



Phase 0 KickStarter

For use with the SBIR/STTR and BAA Programs

A Component of the MTI Business Innovation Program

Application Instructions

Deadlines:

Applications accepted on a rolling basis and at least 30 days in advance of solicitation due date
Notification: Within 10 business days of submission

Contact:

Shane Beckim
Portfolio Manager, Business Ventures Group
Phone: 207-588-1018
Email: sbeckim@mainetechnology.org

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Application Requirements

Due Date	Original, complete Phase 0 KickStarter applications are invited to be submitted on an on-going basis to the MTI office and <u>must be received at least 30 days prior to the SBIR/STTR/BAA deadline.</u>
Submit online	In order to access the online submission tool, applicants must create or log-in to their account at: http://www.mainetechnology.org/account/login
Delivery address	Maine Technology Institute (MTI) 8 Venture Avenue, Brunswick Landing, Brunswick, ME 04011
Application layout	Single-sided, 1” margins, 12 pt. font Label each section & list the application number on each page. Do not bind/staple or use covers if submitting a paper copy. Single PDF file is required if submitted electronically through the MTI website. All applications should be presented in a narrative format with the use of diagrams, data, tables and charts as needed.
Notification	Within 10 business days of submission

Overview of MTI Business Innovation Program

Purpose

The Maine Technology Institute (MTI) was created by the State Legislature in 1999 to encourage, promote, stimulate and support research and development activity leading to the commercialization of new products and services in the State's technology-intensive industrial sectors to enhance the competitive position of those sectors and increase the likelihood that one or more of the sectors will support clusters of industrial activity and to create new jobs for Maine people (5 MRSA c. 407).

One of MTI's duties is to establish a program to provide technical assistance to small businesses based in Maine, pursuant to the federal Small Business Innovation Development Act of 1982, Public Law 97-219, and the latest reauthorization of the Small Business Reauthorization Act of 2000 (P.O. 106-554) with numerous extensions to 2017 to develop competitive Small Business Innovation Research and Small Business Technology Transfer (SBIR/STTR) applications for submission to any of the federal agencies participating in the SBIR/STTR program. In addition MTI is supporting the submission of proposals to a federal agency under a Broad Agency Announcement (BAA).

Maine's Seven Targeted Technology Sectors

Projects funded by the MTI must fall within one of Maine's seven targeted technology sectors:

- Advanced Technologies for Forestry & Agriculture
- Composite Materials Technology
- Aquaculture and Marine Technology
- Environmental Technology
- Biotechnology
- Information Technology
- Precision Manufacturing Technology

Goals and Objectives

The Business Innovation Program consists of a suite of competitive grants, loans and equity investment for technology-based start-ups, established companies and research institutions in Maine. Managed by the MTI, an industry-led, state funded private non-profit, the program's suite of funding options addresses the "funding gap" that often hinders technologies from making the leap from development to commercialization.

The program consists of grants and investments that support early-stage foundational and planning activities, and helps Maine leverage external research and development (R&D) funding such as the SBIR/STTR Program, BAA and equity capital. MTI funding helps leverage the capital required to develop and market new technologies that create a positive economic impact in Maine.

Consistent with the MTI purpose, MTI is offering Phase 0 KickStarters (Phase 0) on a competitive basis to foster and support competitive Federal SBIR/STTR Phase I and BAA application submissions from Maine applicants.

Confidentiality

MTI maintains the confidentiality of applications, reports and other information submitted to MTI, with the exception of selected text from the application cover page (Form A) and information contained in the “Non-confidential Project Summary.” MTI Board of Directors, Technology Board members, peer reviewers, other consultants, and staff are required to sign and adhere to a non-disclosure agreement and conflict of interest policy statement (both forms are available at: www.mainetechnology.org).

Phase 0s

Phase 0s will be provided on a rolling basis, for up to \$5,000 per application. Complete Phase 0 payment is contingent upon project completion including the submission of the SBIR/STTR/BAA application and MTI may require repayment of the Phase 0 if a recipient fails to meet the terms and conditions of the agreement.

Who is Eligible to Apply

Maine entrepreneurs and Maine-based companies requesting funds to prepare SBIR/STTR Phase I or BAA applications to develop, transfer and advance technologies into the commercial market are eligible. A Maine-based company is registered to do business in the State of Maine with definitive plans to create and/or retain quality jobs in Maine based upon the SBIR/STTR Phase I or BAA project. Awardees must have a significant base of operations in Maine prior to signing their MTI Phase 0 Agreement.

