Virginia, the SBIR Entrepreneurship and Innovation Investment Fund provides grants to eligible small businesses to support the preparation of competitive proposals, and to match funds received through SBIR/STTR Phase I and Phase II awards.
<b>Eligible Applicants</b>	Small WV-based companies or entrepreneurs that have targeted a specific solicitation from one of the participating Federal Agencies.
<b>Application Process</b>	<p><b>Phase Zero Awards</b> - Applications accepted on a continuous basis upon submission of Phase I proposal to the appropriate federal agency.</p> <p><b>Phase I/II Awards</b> - January 1-31 and July 1-31</p> <p><b>Deadlines:</b> As described until funding is depleted</p> <p>Applications for the Phase Zero Grants and Phase I/II matching funds starts on January 1, 2020. Any SBIR/STTR application <b>awarded on or after January 1, 2020</b> is eligible to apply. Any SBIR/STTR application awarded at any time before January 1, 2020 is <b>not</b> eligible to apply.</p>
<b>Funding</b>	<p>State of West Virginia. Housed within the West Virginia Department of Economic Development. Administered through the West Virginia Small Business Development Center (WV SBDC).</p> <p><b>Amount a participant can receive:</b></p> <p><b>Phase Zero Awards</b> - \$2,500</p> <p><b>Phase I Matching Awards</b> – available funds up to \$100,000</p> <p><b>Phase II Matching Awards</b> – available funds up to \$200,000</p>
<b>Contact</b>	Mary Hott, In-Tech Program Manager, WV SBDC Email: <a href="mailto:Mary.E.Hott@wv.gov">Mary.E.Hott@wv.gov</a> Phone: (304) 380-3279



## Application Template and Instructions

### West Virginia SBIR/STTR Entrepreneurship and Innovation Investment Fund

### Phase I/II Matching Funds

The following document is the application and requested documentation for the WV SBIR/STTR Entrepreneurship and Innovation Investment Fund matching funds Phase I/II application. A few items of general discussion include:

- The Entrepreneurship and Innovation Investment Fund for Phase I/II matching funds starts on January 1, 2020. Any SBIR/STTR application **awarded on or after January 1, 2020** is eligible to apply. Any SBIR/STTR application awarded at any time before January 1, 2020 is **not** eligible to apply.
- Applications will only be accepted from West Virginia-based small businesses that have previously received an SBIR/STTR Phase I or SBIR/STTR Phase II award from one of the Federal agencies that participate in the SBIR and STTR programs. The first funds will be released once federal award is initiated.
- 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 January 1-31 and July 1-31. 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 Entrepreneurship and Innovation Investment Fund Program, a small business must satisfy all of the following conditions:

(1) The small business must be a for-profit, West Virginia-based business and provide evidence the business is a registered West Virginia business.

**\_\_\_ Please attach the business license to the application.**

(2) For the Phase I and/or Phase II Matching program the small business must have received a SBIR/STTR Phase I or SBIR/STTR Phase II award from a participating federal agency in response to a specific federal solicitation and federal funding must be initiated and received by the business prior to receiving any matching funds for the Entrepreneurship and Innovation Investment Fund Grant.

**\_\_\_ Please provide evidence of the Phase I or Phase II award and receipt of the disbursed funding as an attachment and note that sections of an application that are confidential should be marked as confidential in the same manner as the application you submitted to the relevant agency.**



Phase I grant awards may be made to match funds received by a small business through a SBIR/STTR awarded Phase I proposal up to a maximum of \$100,000 paid in two remittances; Fifty percent of the award shall be remitted to the small business upon receipt of the SBIR/STTR Phase I award after receipt of awarded federal funding has been initiated and received by the business in addition to a completed application for matching funds and applicant has met all other eligibility criteria. To receive the full match, the remaining fifty percent of award, for the Phase I award, the small business must also have submitted a final Phase I report, demonstrated that the sponsoring agency has an interest in a Phase II proposal, submitted a Phase II proposal to the agency, and provide proof of the receipt by the federal agency of acceptance of the Phase II application. A small business may receive only one grant per year. A small business may receive only one grant with respect to each federal proposal submission. Over its lifetime, a small business may receive a maximum of five awards. A grant recipient may assign the award only upon the prior written consent of the granting agency. **Please attach documentation with the application when applicable.**

