



IOWA INNOVATION CORPORATION

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

FY2019 APPLICATION

Administered by: Iowa Innovation Corporation 666 Walnut Street, Suite 1285 Des Moines, Iowa 50309

Name of Business

Federal Program:

- SBIR - Phase I, SBIR - Phase II, STTR - Phase I, STTR - Phase II

Federal Agency:

Proposal Due Date:

Application Received Date:

Thank you for your interest in the SBIR/STTR Outreach Program. To request assistance please complete this application form.

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

## **Application Instructions**

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**To Complete Electronic Form:** Click on TEXT BOX to add text. Double click on YES/NO boxes and select "Checked".

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](http://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.

**The following must be submitted to the Iowa Innovation Corporation in order to initiate the review process:**

- One **electronic** copy of the application form with scanned original signature and all required attachments, including confirmation of deposit payment.  
Submit documents to Anne Price via email at [anne@iicorp.com](mailto:anne@iicorp.com)

**-or-**

- One original signed application form and all required attachments, including deposit, mailed to:  
Iowa Innovation Corporation  
ATTN: Anne Price  
666 Walnut St, Suite 1285  
Des Moines, IA 50309

**Applications will be accepted 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 IICorp 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

IICorp 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, IICorp 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 IICorp:

- 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 IICorp 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 IICorp’s [administrative rules](#) relating to public records are available from the IICorp upon request.

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

The Iowa Economic Development Authority (IEDA) has delegated to the Iowa Innovation Corporation (IICorp) 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 with this application:

- Third-party Proposal Assistance:** Professional proposal assistance services from an IICorp-approved third-party vendor for SBIR/STTR Phase I and II applications.
  - o Technical assistance is 100% paid for but requires a refundable deposit of either \$500 or \$1,000 depending on level of support

**Additional application requirement:**

- **Attachment A – Third-party Proposal Assistance**
- **Deposit of \$500 for partial assistance or \$1,000 for full 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**

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Name of Business:

Address:

City, State & Zip Code:

Contact Person:

Title:

Phone:

Email:

Federal ID Number:

Website:

Does the Business file a consolidated tax return under a different tax ID number?

- Yes                       No

- If yes, please also provide that tax ID number:

Is the contact person listed above authorized to obligate the Business?

- Yes                       No

- If no, please provide the name and title of a company officer authorized to obligate the Business:

## Business Overview

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Provide a brief description and history of the Business:

Description of technology area:

Products or services currently offered:

Business Structure:

Cooperative  
 Partnership

Corporation  
 S-Corporation

Limited Liability Company  
 Sole Proprietorship

Not for Profit

State of Incorporation:

Total Number of Years in Business:

Number of years applicant has been in business in Iowa:

Current number of employees:

Key Management Personnel:

Name	Title

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

Yes       No

If yes, please provide name of organization:

## SBIR/STTR Previous Experience

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

Number of Phase 1 applications submitted:

Number of Phase 1 awards received:

Awarding agencies (if applicable):

Number of Phase 2 applications submitted:

Number of Phase 2 awards received:

Awarding agencies (if applicable):

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

Number of other SBIR/STTR awards received:

Awarding agencies (if applicable):

## Current SBIR/STTR Proposal

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Applicants must provide the following information about their current SBIR/STTR proposal:

Federal Program:

- |  |                                       |
|--|---------------------------------------|
| <input type="checkbox"/> SBIR Phase 1            | <input type="checkbox"/> SBIR Phase 2 |
| <input type="checkbox"/> STTR Phase 1            | <input type="checkbox"/> STTR Phase 2 |
| <input type="checkbox"/> Other (FastTrack, etc.) |                                       |

For a Phase II applications, please provide the grant number of the corresponding Phase I award:

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:

## Certification & Release of Information

1. Are there any judgments or court actions completed or pending against the applicant entity, or any current or prospective officer, principal, director, or owner?  Yes  No
2. Has any current or prospective officer, principal, director, or owner been accused or convicted of any wrongdoing or crime, other than a simple misdemeanor?  Yes  No
3. 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?  Yes  No
4. 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?  Yes  No
5. 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?  Yes  No
6. ***If yes to any of the above, please provide additional explanation:***

I hereby give permission to the Iowa Innovation Corporation (IICorp) 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 IICorp 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 IICorp reserves the right to negotiate the financial assistance.