- A Maine-based company with 500 employees or less or entrepreneurs may submit an application.
- Companies with a significant base of operations and location in Maine.
- Companies with no current Maine operations must demonstrate a clear plan to locate or base significant operations in Maine.
- The technology research and development projects submitted for SBIR/STTR/BAA funding must:
 - Demonstrate a high potential for economic benefit to Maine
 - Fall within one of Maine’s targeted technology sectors (see page 4)
 - Comply with all the requirements of the Application Instructions

Eligible Projects

Phase 0 funds can be used for external direct costs associated with SBIR/STTR Phase I and BAA application preparation. Supported activities include consultant services or external resource providers (ERP), consultant/ERP travel expenses, and costs to purchase information such as market reports. All projects must conclude with submission of a completed SBIR/STTR Phase I or BAA proposal to the appropriate federal agency at the identified agency deadline. In advance of the SBIR/STTR Phase I or BAA deadline, the Phase 0 recipient must agree to submit the draft proposal to the MTI Technical Assistance Program (TAP) team and work with them to improve the proposal prior to submission.

Limitations and Restrictions

Only one Phase 0 application per applicant will be considered for each SBIR/STTR Phase I or BAA submission cycle.

Phase 0s for BAA proposals are for use only after the company is invited to submit a full proposal. MTI offers white paper support via MTI's TAP. Contact Karen West at cpmgmt@fairpoint.net or by phone at 207-845-2934 for more details.

Phase 0 funds may not be used to pay applicant personnel. An applicant must contribute an amount of time equal to or greater than that provided by consultants/ERP.

Application Process

Step 1 – Participation in MTI's Technical Assistance Program (TAP)

Applicants interested in obtaining an MTI Phase 0 must contact Karen West, MTI's TAP Manager, to discuss the proposed technology and fit to the SBIR/STTR/BAA programs. MTI provides pro-bono support through the TAP process to ensure companies develop and submit competitive proposals that meet federal program requirements. The TAP will support interested applicants from proposal development through submission.

Step 2 - Receipt and Review of Complete Applications

Applications may be submitted online through the MTI website using the "Submit Application Online" link in the [My Account](#) section, via standard mail delivery services or in-person at the MTI office. All applications submitted online must be in the form of a single PDF file only.

Upon receipt of a completed application MTI will send an email as confirmation that the completed application was received and forwarded for review.

Step 3 – Phase 0 Review Committee Evaluation

All complete applications will be evaluated by MTI personnel and a funding decision will be made by review committee evaluation. Applications with incomplete information may not be considered.

Applications will be evaluated based on the following criteria:

- Phase 0 objectives, scope of work, and timeline
- Scientific and Technical merit and fit to SBIR/STTR or BAA solicitation
- Phase I Objectives and Commercialization potential
- Key personnel and qualifications
- MTI reviews and award decisions will consider the applicant's history within the SBIR/STTR program, as well as progress toward commercialization.

Step 4 – Award Notification

An MTI representative will notify the applicant of the funding decision. All applicants will be notified via email of the outcome of their application. Follow-on interaction may occur with MTI staff requesting additional or clarifying information.

Award Process for Phase 0 Recipients

Phase 0 recipients will be e-mailed a notice of approval along with the agreement documents and instructions. Phase 0 recipients are responsible for accurately completing and returning agreement documents to MTI within 15 days of receipt. All agreements not completed and returned within 15 days will be forfeited. Phase 0s are contingent upon completion of the final Phase 0 Agreement.

While the Agreement is between MTI and the recipient, payments will be made directly to the external resources. A total of 50% of the approved Phase 0 award will be disbursed to the external service provider at the start of the project. The final 50% will be disbursed upon project completion as specified in the final Phase 0 Agreement.

Project Completion and Reporting Requirements

Recipient must provide a draft application to be reviewed by MTI's TAP team prior to submission to the SBIR/STTR/BAA announcement.

Recipient must provide a complete copy of the final SBIR/STTR/BAA proposal.

Completion of the project requires the submission to MTI of a final report as outlined in Appendix C of the Phase 0 Agreement including a written report documenting the hours expended by internal and external resources for the project.

Phase 0 Application Instructions

Please submit to the MTI one original paper copy or an electronic copy through the MTI website including each of the following seven (7) items. *Applications submitted via fax or e-mail, or incomplete applications, applications exceeding page limits, or otherwise not following directions laid out within the application instructions will be returned with no further review.*

Form A: Online Registration Form

Non-confidential “Public Information” submitted in Form A may be shared with media or MTI partner organizations. Information for “MTI purposes only” will only be used by MTI.