Phase II grants may be awarded to match the funds received by a small business through a SBIR/STTR Phase II awarded proposal up to a maximum of \$100,000 per year for up to two years, after application is approved. The second remittance of the award may be made to the small business on the one-year anniversary of the first matching remittance, if applicant applies for the funds with documentation from the agency indicating that the grant is to continue for a second year. A small business may receive only one grant per year. A small business may receive only one award with respect to each federal proposal submission. Over its lifetime, a small business may receive a maximum of five awards under this subsection. A grant recipient may assign the award only upon the prior written consent by the agency. To receive the full Phase II match, the small business must have submitted the final progress report to the federal funding agency and provide evidence of receipt. **Please attach documentation with the application when applicable.**

(3) Please provide a cost breakdown of how the matching funds will be used.

**\_\_\_\_ Please attach as a PDF for all applications.**

(4) If the business will receive additional concurrent funding, other than the SBIR/STTR award, evidence must be provided with this application detailing the source of funds and how the business proposes to use funds to verify the additional funding sources are not duplicative of the WV matching award.

**\_\_\_\_ This disclosure is required with the application and may be attached as a PDF.**

(5) The small business must certify that at least 51 percent of the research described or to be described in the federal SBIR/STTR Phase II proposal will be conducted in West Virginia and that the small business will remain a West Virginia-based business for the duration of the SBIR/STTR Phase II project.

**Certification is provided by signing Section 3–Certification on this application.**

**Please note additional information may be requested to determine eligibility**



## Section 1 - Company Information

Applicant/Primary Contact Person	
Applicant/Primary Contact Phone Number	
Applicant/Primary Contact Email Address	
Address 1	
Address 2	
City   State   Zip Code	
Secondary Contact Person	
Secondary Contact Phone Number	
Secondary Contact Email Address	
Address 1	
Address 2	
City   State   Zip Code	
Company Name (full legal name)	
Company Street Address	
City   State   Zip Code	
County	
Company Phone Number	
Company Website Address	
Company Legal Structure (C-Corp, LLC, Sole Prop. Etc.)	



**Section 1 - Company Information (continued)**

Total Number of Full Time and Part Time Employees	
Number of Full Time Employees	
Total Number of Employees Residing in WV	
Month and Year of Formation or Incorporation	
Federal Tax I.D. (EIN)	
UEI Number (from SAMS.gov)	

**Section 2 - Phase I and Phase II Information**

Federal Department/Agency Name	
Topic/Subtopic Name (if applicable)	
Topic Number (if applicable)	
Project Title	
Collaboration Partner (if applicable)	
Phase I Application Submission Date (MM/DD/YYYY)	
Phase I Award Amount	
Phase I Award Date	
Phase II Application Submission Date (MM/DD/YYYY)	
Requested Dollar Amount of Phase II	
Phase II Award Amount/Award Date (MM/DD/YYYY)	





## **Certification**

I certify that the answers on this application are correct and true to the best of my knowledge and that I, or the company or companies that I am involved with, are only submitting an application for a Phase I or Phase II WV Matching grant award within the allowable guidelines.

I certify that 51% of the research described or to be described in the federal SBIR/STTR Phase II awarded proposal will be conducted in West Virginia and that the small business will remain a West Virginia-based business for the duration of the SBIR/STTR Phase II project and that all information provided by the person signing below is significant and the West Virginia Small Business Development Center (WVSBDC) will rely on this information to determine eligibility. I realize that any misrepresentation of facts may result in a withdrawal of the award regardless of a time when discovered by WV SBDC.

Name:
Date (MM/DD/YYYY):
Type or Sign "I Agree to the Terms of this Application":

Submit your application and attachments via email: [Mary.E.Hott@wv.gov](mailto:Mary.E.Hott@wv.gov)