



IOWA INNOVATION CORPORATION

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

FY2019 APPLICATION

Administered by:

**Iowa Innovation Corporation
200 E Grand Avenue
Des Moines, Iowa 50309**

www.iicorp.com

Name of Business

Federal Program:

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

Proposal Date: _____

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

To Complete Electronic Form: *Click on TEXT BOX to add text, tab will take you to the next field. Click on check box to select, or press space bar to check boxes.*

1. 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.
 2. 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
 3. 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.
 4. Complete the applicable sections of the application fully. If questions are left unanswered or required attachments are not submitted, an explanation must be included.
 5. Use clear and concise language. Attachments should only be used when requested or as supporting documentation.
 6. Any inaccurate information of a significant nature may disqualify the application from consideration.
 7. 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. Submit to Anne Price via email at anne@iicorp.com.
- or-
- One original, signed application form and all required attachments.

Return to: Iowa Innovation Corporation
ATTN: Anne Price
200 E Grand Avenue
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 through 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. 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:

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

Commitment to match: Financial Assistance for successful Phase I and II SBIR/STTR proposals.

- o This component provides 50% of SBIR Phase I award or \$50,000, whichever is lower.
- o Companies who have not won a Phase II previously will be eligible for Phase I to Phase II consultant support.

Additional application requirement: Attachment B - Commitment to Match

Applicant Information

Name of Business: _____

Address: _____

City, State & Zip Code: _____

Contact Person: _____ Title: _____

Phone: _____ Fax: _____ 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:

If this application was prepared by someone other than the contact person listed above, please complete the following:

Name of Business: _____

Address: _____

City, State & Zip Code: _____

Contact Person: _____ Title: _____

Phone: _____ Fax: _____ Email: _____

Legal representative(s): _____

Location of legal representative(s) (address): _____

Contact person (name): _____

Phone number: _____ E-mail: _____

Business Overview

Provide a brief description and history of the Business: _____

Description of technology area: _____

Products or services currently offered: _____

Business Structure:

- Cooperative Corporation Limited Liability Company Not for Profit
 Partnership S-Corporation Sole Proprietorship

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

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

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

Federal Program:

- SBIR Phase 1 SBIR Phase 2
 STTR Phase 1 STTR Phase 2
 Other (FastTrack, etc.)

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 the Project may not be initiated until final approval is secured. Furthermore, I am aware that funds will not be disbursed 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

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

This component of the program provides technical assistance through IICorp approved third-party services directly related to preparing SBIR/STTR Phase I and II proposals from a third-party vendor. 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:

- 100% paid for technical assistance
 - Applicant is required to submit a \$1,000 deposit for full proposal assistance, and \$500 for partial proposal assistance *payable to Iowa Innovation Corporation*
 - Applicant, if awarded, will enter into a technical assistance agreement with the IICorp.
 - Funding is only available for proposals not yet submitted. The program does not provide reimbursement for proposals submitted prior to application approval.
 - Deposits will be returned upon submission of the SBIR/STTR proposal. To receive a deposit refund the applicant will submit to the IICorp:
 - Verification that the SBIR/STTR proposal was submitted.
-

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 8-10 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 the Iowa Innovation Corporation

IICorp will directly contract with an appropriate third-party vendor to assist your company with its proposal. If you would like to submit a vendor for consideration please fill out the section below. Preferred vendor submission does not guarantee approval to use that vendor.

Vendor #1: Provide the following information about your preferred third-party vendor:
(Not Required)

Name: _____

Name of Business (if applicable): _____

Address: _____

City, State & Zip Code: _____

Phone: _____ Email: _____

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 selected: _____

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: Commitment to Match Grant - Financial Assistance

Complete this section only if you are requesting a Phase I commitment to match grant.

This component of the program provides a commitment to match letter to 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 matching grants or commitments to match for SBIR/STTR proposals submitted prior to this application approval or previous awards without Iowa Innovation Corporation support or resources.
- Maximum commitment to match grant is 50% of the SBIR/STTR Phase I and II award for a total of \$50,000.
- Program funds are in the form of a grant
- Allowable costs are those related directly to the SBIR/STTR proposal 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.
- Applicant, if awarded, will enter into a technical assistance agreement with the IICorp.
- Funds will be disbursed in two Phases for a maximum of \$50,000 as follows:
 - \$25,000 or 25% of the approved award (whichever is less) upon verification of receipt of an Official Notification of Award from the Federal funding agency.
 - Lesser of \$25,000 or 25% of approved award upon receiving Phase I award with the support of an IICorp third-party vendor and upon submission of Phase II proposal
- Phase 1 award winners with commitments to match will also receive Phase 1 to Phase II consultant support, from pre-award to Phase II submission, from an expert SBIR/STTR consultant provided by the IICorp (Companies that have previously been awarded an SBIR/STTR Phase II from any agency are not eligible for this assistance)

Requested Funds:

Requested funds: Maximum commitment to match grant is 50% of the SBIR/STTR Phase I and II awards for a total of \$50,000.	
---	--

Applicants must provide information on the use of requested funds **(REQUIRED)**:

Brief statement on the need and proposed use for requested state funds:

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.

_____ has not, within the last five years, violated state or federal statutes, rules, _____ (*company name*) 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 represents a full and complete description of such circumstances.

I hereby certify that the information presented to the Iowa Innovation Corporation on _____ is fully complete, true, and correct. I understand that it is a criminal violation under (*application date*) 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.

Dated: _____
Signature

Subscribed and sworn to before me on
this _____ day of _____,
_____ (Notary Public)
_____ County

My commission expires on _____