Register online at the MTI website and receive a unique application number to be used with all communications at <http://mainetechnology.org/fund/phase-0-kickstarter>.

Once registered, insert the application number in the upper right corner of each page of the application.

Print out the completed Registration Form A, certify its accuracy with an original signature, and include this as the cover page along with the remaining parts of the application.

Note names of individuals (i.e. potential reviewers) from whom to withhold application information. If there are specific individuals or companies whom applicants would prefer not review their application, please provide their names on Form A and those individuals will not have access to application materials other than “Form A, Section 1” and the “Non-confidential Summary”.

Non-Confidential Project Summary

This summary must be non-confidential and must not exceed 100 words. The summary will be included in an MTI press release if the project is funded and may be provided to members of the public or MTI partner organizations if requested. The summary should describe the benefit and feasibility of the project as well as clearly specify the project’s goals.

On a separate page, the non-confidential summary should include:

- a. Identification of the technology innovation
- b. Summary scope of the Phase 0 project
- c. Identification of the agency to which the SBIR/STTR Phase I or BAA proposal will be submitted

Supporting Documentation

Page 1: On a single separate page, include the following information:

- a. Name of Agency to which applicants are submitting the Phase I/BAA proposal
- b. Application Due Date
- c. Topic Title
- d. A copy of the SBIR/STTR/BAA topic description

Page 2: Another single separate page, applicants may include a picture of the proposed technology. This page is optional but recommended, if available.

Application Narrative

In two pages or less, the applicant must identify why MTI funds are being requested, what those funds will be used to accomplish, and what impact they will have on the company's ability to develop a competitive SBIR/STTR Phase I or BAA application.

I. Introduction

Provide company background information, including the applicant's primary line of business, facilities (including university facilities), and information regarding commercialization of previous SBIR/STTR or BAA application submissions. Use this space to establish the company's identity and introduce to the reviewers its overall goals and strategy.

II. Technical Narrative

- Identify the scientific problem or business opportunity to be addressed in the Phase I or BAA project.
- Identify the significance and uniqueness of the proposed solution or innovation. How does the approach advance knowledge and create benefits for users? Describe the potential uses of the finished innovation in the commercial marketplace.
- Discuss how the project fits or responds to the SBIR/STTR or BAA solicitation topic. Applicants are strongly encouraged to contact the topic manager prior to submitting a Phase 0 Application, and insert here a brief summary of the applicant's discussion with the topic manager.
- Identify key project personnel and their roles for the (a) Phase 0 project and the (b) Phase I/BAA project. This includes applicant personnel, university faculty or researchers, business administrators and consultants/ERP. **Do not use this space to discuss each individual's qualifications.**
- Identify the Phase 0 scope of work, objectives, specific tasks and timeline to be completed. Explain how MTI's Phase 0 funding will be used in the process of preparing a Phase I/BAA proposal.

Form B: Budget Summary

Include in Form B a budget for all expenses related to the scope of work outlined within the Phase 0 project. The requested amount in the budget is limited to \$5,000 and is intended solely for external resources necessary to prepare and submit an SBIR/STTR Phase I or BAA proposal. Supported activities include consultant/ERP services, consultant/ERP travel expenses, and costs to purchase information such as market reports. Other activities may be eligible with MTI approval and applicants are encouraged to contact MTI for further information.

Phase 0 Applications require a contribution of hours equal to or greater than the total hours requested for the external resource providers. All eligible and properly documented hours and expenses may be claimed back to the date the application was received by MTI for the approved project.

Using the form provided at [www.mainetechnology.org/fund/Phase 0](http://www.mainetechnology.org/fund/Phase%20) (applicants may add additional lines, if needed), indicate:

- Individual names and titles, number of hours for all applicant personnel providing a labor contribution
- Phase 0 project consultant/ERP names, number of hours and hourly rates
- Other eligible project expenses related only to the SBIR/STTR Phase I or BAA proposal

Form C: Consultant/ERP Invoice (1 page)

Applicant must include a Form C consultant/ERP invoice outlining their Phase 0 scope of work, estimated number of hours, hourly rate, applicable travel costs and total amount requested from MTI.

Payment

All Phase 0 payments will be made directly to the consultant/ERP. Payments will be made in two equal installments. 50% will be paid upon execution of the [Phase 0 Agreement](#) and the final 50% will be paid upon approval of the final report requirements.

Professional Summary (≤ 1 page each)

Submit professional summaries for the primary contact, other project personnel and consultants/ERP. Summaries may not be longer than one page per person and should indicate each individual's relevant education and experience as it pertains to the Phase 0 scope of work.