I understand this application is subject to final approval by the IICorp and that the IICorp-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:**

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Signature

Date

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Name and Title (typed or printed)

**IICorp 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, IICorp may initiate legal action to recover incentives and assistance awarded to the Business.**

## Attachment A: Third-Party Proposal Assistance

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This component of the program provides technical assistance from IICorp-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 IICorp.
- Phase I applicants are required to submit a \$1,000 deposit for full proposal assistance, and \$500 for partial proposal assistance *payable to Iowa Innovation Corporation*
- Applicant, if approved, will enter into a technical assistance agreement with IICorp.
- Technical assistance for Phase II applications will only be provided to companies that utilized IICorp-provided assistance for the corresponding Phase I application.
- Deposits will be returned upon submission of the SBIR/STTR proposal. To receive a deposit, refund the applicant will submit to the IICorp:
  - o Verification that the SBIR/STTR proposal was submitted.

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### Level of SBIR/STTR proposal Assistance

Assistance Requested:

- Full Proposal Assistance – Requires \$1,000 refundable deposit
  - Full support in proposal preparation and submission
  - Requires application submission at least 10 weeks before deadline.
- Partial Proposal Assistance - Requires \$500 refundable deposit
  - 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.

***Make Checks payable to: Iowa Innovation Corporation***

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**OPTIONAL**

**II Corp directly contracts with pre-approved third-party vendors to assist companies with their proposals. If you would like to have a different vendor considered for future use, please fill out the section below.**

Provide the following information about any third-party vendor you would like to have considered for future use:

Name:

Name of Business (if applicable):

Address:

City, State & Zip Code:

Phone:

Email:

**Supporting Documents**

- Attach vendor's resume or provide detailed information on vendor's experience supporting SBIR/STTR proposals.
- Attach cost proposal or other documentation (such as email correspondence) summarizing the vendor's service proposal.

Describe how (recommendation from colleague, request for proposal, etc.) and why the vendor was identified:

Have you previously used this vendor for other grant writing services?

Yes       No

If yes, please provide a summary of previous experience with vendor including previous funding successes:

## Attachment B: Financial Assistance

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### 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 Iowa Innovation Corporation 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 IICorp regarding use of the matching funds.
- Funds will be disbursed in two phases for a maximum of \$50,000 as follows:
  - o \$25,000 upon receipt of an Official Notification of Phase I Award from the Federal funding agency.
  - o 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:

Affidavit

State of Iowa  
County of:

I, \_\_\_\_\_, depose and say that I have examined the following statement and have found it to the best of my knowledge to be accurate and true.

(company name) has not, within the last five years, violated state or federal statutes, rules, and regulations, including environmental and worker safety regulations, or, if such violations have occurred, that there were mitigating circumstances, or such violations did not seriously affect public health or safety or the environment.

I have submitted a report detailing the circumstances of all such violations to the Iowa Innovation Corporation and such report represent a full and complete description of such circumstances.

I hereby certify that the information presented to the Iowa Innovation Corporation on \_\_\_\_ / \_\_\_\_ / **2019** (application date) is fully complete, true, and correct. 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 the purpose of procuring economic development assistance from a state agency or subdivision, as provided in Iowa Code section 15A.3 and other applicable law.

Furthermore, I understand that providing false, misleading, or fraudulent information to the Board may result in civil and/or criminal liabilities and penalties against the Recipient and its representatives.

I further depose that the signature below is my own proper signature.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

Subscribed and sworn to before me on

this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_

\_\_\_\_\_ (Notary Public)

\_\_\_\_\_ County

My commission expires on \_\_\_\_\_