Form B: Budget Example

An Excel version of this document is available on the Phase 0 page of the MTI website.

Company Name:					
Project ID#:					
Date Submitted:					
Principal Contact:					
Email:					
Project duration can be no longer than 1 month beyond the agency deadline date				Filled Out with Application	Filled out with Final Report
Start Date:		End Date:		Budgeted Expenses Related to the Proposed Project	Actual Expenses Related to the Completed Project
APPLICANT PERSONNEL - MATCHING CONTRIBUTION		Hours	Hourly Rate		
Name/Title:		0	\$0	\$0	
Personnel Subtotal				\$0	\$0
EXTERNAL RESOURCE PROVIDER - PAID BY MTI ACCORDING TO FORM C		Hours	Hourly Rate		
Name/Title:		0	\$0	\$0	
Name/Title:		0	\$0	\$0	
Contractual Services Subtotal				\$0	\$0
MARKET DATA / REPORTS - PAID BY MTI Explain in more detail in the box below.					
List/Describe:					
List/Describe:					
Market Data/ Reports Subtotal				\$0	\$0
TOTAL COSTS				\$0	\$0
<p>Market Data / Reports - Identify who the report will be purchased from and what it contains.</p> <div style="border: 1px solid black; height: 80px; width: 100%;"></div>					
<p>* If you are completing this form in Excel & you require more lines for each item, click on the plus (+) sign on the far left to expose additional lines.</p>					
<p>* If this form is being completed as part of the <u>MTI Phase 0 Application</u> process, please enter budget details into the Budget column. DO NOT COMPLETE the Actual Expenses columns.</p>					
<p>* If an <u>MTI Phase 0</u> has been awarded and this form is being submitted as part of a <u>final report</u>, please enter actual project expenses for the project into the Actual Expenses column.</p>					

Form C: Consultant / External Resource Provider Invoice Example

An Excel version of this document is available on the Phase 0 page of the MTI website.

Phase 0 KickStarter Recipient				
Company Name:	(Linked to budget form, please complete)			
Project ID#:	(see above)			
Date Submitted:				
Principal Contact:	(see above)			
Email:	(see above)			
Consultant or External Resource Provider				
Consultant / Provider:				
Type of organization (check one):	<input type="checkbox"/>	Corporation	<input type="checkbox"/>	Individual
	<input type="checkbox"/>	Partnership	<input type="checkbox"/>	Other (clarify below)
	<input type="checkbox"/>	LLC		
Provider's taxpayer identification number (required):				
Provider's mailing address:				
Consultant / Provider Contact Name:				
Contact phone number:				
Invoicing				
Total contract amount:				
Current invoice amount:				
Installment (check one):	<input type="checkbox"/>	Initial	<input type="checkbox"/>	Final
	<input type="checkbox"/>		<input type="checkbox"/>	
Details of External Service Provider's scope of work - please describe below				

Phase 0 Application Checklist

PZ# _____

Please submit to the MTI one (1) original application containing each of the following seven (7) items.

- _____ **1. Form A – Registration Form (1 page):** Obtained through registration at <http://mainetechnology.org/fund/phase-0-kickstarter>
- _____ **2. Non-confidential 100 word Project Summary (1 page):** Will be included in the official MTI Phase 0 press release if the application is approved for funding.
- _____ **3. Supporting Documentation (≤ 2 pages):** (1) Name of Agency to which applicants are planning to submit the Phase I or BAA application, Application Due Date, Topic Title, A copy of the SBIR/STTR/BAA topic description. (2) Picture of the proposed technology is optional but strongly encouraged.
- _____ **4. Application Narrative (≤ 2 pages):** On separate paper, submit project details as outlined within the application.
- _____ **5. Form B - Budget Summary:** MS Excel form may be obtained at www.mainetechnology.org/fund/Phase 0
- _____ **6. Form C – Consultant/ERP Invoice (≤ 1 page each):** MS Excel form that details the scope of work and total amount as an invoice from each of the identified consultants/ERP.
- _____ **7. Professional Summary (≤ 1 page each):** Submit professional summaries for the primary contact and any other key project personnel, including any named consultants/ERP.

Applicant Signature

Date of Signature

SIGNATURE: By signing above, the applicant requests MTI treats all application information as confidential under 5 MRSA Section 15302-A other than “Form A, Section I” and the “Non-confidential Summary.”(See page 8.) The applicant certifies the application has been checked for completeness. Failure to provide all required information will result in the application not being reviewed. Electronic signatures are also acceptable.